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Homes and
Community Renewal

Andrew M. Cuomo, Governor

RuthAnne Visnauskas, Commissioner/CEO

DRAFT Request for Proposals
for
Section 8 Housing Choice Voucher Program
Special Purpose Local Administrators (SP-LAs)

Draft Request for Proposal Issuance Date: January 6, 2020

Deadline for Comments: February 28, 2020, 12 pm, EST

THIS DOCUMENT IS BEING ISSUED FOR DISCUSSION PURPOSES ONLY TO SEEK COMMENTS FROM INTERESTED PARTIES. NO PROPOSALS WILL BE ACCEPTED AT THIS TIME.

HOUSING TRUST FUND CORPORATION

**HAMPTON PLAZA, 38-40 STATE
STREET, ALBANY, NEW YORK 12207**

www.hcr.ny.gov

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- Exhibit B - General Requirements form** *(not included in this DRAFT RFP)*
- Appendix I -- [HTFC's Standard Clauses for Contracts](#)**, hyperlinked herein
- Appendix II -- [HTFC's Participation by Minority Group Members and Women Requirements and Procedures for Contracts](#)**, hyperlinked herein
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Table 1, Acronyms

ACRONYMS	
3PAO	Third-Party Assessment Organization
ACC	Annual Contributions Contract
ACH	Automated Clearing House
AIE	Application Intake and Eligibility
API	Application Program Interface
APP	Applicant Portal
ASA	Average Speed of Answer
ATO	Authorization to Operate
BCI	Business Confidential Information
CAR	Call Abandonment Rate
COP	Contract of Participation
COTS	Commercial Off-the-Shelf
CR-LA	County or Regionally Based Local Administrators
CSM	Case Management – Eligibility Determination Case Management – Rent Reasonableness Case Management – Participant
CSP	Cloud Service Provider
DCM	Document Imaging and Content Management
DDI	Design, Development, and Implementation
DED	Deliverable Expectations Document
DHCR	New York State Division of Housing and Community Renewal
DTF	New York State Department of Taxation and Finance
EEO	Equal Employment Opportunity
EIV	Enterprise Income Verification
ESD	Empire State Development
EST	Eastern Standard Time
FedRAMP	Federal Risk and Authorization Management Program
FISMA	Federal Information Security Management Act
FMR	Fair Market Rents
FSS	Family Self-Sufficiency
FTM	Financial Transactions Management
FTP	File Transfer Protocol
FUP	Family Unification Program
HAP	Housing Assistance Payment
HCR	New York State Homes and Community Renewal

HCV	Section 8 Housing Choice Voucher
HFA	New York State Housing Finance Agency
HOP	Homeownership Program Processing
HOTMA	Housing Opportunity Through Modernization Act
HQS	Housing Quality Standards
HTFC	Housing Trust Fund Corporation
HUD	U.S. Department of Housing and Urban Development
IEH	Information Exchange with HUD
IRS	Internal Revenue Service
ITIL	Information Technology Infrastructure Library
ITS	New York State Office of Information Technology Services
ITSP	Individual Training and Services Plan
IVR	Interactive Voice Response
IVT	Income Validation Tool
KPI	Key Performance Indicator
LA	Local Administrator
LFP	Local Administrator Fee Processing
MBE	Minority-Owned Business Enterprise
MTW	Moving to Work
MWBE	Minority- and Women-Owned Business Enterprise
NOC	Notification of Change
NYS	New York State
O&M	Operations and Maintenance
OGS	New York State Office of General Services
ONP	Case Management – Owner Portal
OOTB	Out-of-the-Box
PBV	Project-Based Voucher
PCP	Case Management – Participant Portal
PDF	Portable Document Format
PGA	Program Administration
PHA	Public Housing Authority
PIC	HUD’s PIH Information Center
PIH	Public and Indian Housing
PII	Personally Identifiable Information
POR	Portability
QCN	Quality Control
QCP	Quality Control Plan
QCMS	Quality Control Management System

