

Issuance of Answers to Questions, July 29, 2013

Request for Proposals #070913

Program Management Services for New York State CDBG-DR

Disaster Housing Recovery Programs

New York State Housing Trust Fund

| No. | Question | Answer |
|-----|--|---|
| 1 | Assuming there is a selection decision by August 12, then there is just a month to get folks in place, trained and in position for the assignment in addition to the fact that some of the staff may possibly be new hires. We are not saying this cannot be accomplished but it is complex. Has HCR examined the complexities of this mobilization and do you feel that this is a realistic schedule for this level of outreach centers and staffing? | Yes. The successful respondent will demonstrate a track record of operational excellence, consistency, quality, flexible capacity, strong systems of accountability and compliance. |
| 2 | Is that portion of the schedule relative to Question #1 set firmly? Would it be acceptable to propose a “ramping up” of staff if the staffing and operational plan meets all other RFP criteria? | Respondents are being evaluated partially based on readiness. Those who show the ability to staff up quickly and are ready to perform all tasks will be rated more highly. Specific work plans, examples of past mobilization experience and verifiable statistics as to project management capacity are expected. |
| 3 | In the first paragraph of “Start-up of Operations” in the scope of work, it states the “facility” will be supplied by HTFC. There were some comments in the pre-proposal meeting regarding the use of office space and whether it would be provided by HCR at all locations or whether the consultant would provide space. Can you give specifics on the space that will be provided or will need to be provided? | The 10 Disaster Recovery Program Offices will be provided by HCR. Some additional administrative office space will also be provided by HCR in Melville, Long Island. The exact amount of space available to Respondents remains to be determined. Respondents should expect to provide any additional space required. |
| 4 | On Page 13 it states..computers, office furniture and telecommunications equipment, and other equipment as necessary for the core functions of the Offices, will be supplied by HTFC). Will HTFC also be providing the internet and networking connections necessary? | Yes |
| 5 | Will HTFC be providing the phone infrastructure to be able to perform the inbound/outbound calling functionality at the 10 locations. | Yes |

| | | |
|---|--|---|
| 6 | Where does the State expect the prime contractor to locate its project headquarters (i.e., in Albany or in one of the impacted communities?) | Some administrative space will be provided in Melville, Long Island. It is preferred that the project headquarters be on Long Island, but Respondents may be flexible and cost conscious in selecting locations for such additional back office facilities as may be required beyond the space provided by the State. |
| 7 | For the Case Management tasks listed in pages 17-19 of the RFP, can some of these tasks be performed at a different location from the Recovery Centers? If so, what Case Management tasks listed on pages 17-19 can be done remotely from the Centers? | Yes. The Program Manager is encouraged to identify opportunities to perform certain functions in a centralized back office to streamline operations and achieve the associated efficiencies. |
| 8 | Are all the 10 sites identified that HTFC will be implementing? How many centers are currently set-up and operational and where are they located? | <p>Locations are open or will be open in the following locations:</p> <ul style="list-style-type: none"> ■ Nassau <ul style="list-style-type: none"> – Inwood – Island Park – Long Beach – Freeport – Seaford/Massapequa ■ Suffolk <ul style="list-style-type: none"> – Copiague/Lindenhurst – West Islip – Patchogue – Shirley – Riverhead <p>Central operations are planned for Melville, Long Island. We also have an office for the buyout program on Staten Island, NYC. These are the only locations currently planned, but we reserve the right to plan for and open other offices as necessary.</p> |
| 9 | Will the contractor have the ability to recommend sites for the recovery offices? | The State has committed to existing sites. The successful Respondent will be invited to recommend new or |

