



The Housing Trust Fund Corporation  
Office of Community Renewal

***RESTORE Program - Residential Emergency  
Services to Offer (Home) Repairs to the Elderly  
Program Year 2013  
Request for Proposals (RFP)***

**Andrew M. Cuomo, Governor**  
Darryl C. Towns, Commissioner/CEO, NYS HCR

NYS Homes and Community Renewal  
Office of Community Renewal  
The Hampton Plaza  
38-40 State Street, 4th Floor  
Albany, NY 12207  
[www.nyshcr.org](http://www.nyshcr.org)

<b>I. INTRODUCTION .....</b>	<b>1</b>
<b>II. APPLICATION DEADLINES &amp; GENERAL REQUIREMENTS.....</b>	<b>2</b>
A. Application Submission Deadlines .....	2
B. General Requirements .....	2
C. Other Application Reference Materials.....	5
<b>III. EVALUATION AND SELECTION .....</b>	<b>5</b>
A. General Goals and Objectives .....	5
B. Application for Funding Processing Steps .....	6
<b>IV. RESTORE PROGRAM RATING CRITERIA .....</b>	<b>8</b>
<b>V. APPLICATION AND TECHNICAL ASSISTANCE .....</b>	<b>9</b>

## I. INTRODUCTION

The NYS Residential Emergency Services to Offer (Home) Repairs to the Elderly (RESTORE) Program provides funds for the cost of emergency repairs to eliminate hazardous conditions in homes owned by low-income elderly persons who cannot afford to make needed repairs in a timely fashion. Eligible applicants for the RESTORE Program are units of local government and organizations incorporated under the New York State Not-For-Profit Corporation Law, that have been providing relevant service to the community for at least one year prior to application date.

The Housing Trust Fund Corporation (HTFC), through its Office of Community Renewal (OCR), expects to make approximately \$400,000 available for the RESTORE Program under the 2013 Request for Proposals process.

For 2013, the following will apply for the RESTORE Program:

- The amount requested per applicant, per program, **may not** be less than \$25,000 and **may not** exceed \$50,000.
- Assistance to eligible homeowners is limited to a lifetime maximum of \$5,000 per property.
- Awardees will be allowed a maximum of twelve (12) months from the date of contract execution to fully expend all RESTORE Program funding.
- Awardees **may** use up to a maximum of five percent (5%) of each program award for eligible administrative costs.

Preference will be given to applications that demonstrate a need for an emergency repair program in the proposed service area **and** to applicants who demonstrate that they have the organizational capacity and resources to complete the proposed program in a timely, efficient and effective manner.

Furthermore, as New York State and NYS Homes and Community Renewal continue to focus on the needs of communities recovering from the effects of multiple natural disasters in 2011, 2012 and 2013, preference will be given to applications with a focus on serving homeowners still evidencing need in service areas hardest hit by these storms. Applicants will need to demonstrate existing need as a direct result of the storms, **and** a lack of other Federal, State or other disaster recovery resources in order to receive preference in this category. Applicants will still need to demonstrate the required organizational capacity and resources to complete the proposed program in a timely, efficient and effective manner.

This Request for Proposals (RFP) describes the requirements for the RESTORE Program application and also explains the processes by which the HTFC and the OCR will evaluate applications requesting funding. Applicants may apply for RESTORE Program funding using HCR's Community Development On-Line System (CDOL), which is accessible online at <http://www.nyshcr.org/Apps/CDOnline/>. Potential applicants may request technical assistance from the OCR during the application process (See Section

V). At the completion of this funding round, applicants that do not receive an award may request an exit conference to review their unfunded application.

## II. APPLICATION DEADLINES & GENERAL REQUIREMENTS

### A. Application Submission Deadlines

*RFP Open Date: Monday, October 28, 2013*

*RFP Close Date: Friday, January 17, 2014*

Applications for Program Year 2013 RESTORE Program funding must be submitted through HCR's CDOL **no later than** 5:00 PM, EST, Friday January 17, 2014. Any and all applications received after this deadline will be considered a late submission and will **not** be processed.

Applicants may make a request, based on demonstrated need, to submit a paper application in lieu of using HCR's CDOL. Requests for approval to submit a paper application must be sent to:

**NYS Homes and Community Renewal  
Office of Community Renewal  
The Hampton Plaza, 4<sup>th</sup> Floor South  
38-40 State Street  
Albany, NY 12207  
ATTN: PY 2013 RESTORE PROGRAM**

Only on time applications submitted electronically using HCR's CDOL or pre-approved paper applications will be accepted for review. **Incomplete and/or late applications will NOT be accepted either through CDOL or paper submission.**

For those applicants with prior approval to submit a paper application, applications will only be accepted at the address stated above. Paper applications received or postmarked after 5:00 PM, EST, Friday, January 17, 2014 will be considered late and will not be accepted or reviewed. Use of delivery confirmation services is required by those pre-approved to submit paper applications, to ensure an on time and traceable delivery of an application(s).