RA	Repayment Agreement
RAD	Rental Assistance Demonstration
RDA	Reporting and Data Analytics
RFI	Request for Information
RFP	Request for Proposals
RFTA	Request for Tenancy Approval
RIM	Rental Integrity Monitoring
RPO	Recovery Point Objective
RTO	Recovery Time Objective
SAFMR	Small Area Fair Market Rents
SAML	Security Assertion Markup Language
SDVOB	Service-Disabled Veteran-Owned Business Enterprise
SEMAP	Section 8 Management Assessment Program
SFP	Subset and Related Federal Programs
SFTP	Secure File Transfer Protocol
SHCVS	Statewide Housing Choice Voucher System
SOC	Service Organization Control
SP-LA	Special Purpose Local Administrators
SS8	Statewide Section 8
TANF	Temporary Assistance for Needy Families
TTP	Total Tenant Payment
TPV	Tenant Protection Vouchers
UAT	User Acceptance Training
USD	United States Dollars
VASH	Veterans Affairs Supportive Housing
VAWA	Violence Against Women Act
VMS	Voucher Management System
WBE	Women-Owned Business Enterprise
WLM	Waitlist Management

HOUSING TRUST FUND CORPORATION

REQUEST FOR

PROPOSALS FOR

SECTION 8 HOUSING CHOICE VOUCHER PROGRAM

SPECIAL PURPOSE LOCAL ADMINISTRATORS

COMMENT PERIOD INSTRUCTIONS – This draft Request for Proposals is being released for the purposes of obtaining comments, suggestions, and feedback during the comment period listed in Section 5. All comments should be submitted to: **LA-RFP@nyshcr.org**. Potential proposers are otherwise required to follow the instructions below.

IMPORTANT NOTICE: A Restricted Period under the Lobbying Procurement Law is currently in effect for this procurement process and will remain in effect until approval of the Contract(s). Proposers are prohibited from Lobbying Procurement Law Contacts related to this procurement process with any employee of the Housing Trust Fund Corporation (“HTFC” or “Agency”), or its Affiliates,¹ other than the Designated Contact Officer listed below.

Lobbying Procurement Law Designated Contact Officer:

Stacey C. Mickle, Treasurer
New York State Homes and Community Renewal
Housing Trust Fund Corporation
38-40 State Street
Albany, New York 12207
Email: Stacey.Mickle@nyshcr.org

If you have inquiries regarding this request for proposals or would like to contact HTFC regarding issues not relating to Lobbying Procurement Law Contacts, please contact Lisa G. Pagnozzi, via email, at Lisa.Pagnozzi@nyshcr.org, citing the RFP page and section, no later than the date identified in the *Calendar of Events and Milestones* section of this RFP. The subject line of the email should indicate “2019 Section 8 HCV CR-LA Services.”

1. Introduction

[New York State Homes and Community Renewal](#) (“HCR”) consists of all the major housing and community renewal agencies of the State of New York (“State”), including the Housing Trust Fund Corporation (“HTFC” or the “Agency”). HCR includes other agencies (“Affiliates”) not involved in this request for proposals (“RFP”) process.

1.1 Housing Trust Fund Corporation

The [Housing Trust Fund Corporation](#) was established as a subsidiary public benefit corporation of the New York State Housing Finance Agency. HTFC’s mission is to further community development through the construction, development, revitalization and preservation of low-income housing, the development and preservation of businesses, the creation of job opportunities, and the development of public infrastructures and facilities. For further information regarding HTFC and its programs, visit HTFC’s website <https://hcr.ny.gov/>.

¹ Affiliates shall mean the New York State Division of Housing and Community Renewal, New York State Housing Finance Agency, State of New York Mortgage Agency, New York State Affordable Housing Corporation, State of New York Municipal Finance Agency and Tobacco Settlement Financing Corporation.

1.2 Section 8 Housing Choice Vouchers

Pursuant to the Housing Act of 1937 and subsequent legislation, the U.S. Department of Housing and Urban Development (“HUD”) provides funding to Public Housing Authorities (“PHAs”) through an Annual Contributions Contract (“ACC”) to administer Section 8 Housing Choice Vouchers (“HCVs”). HCVs provide subsidy to very low and extremely low-income households (referred to as families, even in the case of single-person households), to assist them in accessing housing in the private sector. HCV subsidy covers the difference between the family’s housing cost, including rent and utilities, and 30 percent of its adjusted gross income.

