

**Request for Proposals  
Weatherization Assistance Program  
Competitive Funding for Weatherization Special Projects**

**Bid Number: WAP-0717  
Issued May 31, 2012**

**New York State Homes and Community Renewal**

**Hampton Plaza  
38-40 State Street  
Albany, NY 12207**

**Submission Deadline:  
July 17, 2012**

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**SECTION 1. FUNDING AVAILABILITY AND GENERAL REQUIREMENTS**

New York State Homes and Community Renewal (HCR) is seeking proposals for a competitive set aside of funds in its 2012-13 Weatherization Assistance Program (Program). Approximately \$2,000,000 will be made available to eligible applicants for the purpose of targeting and leveraging funds to achieve one or more of three priority outcomes. Individual applicants may request no less than \$150,000 and no more than \$600,000 (note: the terms “applicant” and “bidder” are used interchangeably throughout this document). Organizations that have been designated by HCR as a Program subgrantee are eligible to apply. See section 1.2, below, for applicant eligibility requirements. Meaningful and well-defined partnerships that leverage resources with local governments, and other housing, community development, health, and supportive service organizations are strongly encouraged.

HCR administers the Program each year on behalf of New York State with funding from the US Departments of Energy (from the Federal Program allocation) and Health and Human Services (from the Federal Low-Income Home Energy Assistance Program, passed through the NYS Office of Temporary and Disability Assistance).

**1.1 New York State Weatherization Assistance Program Goals**

This Request for Proposals (RFP) was developed in conformance with the following goals:

- Reducing energy use and energy expenditures by low-income households and owners of housing affordable to low-income households
- Providing assistance to vulnerable populations, including the elderly, families with children, persons with disabilities and recipients of Home Energy Assistance Program assistance
- Improving the health and safety of low-income households, particularly with respect to energy-related building components and systems
- Advancing the technical capacity of the Program
- Promoting local economic opportunity, including opportunity for minority and women-owned businesses
- Strengthening disadvantaged communities, including distressed urban neighborhoods and rural areas with high concentrations of low-income households
- Establishing partnerships between subgrantees and other community-based organizations
- Accountability and transparency

## Schedule

<b>RFP issued (submitted to Contract Reporter)</b>	<b>May 31, 2012</b>
<b>Application Workshop/Bidder's Conference</b>	<b>June 7, 2012</b>
<b>Deadline to Submit Questions</b>	<b>June 14, 2012</b>
<b>Answers to be Posted on HCR web site</b>	<b>June 22, 2012</b>
<b>Submission Deadline</b>	<b>July 17, 2012 (5:00 P.M. EST)</b>
<b>Announcement of Awards</b>	<b>August, 2012</b>

### 1.2 Program Overview

The Program is administered by HCR through its Office of Housing Preservation. The Program provides energy conservation assistance on behalf of income-eligible individuals and families to improve the energy efficiency of their dwellings and to reduce their housing expenditures for fuel and electricity. Funds are provided to weatherize the dwelling units of homeowners and renters with high energy costs in relation to their household income. Priority for weatherization services is given to households with children, the elderly, persons with disabilities, as well as Home Energy Assistance Program (HEAP) recipients. Program-wide, the average cost per unit for assistance must not exceed \$6,500.

Program services are delivered through a statewide network of local service providers (subgrantees). Subgrantees must follow sound internal management policies and provide skilled workmanship, high quality materials, and timely production of units. The performance of these subgrantees is evaluated on a continuing basis. Subgrantees include community action agencies, other community-based not-for-profit organizations, and local governmental agencies.

### 1.3 Funding Availability

Consistent with the State's Plan for the Program, \$2,000,000 been reserved to provide assistance to targeted housing. HCR may, at its discretion, allocate more funding if additional funds become available, or allocate less than the total amount available. Individual applicants may request no less than \$150,000 and no more than \$600,000.

### 1.4 Applicant Eligibility

This solicitation is being completed in conformance with the requirements of Section 440.14 of the Weatherization Assistance Program Final Rule, as published by DOE on February 1, 2002. Each applicant must have been funded as Program subgrantee on or after April 1, 2009 to be eligible to apply, and must be in good standing with HCR. Applicants will be required to demonstrate a history of responsibility in contracting with New York State (see Section 3, below). Applicants that do not meet these requirements are not eligible to apply.