| | | |
|----|--|--|
| | | adjusted sites to the State as program needs evolve. |
| 10 | Should our responses primarily focus on the Nassau and Suffolk county areas? | Please refer to the State's publicly released CDBG-DR Action Plan, HUD's Notice of Funds Available, and the conditions of the U.S. Congress's Supplemental Appropriation governing these CDBG-DR funds. |
| 11 | Does HCR know for certain that the information technology systems to be provided will be adequate to support the volume of data to be managed ? | To the best of HCR's knowledge, the IT systems provided will be adequate. However, the complexities of large-scale IT implementations are widely recognized. Respondents would be wise to contemplate flexible contingency plans for a range of potential outcomes. |
| 12 | <p>a. Does the IT software system being developed include program management?</p> <p>b. Case management?</p> <p>c. Will the Program Management Services Contractor be responsible for developing a MIS/Case Management infrastructure for the disaster recovery housing programs?</p> <p>d. If NO, who will be responsible for developing the system? Who is the selected IT vendor for this RFP?</p> <p>e. If there is already a MIS/Case Management system, please provide the documentation/file structure/screen shots for the system so we can understand what the Case Managers and Information Management Specialists will be working with.</p> <p>f. Is there an application and/or management information system to support these programs?</p> <p>g. Will the IT vendor already have a IT platform in place?</p> <p>h. If so, what are the areas the platform will cover?</p> <p>i. Has the state already initiated the development of an IT solution or is the selected contractor responsible for the development of the system?</p> | <p>a. Yes, limited to managing program work flow, and data warehousing.</p> <p>b. Yes</p> <p>c. No</p> <p>d. Agate Software and NYS</p> <p>e. See attached.</p> <p>f. Yes</p> <p>g. The State is hosting the platform</p> <p>h. Case Management, Draw Management, Change Order Management, Environmental Review Management, Imaged Document Management</p> <p>i. Yes, online application and verification modules are implemented.</p> |

| | | |
|----|---|--|
| 13 | Will the system used for intake of Applications and Review be provided to the contractor? Please confirm that there is a system available for both Application intake and Application Review. IF the system is to be provided, will it continue to reside in it's current location or is the contractor expected to house the system? If the contractor is expected to house the system, please provide current server configurations and equipment requirements. | The system for application intake and review will be provided. There is a system available for both application intake and review. It will continue to reside in its current location. |
| 14 | Will the Information Management Specialist be interfacing with an equivalent in HTFC? If the system ,is housed at HTFC, will the Information Management Specialist be given proper access to perform all of the duties listed? | Yes |
| 15 | Neither the "Recreate NY Smart Home Programs Homeowners Procedure Manual" nor the "Recreate NY Smart Home Programs Homeowner Policy Manual" mentioned on page 4 of the RFP is currently available at www.nyshcr.org/Programs/NYS-CDBG-DR/ . Will the state please either indicate where these documents are or publish them? Will the policy and procedures manuals being developed require processes that could affect the budget? | The Policy Manual will be released soon and made available on the HCR website along with all other CDBG-DR related documents. |
| 16 | Who is responsible for environmental reviews and their timing? Regarding the anticipated Construction Management Contract, will that contract include NEPA and/or Historic Preservation review responsibilities? If the Management Construction Contract does NOT include the environmental and historic preservation review functions does the state anticipate issuing a separate RFP to procure those services? | As administering agency, HCR and HTFC will be responsible for environmental reviews and their timing. |
| 17 | Tier I and Tier II environmental reviews will be required prior to providing funding for a construction related activity. <ul style="list-style-type: none"> ■ What agency (or contractor) is responsible for completing these reviews? ■ How will the agency ensure that the timing of these reviews is coordinated between the agency and program participants? ■ Will Tier II reviews be required before buyout of property or after once the known re-use is identified? (We got a waiver for Katrina) | As administering agency, HCR and HTFC will be responsible for environmental reviews and their timing. |
| 18 | Are lead abatement, asbestos, energy/green standards considered an expense to applicant? Or are these considered to be included in the project delivery costs? | These items are considered a project cost, and are eligible expenses for CDBG-DR funding. |
| 19 | On page 3 of the RFP, it states "Additionally, as a function of Program Management, the selected firm will oversee a separate construction management entity..." Can you clarify or expand on what responsibilities the selected vendor will | The Respondent will not supervise, direct or allocate the resources of the entities providing construction management support. The successful |