Although there are more than 100 PHAs in New York State (“NYS” or “State), HTFC is the only PHA that is permitted to administer Section 8 throughout the State. Under its HCV program, HTFC makes monthly Housing Assistance Payments (“HAPs”) to landlords on behalf of more than 44,500 extremely-low and very-low-income families across the State, providing more than \$460 million in federal HCV subsidies annually. For the past several decades, HTFC has delivered Section 8 services utilizing a community-based network of Local Administrators (“LAs”). Presently, a total of 41 LAs administer the HCV program in 52 counties.

HTFC fully supports 2019 New York State Legislation that prohibits housing discrimination based on lawful Source of Income, including federal Section 8 assistance. HTFC’s objective is to help families to seek and obtain quality affordable housing and reach for new opportunities for their families in communities that are diverse, inclusive and accessible.

2. Purpose

The purpose of this RFP is to establish a pre-qualified panel of vendors to assist HTFC and its partners on an as needed basis in the delivery and administration of Section 8 and other housing programs. This panel of firms will be known as Special Purpose Local Administrators (“SP-LAs”). This RFP is being released simultaneously with a Request for Proposals for Section HCV County or Regional Based Local Administrators (CR-LAs). **A Proposer may submit a proposal in response to both solicitations.**

2.1 Vision Statement

HTFC strives to be among the most innovative and high performing PHAs in the nation, both in terms of regulatory compliance and highly accessible customer service. HTFC’s LA network has and will continue to play an essential role in achieving that goal. LAs are responsible for delivering voucher services to those families most in need, applying state policy in a local context, and leveraging community resources. HTFC believes in connecting vulnerable New York families with providers who know their clients and who understand the communities they serve. HTFC seeks to supplement its community-based network with capacity from both public and private sector players who will fill in gaps, ensure consistent, high quality service across the state, and help universally apply emerging, national best practices in the State of New York.

2.1 SP-LA Proposals

HTFC seeks to establish a panel of organizations with specific subject matter expertise to supplement its network of County and Regional LAs and Section 8 partners. These organizations will be called upon to fill in gaps in service, and to provide additional capacity when necessary across the State, including in HCR’s New

York City program. Proposers may submit a proposal to provide staff and expertise in one or more of the Functional Areas listed in the Scope of Work section. SP-LAs must demonstrate they have specialized knowledge and a readily available workforce that can be deployed on a temporary or permanent basis as needed. SP-LAs should be able to mobilize quickly as needs arise.

For PBVs, Proposers are not required to submit a proposal for every county listed. They may designate which counties they are proposing to serve for the price provided. HTFC reserves the right to negotiate at any time with PBV Proposers to work in a county for which they did not submit a proposal. Counties available for PBV administration as part of this RFP include: Erie, Monroe, Onondaga, Cortland, Broome, Montgomery, Schenectady, Schoharie, Albany, Rensselaer, Bronx, Kings, New York, Staten Island, and Queens.

For all other SP-LA tasks, the Proposer must be willing to provide services anywhere in the State. It is anticipated that these tasks may be delivered remotely from any location within the State. HTFC reserves the right to negotiate the provision of Functional Areas and specific tasks identified in the Scope of Work section of this RFP at any time, with any qualified SP-LA vendor awarded a contract resulting from this RFP process (hereinafter referred to as “Contractors”). This includes Functional Areas which a Proposer did not include in its proposal but that it has sufficient capacity, in HTFC’s determination, to provide. HTFC may also negotiate on behalf of another State agency to deliver the same or similar tasks on behalf of a similar or related housing program. Selected vendors will provide an estimated price for their services. However, these prices may be subject to further negotiation depending on the specific terms and requirements of the particular work order or job.

3. Assessment of Practices relating to Diversity and Service-Disabled Veteran-Owned Business Enterprises (SDVOBs)

HTFC has determined, pursuant to New York State Executive Law Articles 15-a (Article 15-A) and 17-b (Article 17-B), respectively, that the assessment of participation by minority and/or women -owned business enterprises (MWBEs) (assessment of participation by MWBEs hereinafter referred to as “Diversity”) and SDVOB practices of Proposers responding to this RFP is practical, feasible, and appropriate.