Two or more entities may choose to partner in applying to this RFP. In this "team" approach, there must be a "prime" respondent who submits the RFP on behalf of the team and assumes all responsibility for program compliance; this includes working with subcontractors. Each applicant, whether using a team approach or applying as a sole subgrantee, must demonstrate

compliance with all rules associated with the program and show the capacity to successfully complete all functions normally associated with weatherization work.

Any current subgrantees applying for funds continue to be subject to the production requirements of their regular allocation for Weatherization funding and will be required to meet all requirements associated with this solicitation.

### **1.5 Identify of Ownership**

For the purposes of this RFP, neither the subgrantee nor any of its partners may have an ownership interest in any of the buildings to be weatherized. Subgrantees are also not permitted to spend funds from this RFP on properties in which any of its board members, executive staff, or staff working directly in the Program, have an ownership interest.

### **1.6 Role of Subgrantee**

Under contract with HCR, subgrantees perform a number of services, including: a) outreach and identification of appropriate properties and income eligibility verification of residents ; b) evaluation of the energy efficiency of dwelling units proposed to be weatherized; c) installation of cost effective energy-saving measures and supervision of workers and subcontractors; d) identification and mitigation of related health and safety concerns; e) maintenance of client and program files; and, f) preparation of regular management and fiscal progress reports; and other actions necessary to ensure compliance with State and Federal Program rules. HCR has the responsibility for overall monitoring and oversight, and provides an ongoing training program to improve services.

### **1.7 Administrative Fees and Advances**

HCR provides administrative funding to subgrantees. The administrative rate for subgrantees receiving funds through this Request for Proposals will be 5% of the actual amount used to complete projects for which funds are awarded, not to exceed 5% of the total award amount.

Administrative funding can be used by subgrantees to cover eligible administrative costs. See 10 CFR 440.18(d), 10 CFR 600.127 and section 2.00 of the Weatherization Assistance Program Policies and Procedures Manual (PPM) for additional information on administrative costs.

Any contracts awarded under this procurement may provide for advance payments not to exceed 15% of the total allocation and will be paid following final approval of the contract from the Office of State Comptroller and in accordance with Weatherization program policies and procedures. Advance payments will be limited to actual cash needs of subgrantees. Please refer to Section 7.04.02 of the PPM.

### **1.8 Eligible Weatherization Activities**

HCR allows subgrantees to install any measures permitted by federal regulations. The work done in each unit must be determined to be cost-effective based on a DOE-approved energy audit. Generally, eligible work consists of air sealing, insulation, heating system repairs, window or heating system replacement, electric base load reduction, and certain work items that mitigate energy-related health and safety concerns. Other than health and safety measures, only those measures with a savings-to-investment ratio of 1.0 or greater can be installed by subgrantees. In other words, the cost of installing each energy conservation measure in a building must not exceed the savings that can be expected during the normal life of the installed measure. The cost of health and safety measures that are installed must not exceed 10% of the per-unit cost.

HCR also encourages use of renewable energy systems, alternative energy sources, and other “green” practices in its housing and energy programs. HCR will consider installation of renewable energy systems and green building materials on a case-by-case basis. Installation of renewables will only be permitted when consistent with DOE guidance and justified by a savings-to-investment ratio of 1.0 or higher, or by other allowable considerations. Any materials used must meet the specifications listed in 10 CFR 440, Appendix A, or otherwise be approved by DOE for use in the program. Applicants proposing installation of renewable energy systems will be required to obtain prior approval from HCR. HCR also encourages subgrantees to consider innovative measures. These items may be subject to DOE prior approval.

HCR also permits subgrantees to fund projects that involve converting a heating system from one fuel source to another (“fuel switching”), on a limited basis, due to the relatively high cost of electricity in the State and the prevalence of electrically-heated rental units occupied by low-income households. Fuel switching is only permitted to convert an electrically-heated building to a gas or oil heating system, and only when significant cost-savings can be demonstrated.

### **1.9 Population to Be Served**

Income eligibility for the Program is set at 60% of the State’s median income. This threshold has been selected by New York in accordance with federal HEAP regulations (Public Law 97-35, Sec. 2605 (b) (2) (B) and 10 CFR Part 440.22(3)). Subgrantees are required to give priority for service to households with elderly persons, households with children under 18 years of age, households containing persons with disabilities or medical problems that weatherization services can assist, and HEAP recipients with extremely high energy use or certain other high needs. Subgrantees should consider the extent to which the targeted portfolio includes one or more of these populations. Not less than 66 percent (50 percent for duplexes and four-unit buildings, and certain eligible types of large multi-family buildings) of the units in a building must meet the income requirements to be eligible for assistance. Federally-assisted buildings listed by DOE at the following web site:

[http://www1.eere.energy.gov/wip/multifamily\\_guidance.html](http://www1.eere.energy.gov/wip/multifamily_guidance.html) have been determined to meet this eligibility requirement. Certain other eligibility requirements may also apply to multifamily buildings.