Applicants should refer to the **Application Instructions** (see Section II, C.; Page 4) to identify the Exhibits and Attachments that are required to be submitted as part of the application.

### B. **General Requirements**

#### **Applicant Capacity & Prior Experience**

Applicants for RESTORE Program funds, as with all competitive OCR Program funds, are subject to an evaluation of prior program funding history, prior program administration performance and organizational capacity.

Interested parties are discouraged from applying for RESTORE Program funds if:

- The program activities cannot be completed within the required twelve (12) month grant agreement term; **OR**
- The amount of funding being requested cannot be expended within the same term. Please note: funds that are not expended at the end of a grant agreement term are subject to deobligation and/or recapture.

Furthermore, applicants to the OCR must resolve any and all outstanding monitoring and/or non-compliance issues that involve a violation of Federal, State or local regulations, and/or program and OCR requirements **prior to the submission of an application for funding**. Applicants that do not resolve monitoring and/or non-compliance issues will be deemed ineligible and the application will not be accepted or reviewed.

**Prior to submitting an application for funding, applicants to the OCR should evaluate the progress of their open grant portfolio to determine if additional funds are warranted at this time.** For each open grant, applicants should evaluate the progress of the program(s) in terms of achieving the accomplishments set forth in the OCR-approved application and their HTFC grant agreement(s). Factors such as the rate of expenditure during the term of the HTFC grant agreement, the number of extensions requested and approved, and compliance with all HTFC grant agreement terms will be used to determine satisfactory performance in the review by the OCR of all applications. Applicants may be negatively impacted by unsatisfactory performance or may be determined to be ineligible for a grant when prior performance evidences significant lack of capacity to carry out the proposed project or program as required and according to the applicable laws, regulations, policies and procedures governing the program.

HTFC and the OCR reserve the right to not fund any application if it has been determined that the applicant is not in compliance with existing State contracts and has not taken satisfactory steps to remedy such non-compliance.

### **New York State Grants Gateway Prequalification**

The new New York State Grants Gateway is a statewide effort that will improve the way New York State administers grants by simplifying and streamlining the grants management process.

Effective August 1, 2013, not-for-profit organizations must be prequalified in order to do business with New York State. In order to prequalify, not-for-profit organizations must submit an online Prequalification Application through the Grants Gateway. The Prequalification Application is comprised of five components to gauge your organizational structure and the types of services you provide. The required forms and document uploads are all part of the Grants Gateway Document Vault. Resources to complete the application and associated document vault can be found in the Quick Links Section of the Grants Gateway page at <http://grantsreform.ny.gov/>.

Prequalification is designed as a way for not-for-profits to interact more directly with State agencies before they compete for State contracts, enabling them to make adjustments and answer concerns prior to entering a competitive bid process. Once they have been prequalified, multiple State agencies will have ready access to the prequalification materials, eliminating redundant submissions of such information by the vendor. Not-for-profits will only have to formally prequalify every 3 years, with the responsibility to keep their information current throughout the 3 year period.

**PLEASE NOTE:** Applicants that are **not** prequalified through the New York State Grants Gateway by the RESTORE Program application deadline of Friday, January 17, 2014, will **not be eligible to receive** RESTORE funds, and any applications submitted to the OCR will be deemed ineligible for review and consideration.

### **Bonding and Insurance Requirements**

Upon award of funds, Applicants are required to obtain and maintain proper insurance and bonds. At a minimum, copies of the following must be provided: a Certificate of General Liability Insurance, Workers' Compensation and Disability Insurance, Fire and Casualty Insurance and a Fidelity Bond in the amount of the largest anticipated disbursement and naming the HTFC as loss payee in accordance with the program agreement requirements.

### **Administrative Plan**

Implementation of each RESTORE Program will be governed by an Administrative Plan as provided to the awardee as part of the contract documents. Components of the Administrative Plan may include, but are not limited to, the following categories: Program Activities and Scope, Selection Process of the Assisted Units, Program Management, Construction Management and Timely Completion of the Program, Bid Solicitation and Procurement, Services and Program Linkages, Program Service Area Description and Public Outreach.

### **Property Maintenance Agreement**

In order to secure the investment of RESTORE Program funds and to ensure that the HTFC and the OCR are notified of the transfer of property, Applicants will be required to file Property Maintenance Agreements with the County within which the unit is located for each unit receiving assistance.

### **Smart Growth**

Please note that the Housing Trust Fund Corporation is subject to the New York State Smart Growth Public Infrastructure Act (Chapter 433 of the Laws of 2010) and must, to the extent applicable, make funding decisions consistent with the provisions of the Act.