3.1 Minority- and/or Women-Owned Business Enterprise Participation

HTFC is committed to awarding contracts to firms that are dedicated to Diversity and provide high-quality services. HTFC strongly encourages firms that are certified as MWBEs by the State’s Empire State Development (“ESD”) to submit responses to this RFP.

HTFC is required to implement the provisions of Article 15-A and 5 NYCRR, Parts 142-144 (“MWBE Regulations”) for all contracts of HTFC, as defined therein, with a value exceeding \$25,000. HTFC strongly encourages joint ventures of MWBE firms with majority firms and with other MWBE firms. For assistance identifying MWBE partners, review the [NYS MWBE Directory of Certified Firms](#), hyperlinked herein.

For purposes of this solicitation, HTFC hereby establishes an overall goal of 30% of total contract expenditures for MWBE participation, 15% for minority-owned business enterprises (“MBEs”) and 15% for women-owned business enterprises (WBEs).

3.2 Service-Disabled Veteran-Owned Business Enterprise Participation

HTFC is committed to awarding contracts to service-disabled veteran-owned businesses (“SDVOBs”) that provide high-quality services. HTFC strongly encourages firms, that are certified as SDVOBs by the State’s Office of General Services (“OGS”), to submit responses to this RFP.

HTFC is required to implement the provisions of Article 17-B for all HTFC contracts, as defined therein, with a value exceeding \$25,000. For assistance identifying SDVOB partners, review the [NYS SDVOB Directory of Certified Firms](#), hyperlinked herein.

For purposes of this solicitation, HTFC hereby establishes a goal of 6% of total contract expenditures for SDVOB participation.

3.3 MWBE and SDVOB Partner/Subcontractor Interest

State-certified MWBEs and SDVOBs may request that their firm’s contact information be included on a list of MWBE and SDVOB firms interested in serving as a partner or subcontractor. The listing will be publicly posted on HTFC’s website for reference by the bidding community. A firm wishing to be included on this list should email their contact information and a copy of their State MWBE certification and/or State SDVOB certification to Lisa.Pagnozzi@nyshcr.org. Nothing prohibits an MWBE or SDVOB firm from submitting a proposal as a prime contractor.

4 Primary Contractor and Subcontractor(s) Team

A Proposer may partner with other entities, including but not limited MWBEs and SDVOBs, to provide HTFC with the Scope of Work described in the Scope of Services section of this RFP. The Proposer must be the lead vendor (“Primary Contractor”) that will serve as the legal contracting entity with which HTFC will enter into a contract if its proposal is selected. If the proposal includes products or services from any other participating vendors, it is understood that those vendors will serve as subcontractors to the Primary Contractor.

For purposes of evaluating proposals and developing the intended agreement between HTFC and the Primary Contractor, all contributions to the project from both the Primary Contractor and its subcontractor(s), including skills, attributes, and products, will be considered as the total proposal put forth by the Proposer.

All necessary communications will be directed to the Primary Contractor.

5. Calendar of Events and Milestones (for this draft RFP)

This draft RFP is being released for informational purposes only. HTFC will welcome comments, questions and feedback from all interested parties during the comment period specified. HTFC reserves the right to modify this schedule at its discretion. Notification of changes in connection with this RFP will be made available to all interested parties via HTFC’s webpage at: <https://hcr.ny.gov/procurement-opportunities>.

Table 2, Calendar of Events and Milestones

Event	Date
Issuance of RFP Draft	January 6, 2020
Deadline for Comments to Draft RFP	February 28, 2020
Issuance of RFP	To be determined

6. Intent to Submit Proposal

Proposers are strongly encouraged to complete an *Intent to Submit Proposal* form, attached hereto as Attachment 1, and to submit the form via email to Lisa.Pagnozzi@nyshcr.org, with the subject line “*Intent to Submit Proposal*”.

The *Intent to Submit Proposal* form is discretionary and, as such, is not binding in any way. Vendors that submit an *Intent to Submit Proposal* form will be added to HCR’s Bidders’ List and will be notified of future related HCR solicitations.

7. Minimum Qualifications

7.1 SP-LA Minimum Qualifications

The Proposer and/or its subcontractors must meet the following minimum qualifications and/or requirements: Failure to do so will result in the rejection of the proposal.