### **1.10 Deliverables**

Applicants responding to this RFP agree to complete all proposed work in accordance with applicable program rules and regulations. All funds must be expended and all work completed by June 30, 2013.

The Weatherization Policies and Procedures Manual (PPM) describes the administrative and field deliverables associated with the Program. All subgrantees agree to implement this Program in accordance with the governing rules and regulations. HCR staff conducts regular monitoring of both field and administrative practices. Failure to meet program requirements or deliverables outlined in the resulting contract may be considered a contract default, and could result in termination of the contract, disallowed costs or other penalties.

### **1.11 Application Workshop**

An application workshop (bidder’s conference) will be held at 1:30 p.m. on June 7, 2012 at HCR’s Hampton Plaza offices (38-40 State Street) in Albany, New York. The meeting will be conducted as a video conference and broadcast simultaneously in HCR’s Buffalo, Syracuse and

New York City offices. See the appendices to this RFP for locations. All potential applicants are strongly encouraged to attend. The purpose of this meeting is to answer all questions potential applicants have and provide guidance on program planning and implementation.

## **SECTION 2. PROPOSAL SUBMISSION AND COMMUNICATION WITH HCR**

### **2.1 Proposal Submission**

Applicants are encouraged to submit proposals to HCR by electronic mail, using the forms provided for this purpose that are attached to this solicitation. Other required materials may also be attached to an electronic mail message. Electronic submissions should be addressed to:

[Weatherization@nyshcr.org](mailto:Weatherization@nyshcr.org)

The subject line should read “Competitive Weatherization Proposal”.

Applicants that choose to submit using paper copies must provide five (5) copies of all materials, and address the submission to:

NYS Homes and Community Renewal  
Office of Financial Administration  
Attention: Weatherization Proposal Submission  
Hampton Plaza, 3rd Floor  
38-40 State Street  
Albany, New York 12207

HCR must receive proposals by 5:00 p.m. EST on Tuesday, July 17, 2012. Proposals received after this time will not be considered. No faxed or hand-delivered copies will be accepted. HCR is not responsible for proposals that are not delivered or cannot be viewed due to technical reasons. Applicants are encouraged to submit early to allow time for verification of receipt.

HCR expects to notify applicants of the status of their proposal in August, 2012. The successful applicant(s) will receive notification of intent to award at this time. Applicants will be provided with instructions on contract preparation after the award is announced.

### **2.2 Communication and Inquiries**

Applicants with questions on this Request for Proposals, on the application process, or on any related program matter **before the application deadline** are encouraged to submit questions by email to [Weatherization@nyshcr.org](mailto:Weatherization@nyshcr.org). Time will be allowed at the bidder’s conference for applicant questions. Contact with HCR after the application deadline will be limited as described below.

Following the bidder’s conference, applicants have the option to submit questions in writing to HCR, provided those questions are received by HCR by 5:00 P.M., June 14, 2012. HCR will post replies on its web site by June 22, 2012. Written questions should be submitted as a .pdf attachment to an email to [weatherization@nyshcr.org](mailto:weatherization@nyshcr.org). All answers will be posted on the HCR web site at [www.nyshcr.org](http://www.nyshcr.org). After the deadline for submission, oral communication regarding the RFP with any HCR staff is not permitted.

Any procedural questions on formatting the RFP response, due dates and other submission matters must be directed to Kenneth Ford, Office of Financial Administration, at (518) 474-6434.