| | | |
|----|---|--|
| | have in oversight of the construction management entity? | Respondent will oversee the construction management process by funneling eligible projects into construction management on a “push basis” and receiving information on a “pull” basis, and evaluating, monitoring and reporting on progress and performance for the end-to-end process of all applicants, including construction management. |
| 20 | Page 24 of the budget requests a breakdown of case management costs by deliverables. One of the items listed is “coordination with construction management”. Please provide additional information about the nature of the deliverable and how compensation will be paid for this service since the level of effort may vary considerably. | This coordination is expected to require limited additional resources. Most elements of coordination are expected to take place through the case worker standard operating procedures (see Answer #19), where respondents are expected to institute strong accountability and compliance systems, and ensure consistency and timeliness in assimilating policy changes in conjunction with the construction management organization. |
| 21 | Can you confirm that construction management services will be procured separately and should not be addressed in the Proposal per Page 43? | Construction management services do not need to be addressed in the Proposal. |
| 22 | Do the tasks and activities of the Respondent and Subcontractors or Partners need to describe the activities of the Construction Management company? | No |
| 23 | The RFP refers to construction management separately. What is the timing on that procurement? It has impacts on benefit calculations, eligibility, gap financing, among others. | The State will ensure construction management capacity is adequate to meet program needs. |
| 24 | The list of qualifications on Page 11 includes construction management of basic home repair and flood and disaster resiliency. Page 18, item 2.c. suggests that the Case Mangers will be engaged in construction related matters (review of scopes of work, amount needed for repairs, resolution of disagreements, design, zoning, etc.) We do not, however, see any position descriptions that include construction related skills, knowledge and experience. Please clarify the requirements in this RFP related to rehabilitation and construction oversight and the role of Case Worker or other staff, to be identified, to carry out the responsibilities. | Case managers and other staff in the recovery centers will require only a basic understanding of home building and repair sufficient to facilitate conversations between the homeowner and the construction manager. They will not be directly involved in inspecting or approving construction work. |
| 25 | Will there be any architectural responsibilities for a | In some cases an architect or |

| | | |
|----|---|---|
| | homeowner to participate in design? | engineer will be required due to the scope of an individual project. These roles will be provided by the construction management organization. Case workers will facilitate these discussions as necessary, but will not be required to procure or manage architectural or engineering expertise. |
| 26 | On page 3 of the RFP, it states “New York State is already accepting applications for CDBG-DR assistance and has begun processing applicants through the initial stages of case management.” | The State has been accepting applications since April 26, 2013. |
| 27 | Is there a separate Contractor currently performing this process and is the Contractor eligible to respond to this RFP? | There is currently a firm handling the case management portion of this RFP. The State reserves the right to retain any current contractors and / or assign subcontractors to successful Respondents. |
| 28 | Will the selected vendor for this RFP be responsible for taking over the existing duties of the current Contractor or entity performing this process? | To the extent those responsibilities are encompassed in this SOW, the selected Respondent will take over those duties as prime contractor, subject to the State’s reserved right to retain any current contractors and / or assign subcontractors to successful Respondent. |
| 29 | Please provide a copy of the application to be completed by those who are seeking assistance through the Disaster Recovery Housing Programs. Have the Application forms for all of the Disaster categories been created yet? Please specify the applications by type that have been received to date. | Please see attached. |
| 30 | By program, how many applications have been received to date? What is the estimated workload (number of anticipated applications) per program? Number received on line? Number received in the intake centers? | The State is not able to providenew or additional data at this time beyond what was provided in the RFP. |
| 31 | What is the award for this RFP? | Award will be negotiated after selection based on the Respondent’s budget submitted and the State’s anticipated needs as they are known at the time of contract negotiation. |
| 32 | Call center activities are not discussed. Should we discuss call center? | The State is providing a primary disaster recovery hotline. Any other |

| | | |
|----|--|---|
| | | activities proposed by the Respondent as part of program delivery approach should be discussed in response. |
| 33 | Will payments be made from HTFC accounts or is the contractor expected to set up all payments from its bank accounts and accounting systems? | Payments will be made from HTFC. |
| 34 | Are HUD drawdowns for funds necessary in this process? If so please describe the interaction with HUD for drawdowns and the contractor's role in this process. | Yes. Funds will be drawn from HUD through HTFC and will not require contractor involvement |
| 35 | <p>What is the timeframe to spend the funds? Title IX of the Appropriations Act requires that all funds be expended within 2 years of the date that HUD obligates funds to the grantee (ie signing of the grant agreement).</p> <ul style="list-style-type: none"> ■ Has a grant agreement been signed for all or only a portion of the programs listed in the RFP? ■ If only a portion, which portion? ■ What is the agency's strategy to ensure that programs are completed within grant agreement time-frames? ■ How will the agency coordinate these time-frames with the selected contractor? | Yes, a grant agreement was signed May 14, 2013, for all programs in the RFP. We are currently working on a projection of allocations within the required timeframe. Program delivery deadlines will be set to ensure completion within grant agreement time-frames. Funds should be spent by May, 2015. |
| 36 | What is the method of distribution of funding to the applicants? Will the selected contractor be responsible for contracting with a disbursement agent? | In all cases except reimbursement, funds will be paid directly from the Housing Trust Fund to the building contractor performing the work, with approval from the construction manager and the program manager. Reimbursements, where eligible and allowed, will be paid directly by the HTFC to a homeowner. |
| 37 | In the Budget section, it states "The selected firm will commit to the same maximum price for the next 5,000 applications and so on until the end of the two-year contract, when it will charge a prorated amount for the last draw." Is this prorated amount based on the total number of applicants served, or another variable? Please confirm that the other deliverables will be compensated on a per unit basis. If not compensated on a per unit basis, what are the payment terms? What is the timetable for fund distribution? | The billing process is still being refined, and will be negotiated as part of the contracting process. It is anticipated that the selected firm will have the ability to bill monthly or quarterly, and will base its requested payment on a combination of direct expenses, applications processed, tasks completed, performance measures and deliverables. Invoices will be compared to what was submitted in the budget section of the proposal. |