- i. Must have at least one prior successful engagement -and- no less than five (5) years of experience administering Section 8 either on behalf of HTFC, another PHA, or directly with HUD.
- ii. Must own or rent physical office space within New York State.

HTFC reserves the right to modify the minimum requirements for good cause upon written request by the proposer.

8. Scope of Services (Scope of Work)

The Scope of Services for this RFP are attached hereto as Attachment 3.

9. Contents of Proposals

The Proposer is advised to thoroughly read and follow all instructions contained in this RFP. Proposals that do not comply with these instructions, or do not meet the full intent of all the requirements of this RFP, may be subject to scoring reductions during the evaluation process or may be deemed non-responsive.

HTFC does not require, nor desire, any promotional material that does not specifically address the proposal requirements in this RFP.

Each Proposer is required to submit the information and documentation listed below, in the order in which it is requested. A proposal that does not include all required information and completed forms may be subject to rejection. A complete proposal will include all Tabs as described below. Each Tab must be electronically bookmarked with the tab number and must be presented in the exact order requested in this RFP.

All materials submitted in response to this RFP shall become the property of HTFC. HTFC will not be liable for any costs incurred by any Proposer pertaining to the preparation and submittal of any written response or for participation in a demonstration in response to this RFP. Proposals are subject to disclosure under Public Officers Law, §87 (Freedom of Information Act).

The Proposer’s proposal must contain responses to the items listed below.

9.1 TAB 1: Proposal Coversheet and Summary

The Proposer must complete and submit the Proposal Cover Sheet in Attachment 5. In addition, the Proposer must include a Cover Letter. The Proposer’s cover letter must not exceed three (3) pages and should include:

1. The Proposer’s name, address, telephone number, fax number, email address and web site address, if applicable;
2. The name, title, telephone number, fax number and email address of the individual within the Proposer’s organization who will be HTFC’s primary contact concerning the proposal;
3. A summary of the Proposer’s organizational history and legal structure (e.g. corporation, evidence of MWBE and/or SDVOB certification status, etc.) and indicate if a not-for-profit entity, a for-profit entity or a government entity;
4. A statement affirming the number of years that the Proposer and/or its principals have provided CR-LA services;
5. The name(s) of the primary staff, including titles, who will provide services to HTFC;
6. A statement affirming that the Proposer has met the Minimum Qualifications detailed in Section 7 of this RFP.
7. Include the following charts:

List which tasks you are proposing to provide? (check all that apply)

Waiting List	<input type="checkbox"/>	Quality Control	<input type="checkbox"/>
Case Management	<input type="checkbox"/>	Project Based Vouchers	<input type="checkbox"/>
Administration/Program Management	<input type="checkbox"/>	PBRA Administration	<input type="checkbox"/>

If you are proposing to administer PBVs, list the counties you will serve (check all that apply):

Albany	<input type="checkbox"/>	Onondaga	<input type="checkbox"/>
Broome	<input type="checkbox"/>	Rensselaer	<input type="checkbox"/>
Cortland	<input type="checkbox"/>	Schenectady	<input type="checkbox"/>

Erie		Schoharie	
Monroe		Warren	
Montgomery			

8. A written certification confirming that the information contained in the proposal is true and accurate and that the person signing the cover letter is authorized to submit the proposal on behalf of the Proposer.

9.2 TAB 2: Technical Proposal

This section of the RFP provides instructions to the Proposer regarding information that is to be included in the Technical Proposal. Proposals must be complete, factual and as detailed as necessary to allow HTFC to adequately evaluate capabilities and experience.

The purpose of the Technical Proposal is to provide the Proposer an opportunity to demonstrate its qualifications, experience and competence to undertake the Scope of Work described in Attachment 3, in a manner which complies with the requirements of this RFP. Proposals should specifically detail a Proposer’s qualifications and experience in providing services sought by HTFC (including the experience of its subcontractor(s), if applicable). The proposal must include responses to the items listed below.

9.2.1 Proposer Experience

The Proposer must complete the Experience form attached to this Request for Proposals in Attachment 5. Proposers shall only list experience that is relevant to this RFP. Relevant experience is defined as current or prior contractual engagements in which the Proposer performed at least one of the functions listed in the Scope of Work for this RFP on behalf of a PHA, government entity, or private contractor. The engagements listed must be relevant to the functions for which the Proposer is proposing to perform. The Proposer must check the box corresponding to which functions are/were performed.