This RFP is subject to HCR's Procurement Lobbying Provisions. Pursuant to State Finance Law §§139-j and 139-k, this solicitation includes and imposes certain restrictions on communications between HCR and an applicant during the procurement process. An applicant is restricted from making contacts from the earliest notice of intent to solicit offers through final award and approval of the Procurement Contract (the restricted period) by HCR and, if applicable, Office of the State Comptroller, to other than designated staff unless it is a contact that is included among certain statutory exceptions set forth in State Finance Law §139-j (3) (a). Designated staff, as of the date hereof, is identified on the following page of this solicitation. HCR employees are also required to obtain certain information when contacted during the restricted period and make a determination of the responsibility of the applicant pursuant to these two statutes. Certain findings of non-responsibility can result in rejection for contract award and in the event of two findings within a four (4) year period; the applicant is debarred from obtaining governmental procurement contracts. Further information about these requirements can be found on the Office of General Services' website at

<http://ogs.ny.gov/Aboutogs/regulations/defaultAdvisoryCouncil.html>

### **2.3 Cost of Application**

All costs of preparing and submitting proposals in response to this solicitation are the sole responsibility of the applicant. HCR shall not incur any costs resulting in the preparation and delivery of a proposal. HCR will not return any submitted proposals. HCR accepts no responsibility for faulty correspondence or proposal submissions that are not delivered.

### **2.4 Selection Guidelines**

Applicants will be evaluated in accordance with the criteria outlined in Sections 3 and 4. HCR reserves the right to:

- Reject any or all proposals received in response to the RFP;
- Withdraw the RFP at any time, at its sole discretion;
- Make an award under the RFP in whole or in part;
- Disqualify any bidder whose conduct and/or proposal fails to conform to the requirements of the RFP;
- Seek clarification and non-material revisions of proposals;
- Use proposal information obtained through site visits, management interviews and the State's investigation of a bidder's qualifications, experience, ability or financial standing, and any material or information submitted by the bidder in response to the agency's request for clarifying information in the course of evaluation and/or selection under the RFP;
- Prior to the bid opening, direct bidders to submit proposal modifications addressing subsequent RFP amendments;
- Change any of the scheduled dates;
- Eliminate any mandatory, non-material specifications that cannot be complied with by all of the prospective bidders;
- Waive any requirements that, in HCR's sole discretion, are not material;
- Negotiate with the successful bidder(s) within the scope of the RFP in the best interests of the State;

- Conduct contract negotiations with the next responsible bidder(s) , should the agency be unsuccessful in negotiating with the selected bidder(s);
- Utilize any and all ideas submitted in the proposals received;
- Unless otherwise specified in the solicitation, every offer is firm and not revocable for a period of 60 days from the bid opening; and,
- Require clarification at any time during the procurement process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of a bidder's proposal and/or to determine a bidder's compliance with the requirement of the solicitation.

## **2.5 Weatherization Policies and Procedures Manual**

To ensure that all applicants have a clear understanding of the rules, responsibilities and requirements of being a subgrantee under the Program, applicants are required to carefully review the PPM, which can be found on the HCR web site ([www.nyshcr.org](http://www.nyshcr.org)). Applicants are reminded that the PPM is an attachment to the contract between an applicant and HCR.

### **SECTION 3. PROPOSAL SUBMISSION AND EVALUATION**

Proposals will be evaluated in their entirety and on their ability to deliver comprehensive services under the Program. Each exhibit and attachment set forth in this section will be evaluated against the rating criteria for each requirement. The maximum score possible that a proposal can receive is 100 points.

Proposals deemed by HCR to be incomplete will not be considered for funding. Applicants should prepare their submissions by addressing each item outlined in the order that it appears. Elaborate and expensive presentations are not required and will not contribute to a more positive evaluation of the proposal. However, be sure to provide all of the information requested. Meeting all requirements of this solicitation is entirely the responsibility of the applicant.

Each applicant must submit information from each of the following sections. Any proposal which is submitted that fails to respond to any of the items will be rejected and disqualified from the review process. Answers should be labeled and ordered to correspond to the order as shown below.

#### **3.1 Required Exhibits and Attachments**

Required Exhibits:

**Exhibit One** – Proposal Summary

**Exhibit Two** – Project Narrative (do not exceed five pages)

**Exhibit Three** – Budget/Production Schedule (with supplemental page if needed)

Required attachments:

**Attachment A** – Vendor Responsibility Questionnaire

**Attachment B** – Applicant Experience - Resumes of Key Staff

**Attachment C** – Documentation of Partnerships

**Attachment D** – Partner(s) Experience

**Attachment E** – Funding Commitments for Leveraged funds

**Attachment F** – Applicable sections of revitalization or community development plan and map of target area

Each applicant must complete and submit each exhibit, and each must submit Attachments A – E. Attachment F is only required for applicants seeking points for revitalizing a distressed neighborhood. These items are required - if an applicant does not complete or submit them the proposal will not be considered for funding.