| | | |
|----|--|--|
| 38 | <p>How do funds flow out to the organizations? i.e.: Will a vendor be doing the distribution of funds or does it go through HTFC? Where does a contractor's role stop and HTFC's role begin? i.e.: What is the flow? What is the deadline to get payments out to homeowners? Is there a 30 day window?</p> | <p>In most cases, the contractor will submit a request for payment to the construction manager following inspection. The construction manager will submit a request for payment to the case manager assigned by the program manager, who will identify the source(s) of funds (escrow, CDBG, etc.) The program manager will then submit the payment to OCR for review. OCR will utilize the HTFC to prepare batch payments and forward the Warrant and CSV file to the State Treasury. The State Treasury will approve payment and verify that funds have been received from the US Dept. of Treasury. HTFC will then send the funds to the contractor via ACH wire transfer. In the case of reimbursement, the funds will be provided using the same methodology to the homeowner. It is anticipated, though not guaranteed, that this process will take approximately 30 days.</p> |
| 39 | <p>For the buyout program, what entity will be receiving the properties? Is the selected contractor responsible for running titles on the properties and conducting the closing?</p> | <p>The Housing Trust Fund will be the receiving entity, and the Program Manager will be responsible for running titles and conducting the closing.</p> |
| 40 | <p>Will SBA loans be required?</p> | <p>Please refer to recently released guidance from HUD.</p> |
| 41 | <p>Does the cover letter count against the 30-page limit? In regards to the proposals 30 page limit are the following included in this limit:</p> <ul style="list-style-type: none"> ■ EEO & WMBE Forms? ■ Schedules/Timelines? ■ Organizational Charts? ■ Staff Rates? ■ Project Experience? ■ Subcontractor Agreements? ■ Other Forms, as provided in the Appendix of the | <p>The 30-page limit applies to the cover letter and your narrative responses to the following: Section B - Background and Experience (including organizational charts but excluding references and resumes); Section C – Approach and Methodology; and Section D – Budget and Budget Narrative. Required attachments, such as the Respondent Overview, and the EEO staffing and MWBE utilization plans do not count towards the 30 pages.</p> <p>Specific guidelines as to whether</p> |

| | | |
|----|---|---|
| | RFP? | <p>individual sections will be counted toward the 30 page limit are as follows:</p> <ul style="list-style-type: none"> ■ EEO & WMBE Forms - No ■ Schedules/Timelines - Yes ■ Organizational Charts - Yes ■ Staff Rates - Yes ■ Project Experience - Yes ■ Subcontractor Agreements - No ■ Other Forms, as provided in the Appendix of the RFP - No |
| 42 | In regards to the resumes, would you like to see resumes for key employees or all staff to be assigned to the project, which could be quite extensive? | Part of what this RFP evaluates is a firm's readiness to start in a short period of time. Please provide a sufficient number and selection of resumes to demonstrate that your firm can meet the timeframe required and have the skills necessary to deliver on all of the tasks required. Resumes do not count towards the 30-page limit. |
| 43 | Given the amount of space it will take to provide background and experience for the prime and each subcontractor, the amount of detail required to adequately discuss an approach to Startup Operations and Master Program Management, and the length and complexity of the budget section, would the state consider excluding the Budget from the 30-page limit? | No |
| 44 | The RFP asks that the materials be provided in order, versus referring to other locations. Therefore, would you like the resumes in the body of the proposal, even though they are not part of the allocated 30 pages or would you like them in an Appendix? | Either way is acceptable, but placement in an appendix is preferred. |
| 45 | Can we use larger pages such as 11X17 pages; are they allowed for timelines? | No |
| 46 | Is a GSA schedule needed? It does not seem to mention it but the job roles appear to be written for one. | No. |