### **Equal Employment Opportunity/Minority and Women Owned Business**

Due to funding thresholds, RESTORE program recipients are not subject to Article 15A of the New York State Executive Law. Recipients are, however, encouraged to make efforts to meet the equal employment opportunity provisions of Section 312 of the Article. This includes affirmative efforts to ensure that New York State Certified

Minority and Women-Owned Business Enterprises are afforded opportunities for meaningful participation in projects funded by the HTFC pursuant to Section 313 of the Article. Priority will be given to those applicants that provide contractor services under the requirements of the Minority and Women-Owned Business Enterprises (M/WBE).

### C. **Other Application Reference Materials**

This RFP provides only a portion of the information and materials needed by applicants. Other materials, available from the HCR website at <http://www.nyshcr.org/Funding/>, include the following:

1. RESTORE Program Year 2013 Application Instructions
2. CDOL Application Instructions
3. NYS Housing Trust Fund Corporation Rehabilitation Standards (rev. June 2006)
4. RESTORE Frequently Asked Questions FAQs

The HTFC reserves the right to award all, a portion of, or none of an applicant's funds based upon funding availability, feasibility of the applications received, the competitiveness of the applications, an applicant's ability to meet HTFC criteria for funding, and an applicant's ability to advance the State's housing goals. The HTFC also reserves the right to change or disallow aspects of the applications received and may make such changes as an expressed condition of its commitment to provide funding to a program. The HTFC reserves the right to award less than the requested amount.

## III. **EVALUATION AND SELECTION**

### A. **General Goals and Objectives**

The OCR will evaluate the investment of the resources made available through this RFP using the following three criteria: **Fundamentals, Leverage, and Outcomes**. This framework accommodates all scoring criteria currently utilized by the OCR. These decisions will also be made in the context of a competitive process. To the extent feasible, the OCR will allocate its resources to meet housing needs and achieve a geographic distribution of funding across the State, while promoting community development policies that emphasize the needs of underserved communities and which advance smart growth principals and healthy living environments.

**Fundamentals:** consider the basic components of any investment – such as feasibility, applicant team experience/capacity, and program structure. Under this RFP, the OCR will also consider certain threshold requirements specific to the RESTORE Program. The OCR will evaluate, among other things, not only whether the investment is feasible but for our investment; whether all the necessary components are identified and committed and whether the applicant has the proven

experience and team members to successfully complete the investment in the time allowed.

**Leverage:** considers whether the HCR investment leverages significant outside resources such as third party funds, local funds and/or local support. Preference will be given to those applicants that demonstrate a **commitment** of leveraged funds from sources other than state funds at the time of application. A commitment means written documentation that funds are awarded to the applicant from the outside resource(s).

**Outcomes:** considers policy goals achieved by a particular investment. The OCR will evaluate whether the application proposes a quality program that efficiently responds to the needs of the community by producing a transformative effect or sustains a more livable community.

## **B. Application for Funding Processing Steps**

- 1. Application Receipt** – Once a RESTORE Application is submitted through the CDOL, or a pre-approved paper application is submitted through a delivery confirmation mail service, an identification number is assigned and the application is made available for review by the appropriate and assigned program staff.
- 2. Eligibility Review** – All RESTORE Program applications are reviewed according to eligibility criteria which are summarized below. The OCR, in its sole discretion, will discontinue processing applications that it determines to be substantially incomplete. Substantially incomplete applications are those in which a minimum of 30 percent of the required exhibits and/or attachments are missing from the initial application submission. **Applications that fail to meet all of the-required criteria will not be reviewed further.**

### **RESTORE eligibility criteria:**

- Eligible applicants for the RESTORE Program are units of local government and organizations incorporated under the New York State Not-For-Profit Corporation Law, that have been providing relevant service to the community for at least one year prior to application date.
- Eligible activities include any repairs to 1-4 unit residential dwellings owned and occupied by low-income elderly homeowners that correct any emergency housing conditions. Emergency housing conditions are defined as hazardous conditions posing a threat to the life, health or safety of the property owner or eligible resident. Emergency repairs may include, but are not limited to the following: heating system repairs or replacement, electrical repairs or upgrades to electrical systems, and plumbing repairs.
- Emergency assistance must be limited to a lifetime maximum of \$5,000 per property.
- Assistance can only be provided to elderly homeowner(s) aged 60 or over who occupy the building and have a household income of less than eighty

percent (80%) of the area median income. If the structure contains rental units, only the unit occupied by the qualified homeowner(s) may be assisted with RESTORE Program funds.