Applicants must also submit all required attachments. They must be clearly labeled and must identify the applicant and the proposal.

### **3.2 Exhibit and Attachment Instructions**

**EXHIBIT I** - provide a brief summary of the proposal, identifying the applicant and any partners involved with the proposal. Include the geographic area and population being targeted, the amount of funding requested, how many units will be weatherized, other committed funds that will be leveraged, describe any partnerships required to complete this work, and identify the outcomes to be realized if this proposal is funded.

**EXHIBIT II** - provide a narrative statement, not to exceed five pages, that describes how the applicant and partners plan to achieve the proposed outcomes. The applicant should address all components and seek to demonstrate their competency to deliver all services efficiently and effectively. Many of the rating criteria described in the following section will be evaluated using information provided in this narrative.

The following specific items must be included in the narrative:

#### Past Performance

- Describe any significant monitoring issues you have had in the past two years, both related to the Weatherization American Recovery and Reinvestment Act (ARRA) and annual Program contract, including but not limited to fiscal or regulatory compliance, procurement, and construction management and supervision. Have the issues been resolved? What steps has your organization taken to prevent similar issues in the future?
- Provide your rate of participation for minority and women owned businesses for both the ARRA and your annual contract. Did your organization meet its MBE/WBE goals for ARRA? What steps have you taken to encourage participation by MBE/WBE businesses?
- On what date did you complete your work for WAP funds in the American Recovery and Reinvestment Act?

Current Capacity - Provide evidence that the applicant will have qualified staff to complete all proposed activities. List all key personnel that will develop, operate and oversee the proposed activities. Also see instructions for Attachment B, below.

Partners - Identify any partners who will assist in carrying out the proposed activities, and the specific assistance they will provide. Also see instructions for Attachment C, below.

#### Approach

- List any proposed modification to current procedures that will be required if this proposal is funded, including intake and income eligibility determinations, building analysis/audit procedures, work scope development, project financial analysis/feasibility

determinations, process for securing owner contributions, procurement, fiscal procedures, reporting and data entry or other administrative functions, inspections, quality control and evaluation.

- Describe your workforce plan – use of in-house employees, subcontractors or a combination of both.
- Describe how weatherization projects that will be assisted through this proposal will be identified and prioritized.
- Identify the type of energy audit that will be used and whether audits will be conducted by the applicant or by an outside firm.
- Describe your process for bidding weatherization work and for procurement of subcontractors and vendors. Explain how you will reach out to potential minority and women-owned firms.
- Outline the means by which quality issues will be tracked and addressed. Provide a thorough explanation of how the agency will assure quality and seek feedback from owners and tenants for services provided by the applicant.

Priority Outcomes – Applicants must identify one or more priority outcomes that the proposal will achieve. *HCR recognizes that for most applicants, it will not be possible to focus on more than one outcome.*

- *Outcome 1: Promote Healthy Homes* - The primary objective of weatherization funds is to save energy. However, these funds can also be utilized to create safer living environments. Priority will be given to applicants that demonstrate they have established partnerships with county health departments, local governments, or other housing or health related not-for-profits to address energy-related health issues that may exist in housing units that will be assisted, particularly for households with children. This must involve remediation of hazardous conditions beyond the requirements of DOE Notice WPN 11-06. If the proposal includes a healthy homes component, include evidence of any partnership agreement with a local health department or other provider to provide counseling, testing, or other in-kind services intended to address residential health problems to the households that will receive assistance through this proposal. Provide evidence of firm commitments of leveraged funds that will be available to support the proposed outcomes. Those leveraged funds may be federal, state, local or private funding, and must be committed to the applicant or one of its partners to address energy-related health and safety repairs. Leveraged funds may be from a local government or private foundation, or from other state resources such as the Affordable Housing Corporation, Community Development Block Grant, RESTORE, or HOME programs.
- *Outcome 2: Preserve affordable multi-family housing* - The Program can be an important resource for improving and enhancing efficiency in multi-family housing. Program funds can be utilized to preserve a variety of housing portfolios. Indicate any specific properties to be assisted, and the extent to which those projects are ready to proceed. These may include affordable rental housing regulated by HUD, USDA HCR or another Federal, State or local entity. Projects that will assist income eligible households living in properties identified in HCR's Preservation Initiative Program are a top priority. A list of Preservation Initiative properties is available from HCR. Serving

income-eligible households living in a supportive housing setting is also a priority. Also indicate whether any of the buildings to be assisted have an existing DOE-approved energy audit that meets Program requirements, whether a scope of work has been developed for any of those buildings, and whether an owner agreement has been executed for any of those buildings.