| | | |
|----|---|---|
| 47 | The RFP on page 22, asks for staff rates – are these for all roles in the proposal, or only those newly proposed? | This is for all roles. |
| 48 | <p>Please confirm that the deliverables on page 24 only refer to the costs associated with the homeowners programs and not the small and large multifamily programs. Does the Program Management Service Contract include management of the small and large multifamily programs identified on Page 8 and 9?</p> <p>If YES:</p> <ul style="list-style-type: none"> ■ What are the tasks and labor categories associated with those responsibilities? ■ What volume of applications should we assume for each program? ■ Are there policies and procedures manuals for these programs? If YES, please provide copies. | The tasks, deliverables and labor categories for multi-family programs are included in the scope of work provided in the RFP. The respondent may suggest additional tasks and deliverables as part of their response. HCR may also issue additional guidance as necessary. Application data on each program is not available at this time. The policy manuals will soon be made available. |
| 49 | Since there was no formal sign-in, Is there a way for all competitors to know who else is proposing and/or interested in teaming? Can HTFC provide the list of attendees and phone participants at the Respondent’s conference? | The list of attendees to the respondent conference is now provided. |
| 50 | I am the principal manager of a minority consulting firm registered with New York State. With reference to the above RFP, I am not in a position to serve in the capacity of the most senior positions but could work as a Case Work Site Manager, a QA/QC Officer or Case Work Team Leader. My question is: Can I submit a proposal to serve in any of those capacities or should I try to identify the firms that are bidding and attempt to become a sub-contractor? | The RFP was designed to permit HTFC to select a firm to provide all of the services described. However, it also provides the opportunity for two or more firms to enter into a partnership, joint venture or subcontracting relationship, as long as a lead firm is identified that will be responsible for delivery of all the activities/deliverables and for a single invoicing process. |
| 51 | For MWBE credit, would we be allowed to subcontract? | Yes. Any teaming or subcontracting arrangements allowable under the terms of this procurement and the State’s procurement guidelines are encouraged in order to provide the best combination of skills and capacity to meet the State’s needs. |
| 52 | With respect to MWB, WBE goals, are minority business counted towards these goals if they are not registered with the state? | No. Please refer businesses interested in getting certified by Empire State Development (ESD) to the Office of Fair Housing and Equal Opportunity at OFHEO@nyshcr.org |

| | | |
|-----|--|--|
| 53 | Does the Workforce Employment Utilization and M/WBE Quarterly Reports need to be completed for this proposal? If so, are they for a determinate prior time period or merely provided as examples of what will need to be submitted once the project is awarded? | These forms are only provided as examples and do not need to be filled out. They will be required for the successful respondent. |
| 54 | The RFP mentioned that a CM (Construction Manager) and supporting “contractors, consultants,” etc. would be coordinated with. For firms proposing on this RFP, would they be precluded from proposing on future work? In other words, our firm performs both consulting, CM and construction services so would be precluded from going after the CM portion of the projects if we are selected as the program manager? | Respondents will only be precluded from proposing on future work where the interests of the State or the public would be compromised by a conflict of interest. Since the form of any potential CM procurements is not yet finalized, specific preclusions cannot be determined in the abstract. However, it is in the State’s interest to ensure broad and thorough access by qualified firms to its procurements, and so every effort will be made to avoid preclusions without compromising public interests. |
| 55 | <p>What specific New York state certifications, licenses, and registrations need to be completed and:</p> <ul style="list-style-type: none"> a. Submitted and included in the Proposal, b. Submitted prior to the award date, and c. Submitted prior to the contract signing? | Please refer to the State’s publicly available procurement guidelines. |
| 56. | What firm or organization, if any, provided assistance or advice in preparing the RFP? If a firm or organization did assist or provide advice in the preparation, is that entity precluded from bidding on the RFP as a prime contractor? As a sub-contractor? | Staff from McKinsey and Company provided advice in preparing the RFP. They are precluded from bidding on this RFP or serving as a sub-contractor. |