3. **Rating and Ranking** – All RESTORE Program applications will be scored on criteria derived from the regulatory and policy considerations of the RESTORE program. Application ratings are based only on the application materials received by the submission deadlines.
4. **HTFC Board Approval** – The OCR must present all proposed RESTORE Program award recommendations to the HTFC Board of Directors, who must approve such awards, and provide the OCR with authorization to proceed, before notification of awards and the entering into of a grant agreements may commence.
5. **Application Review Letter** – RESTORE applicants will be issued a formal letter to inform them of the final status of their application(s);
  - a. Selected for Funding
  - b. Not Selected for Funding
6. **Program Agreement** - RESTORE applicants selected for funding may be asked to revise parts of their proposal prior to issuance of a Program Agreement. After required revisions are submitted and approved, a Program Agreement will be issued. **Applicants are reminded in advance that activity related to the program must not begin until a Program Agreement is executed with the HTFC.**

The HTFC expects to enter into a Program Agreement within 45 business days of the RESTORE applicant's compliance with submission requirements.

Awardees are required to provide supplemental documentation with the Program Agreement. This documentation includes the following, at a minimum:

- Certificate of General Liability Insurance;
- Workers' Compensation and Disability Insurance;
- Fire and Casualty Insurance; and
- a Fidelity Bond in the amount of at least half of the award amount and naming The HTFC as loss payee in accordance with the Program Agreement requirements.

7. **Implementation Meeting** – RESTORE Program awardees may be asked to attend a program implementation meeting to discuss the overall grant administration and program requirements that must be met to ensure the successful implementation of an awarded program. Topics generally include, but are not limited to, file maintenance, financial management, statutory requirements, and programmatic compliance.

#### IV. RESTORE PROGRAM RATING CRITERIA

Each RESTORE application that is determined to be complete and eligible will be scored on a 100 point scale, based on the criteria listed below.

1. **Community Needs – (Up to 10 points)** – Measures the extent of need in the proposed service area. Proposed programs in service area with the most need will receive the most points (measured by number and percent of income eligible elderly homeowners in the area living in substandard housing conditions).
  - a. **Low-Income Elderly Homeowners in Service Area – (5 points)** – Applicant must document the percentage of low-income elderly homeowners in the service area, and document the source of the data utilized.
  - b. **Housing Conditions of Elderly Homeowners in the Service Area – (5 points)** – Applicant must document the number or percentage of low-income elderly homeowners that need emergency repairs in the service area, and the source of the data utilized.
2. **Housing and Aging Services – (Up to 10 points)** – Measures the extent to which the proposed program demonstrates links to other senior citizen service providers in the service area and that those links are fully documented in the application. Applicants who are able to formally document referral agreements from service providers will receive the most points. Formal documentation of the agreements must be attached to the CDOL application at the time of submission to be considered.
3. **Organizational Experience**
  - a. **Experience – (Up to 10 points)** – Applicant must demonstrate the organization’s experience (for the last three to five contract years) with the RESTORE Program, or other similar programs. Applicants listing experience in home repair and rehabilitation grant administration will receive the most points.
  - b. **Program Penalty Deductions**
    - Applicants with incomplete RESTORE program awards which were awarded in the past three years – **(Deduct 2 points for each)**;
    - Applicants with documented RESTORE grant administration issues which include, but are not limited to: multiple amendments to complete contract, fiscal concerns, or building owner complaints – **(Deduct 1-2 points)**
    - Applicants that are not in good standing with other HCR Programs or contracts – **(Deduct 1-2 points for each)**
4. **Leveraging – (10 points)** – Applicant must demonstrate committed and eligible sources of funds that will be leveraged by the requested RESTORE funds. Applicants presenting high percentages of private sources of committed leveraged funds will receive the most points. Formal documentation of financial

commitments must be attached to the CDOL application at the time of submission to be considered. Sources of funds that are not relevant or feasible sources to contribute to the proposed RESTORE project will not be considered as leveraged funds for the purposes of this scoring criterion.

- 5. Program Design & Implementation Capacity – (60 points)** – Applicants must demonstrate the organization’s staff capacity, program design, readiness and organizational implementation capacity. You must show the ability to fully comply with all program requirements, propose detailed practices and procedures that will result in an optimal performance and show no indication of impediments to timely, effective, and efficient program implementation and completion. Those applicants able to demonstrate that minimal technical assistance will be required will receive the most points.

## **V. APPLICATION AND TECHNICAL ASSISTANCE**

Applicants are encouraged to review the RESTORE program application instructions for technical assistance with the RESTORE CDOL application. The OCR will offer a technical assistance webinar on November 14, 2013, to provide a program overview, a demonstration of the CDOL application system and to answer application FAQs. Potential applicants interested in participating in the webinar may register via e-mail at [OCRinfo@nyshcr.org](mailto:OCRinfo@nyshcr.org). The e-mail should include participant’s name, organization name, phone number and e-mail address. The subject line of the e-mail should read “RESTORE TA Webinar Registration”.

Additional assistance may be available upon request. Please contact the OCR staff at (518) 474-2057 with any questions related to program eligibility.