- *Outcome 3: Revitalize distressed urban neighborhoods and rural villages* - Program subgrantees can serve as partners in larger community development efforts. Indicate whether the proposal will target funds to a specific neighborhood or village, and work in concert with a larger strategy to improve housing conditions in that area. If applicable, demonstrate that the proposed work is consistent with an existing revitalization or community development plan, or will help implement a strategy or initiative identified by a Regional Economic Development Council. Discuss any specific components of the plan that will be supported by this proposal. Provide evidence of any firm commitments of funds from partnerships with other organizations working in the target area that will provide funding for homeownership, housing improvement, job training, small business development, public space improvements, or other strategies that are part of the revitalization plan.

**EXHIBIT III**– Provide the requested budget and production schedule information. Complete all sections of the form. Applicants may provide a one-page narrative attached to Exhibit Three that includes the following information:

- All other sources of funds that will be utilized, with the status of other funding (committed, applied for, etc.);
- Any in-kind support that will be utilized; and,
- Detail on use of all funds including subgrantee costs, and what measures will be paid with funds awarded through this RFP and what will be paid with other funds.

Applicants must use the forms provided in this RFP for these exhibits.

**Attachment A** – Complete and attach the Vendor Responsibility Questionnaire.

**Attachment B** - For each person identified in Exhibit Two, list:

- Experience, including number of years, in energy management in a fee for service environment, electric and gas reduction, energy auditing experience, or energy education.
- Number of years working in the Program or similar programs including the names of the programs.
- Educational background including any professional licenses held.
- Certification held by key staff in building science, lead-safe work or other relevant areas.
- Current responsibilities by program and percentage of time committed.
- List of relevant training attended.

**Attachment C** - Include a statement of qualifications or corporate resume for each partner, and attach a letter of commitment to participate for any partner(s) involved in implementing the proposal.

**Attachment D** – Provide a brief narrative statement of relevant experience of any partner(s) involved in implementing the proposal.

**Attachment E** – Attach copies of any funding commitments for funds included in the budget or claimed in support of related activities.

**Attachment F** – Attach applicable sections of revitalization or community development plans and a map of any target area that the proposal will be limited to.

### **3.2 Selection Criteria**

The following items will be scored:

#### Past Performance (15 points)

- Compliance (each proposal will receive one of the following scores):
  - The applicant (and/or any partners) has had no significant monitoring issues in the past three years (5 points)
  - The applicant or partner has had issues that have been satisfactorily resolved (3 points)
  - The applicant or partner has unresolved issues but is not in violation of any statute or regulatory requirement, or HCR monitoring has identified significant vulnerabilities (1 point)
  - The applicant is in violation of a statute or regulation (0 points)
- Minority/women owned business utilization (each proposal will receive one of the following scores):
  - The applicant met M/WBE goals during the past contract year (5 points)
  - The applicant did not meet M/WBE goals during the past contract year (0 points)
- Production (each proposal will receive one of the following scores):
  - The applicant completed all work and expended all ARRA funds on or before December 31, 2012 (5 points)
  - The applicant did not complete all work and expended all ARRA funds on or before December 31, 2012 (0 points)

#### Current Capacity (15 points)

- Staff and partners (each proposal will receive one of the following scores):
  - The applicant shows a plan that includes certified, experienced and trained staff (including any partners) to develop, operate and oversee the proposal. (15 points)
  - The applicant shows a plan that includes experienced staff (including any partners) to develop, operate and oversee the proposal, but some deficiencies that could hinder successful completion. (10 points)
  - The applicant shows a plan that includes certified, experienced and trained staff (including any partners) to develop, operate and oversee the proposal but some

key staff does not have the necessary training or certification, to the extent that the likelihood of successful completion of the proposal is compromised. (5 points)

- The applicant's plan has significant deficiencies and successful completion of the proposal is not likely. (0 points)

#### Approach (10 points)

Proposals will receive 2 points for each of the following criteria that they meet:

- The applicant has all required procedures in place that are needed for success of this program, and can be underway with few or no significant changes to operations. (2 points)
- The applicant has acceptable standards of financial accountability, submits audits on time and practices good internal controls. They also follow an acceptable process for bidding and procurement of subcontractors and vendors. (2 points)
- The applicant has proposed an acceptable process for conducting audits, developing work scopes and entering into contracts with owners, or has completed all of these activities. (2 points)
- The applicant submitted an acceptable workforce plan that includes outreach to existing and potential M/WBE firms. (2 points)
- The applicant has acceptable procedures for ensure quality workmanship and for tracking and addressing quality deficiencies. (2 points)

#### Outcome 1: Promote Healthy Homes (20 points)

Each proposal will receive one of the following scores:

- Applicant has staff or a partnership agreement with a local health department or other provider to provide counseling, testing, or other in-kind services intended to address residential health problems to the households that will receive assistance. (5 points)
- In addition to the partnership agreement, the applicant shows evidence of firm commitments of leveraged funds intended to address health and safety repairs equal to at least 50 percent of the amount requested. (10 points)
- In addition to the partnership agreement, the applicant shows evidence of firm commitments of leveraged funds intended to address health and safety repairs equal to at least 100 percent of the amount requested. (15 points)
- In addition to the partnership agreement, the applicant shows evidence of firm commitments of leveraged funds intended to address health and safety repairs equal to or greater than 150 percent of the amount requested. (20 points)

#### Outcome 2: Preserve affordable multi-family housing (20 points)

Applicants will receive up to 10 points for the type of project assisted, according to the following criteria, and up to 10 points for project readiness:

- All funds requested will be used to assist income-eligible rental housing financed with Section 8, Mitchell Lama, USDA or other regulated affordable rental housing, or used to assist income-eligible households living in a supportive housing setting. (5 points)
- All funds requested will be used to assist projects identified in HCR's Preservation Initiative Program. (10 points)
- An energy audit that meets Program requirements has been completed for at least 75 percent of the units to be assisted and a scope of work has been developed for those units. (5 points)
- An energy audit that meets Program requirements has been completed for at least 75 percent of the units to be assisted and an owner agreement has been executed for those units. (10 points)

Outcome 3: Revitalize distressed urban neighborhoods and rural villages (20 points)

Each proposal will receive one of the following scores:

- All units to be assisted will be within an identified target area that is located in an existing urban neighborhood or rural village. (5 points)
- The identified target area has an adopted revitalization or community development plan that identifies housing improvement or energy efficiency as a priority; or consists entirely of a distressed neighborhood or village that is identified as a priority for revitalization by a local government or Regional Economic Development Council. (10 points)
- The applicant has provided evidence of a firm commitment of funds from a public entity or a partnership with other organizations working in the identified target area that will provide funding equal to or greater than the amount requested in this proposal for homeownership, housing improvement, job training, small business development, public space improvements, or other strategies that are part of the revitalization plan. (15 points)
- The applicant has provided evidence of a firm commitment of funds from a public entity or a partnership with other organizations working in the target area that will provide funding greater than 150 percent of the amount requested in this proposal for homeownership, housing improvement, job training, small business development, public space improvements, or other strategies that are part of the revitalization plan. (20 points)

**SECTION 4 – REQUIRED CONTRACT MATERIALS**

The following are not required as part of a proposal submission but will be required from successful applicants before a contract is offered:

- **Standard Clauses for NYS Contracts**
- **Non-Collusive Bidding Certification**
- **Non-Discrimination in Employment in Northern Ireland**
- **Procurement Lobbying Provisions and Forms**
- **Consultant Services Forms**
- **Minority and Women-Owned Business Utilization Plan**
- **Worker's Compensation Insurance Requirements**

**Additional information**

Any procedural questions on formatting proposals, due dates and other submission matters must be directed to:

Kenneth Ford  
NYS Homes and Community Renewal  
Office of Financial Administration  
Attention: Weatherization Proposal Submission  
Hampton Plaza, 3rd Floor  
38-40 State Street  
Albany, New York 12207  
(518) 474-6434

Technical questions regarding this RFP must be submitted by email to [Weatherization@nyshcr.org](mailto:Weatherization@nyshcr.org), or directed to:

Michael Gorman  
NYS Homes and Community Renewal  
Energy and Rehabilitation Services Bureau  
Hampton Plaza, 4<sup>th</sup> Floor,  
38-40 State Street,  
Albany, New York, 12207  
(518) 474-5700

HCR's web site is [www.nyshcr.org](http://www.nyshcr.org).