In addition to filling in all of the basic information within the space provided, each engagement listed must include:

- A description of the work performed. and
- A listing of any monitoring or audit findings related to the work performed from either HUD or the HUD Inspector General within the last five years.

For engagements involving case management, each engagement listed must include:

- The number of vouchers administered currently and/or at the time the engagement ended.
- The SEMAP score for the past or most recent three years of the engagement.
- The utilization rate for vouchers administered either at present or at the time the engagement ended.

For engagements involving inspections, each engagement listed must include:

- The number of inspections performed in the past 12 months.
- The pass/fair rate for those inspections.

9.2.2 Proposal Narrative

The Proposer must provide a detailed written Narrative explaining why it is qualified to deliver the tasks in each functional area for which it is applying, and how it will deliver those services if asked. The Narrative shall not exceed 4 pages on 8.5x11 inch paper, single spaced, and with a minimum of 12-point font. The Proposers may include text as well as diagrams, flow charts, organizational charts, etc. The Narrative should include following:

1. A list of each functional areas the proposer is proposing to provide.
2. Where applicable, an explanation of the methodology, staff and any technology solutions that will be utilized.
3. Any tasks listed within the functional area that the proposer is not capable of providing.
4. The required lead-time the proposer would need to provide the services.
5. Any maximum or minimum volume the proposer would have in providing the service.

9.2.3 Staffing Plan

The Proposer must complete the Staffing Plan attached to this RFP in Attachment 5. The proposer must list all staff who will be made available, their area(s) of expertise, and provide a brief description of their background. Resumes for each person listed should be attached.

9.3 Tab 3: Cost Proposal

The Proposer must enter a price under the Cost Proposal Tab in Attachment 5 for each Functional Area within the Scope of Work for which they intend to bid. Proposers should be sure to follow the instructions for pricing each Functional Area. HTFC reserves the right to negotiate a lower or different fee structure with the successful Proposers.

9.4 Tab 4: Administrative Proposal

Proposers are subject to the requirements indicated in HTFC's [Standard Clauses and Requirements for Solicitations](#). Such requirements include, but are not limited to, submission of the following information and forms: 1) [Vendor Information FORM](#); 2) [Lobbying Procurement Law FORM 1 and Lobbying Procurement Law FORM 2](#); 3) [Non-Collusive Bidding Certification FORM](#); and 4) [Vendor Responsibility Questionnaire for Nonprofit or For-Profit Business Entity](#).

In addition to completion of the forms hyperlinked in the paragraph above, Proposers must provide all other information indicated.

9.4.1 Insurance Requirements

The successful Proposer (Primary Contractor) is required to provide and maintain, at its (their) sole cost and expense, the required insurance coverage, at the minimum limits specified herein, during the term of the contract and for two years after completion of work. All required insurance policies shall be maintained with insurance companies licensed within the State of New York and holding an AM Best rating of no less than A- VIII. Said policies shall contain a provision that coverage will not be canceled, non-renewed, or materially changed until at least 30 days' prior written notice has been provided to HTFC.

HTFC and its Affiliate (DHCR), and all other parties-in-interest as the Agency may designate in writing from time to time (collectively, the Additional Insureds), all as their interests may appear, shall be named as additional insureds. Primary Contractor agrees to have included in each of the above policies for Primary Contractor's parties, a waiver of the insurer's right of subrogation against the Additional Insureds.

HTFC reserves the right to set minimum insurance limits in any subcontracting agreement between the Primary Contractor and its subcontractor(s).

In addition, notwithstanding the above, HTFC reserves the right to enter into separate direct contracts with a Primary Contractor and another firm. In the event HTFC wishes to enter into such separate contracts, insurance requirements with such other firm will be disclosed at the time of tentative contract award.

The Primary Contractor shall furnish to HTFC evidence of the insurance requirements indicated below prior to execution of the awarded Agreement. The Agency reserves the right to modify these insurance requirements.

- a. Commercial General Liability Insurance, including Contractual Liability of liability of no less than One Million Dollars U.S. Dollars (\$1,000,000) per occurrence, Two Million Dollars U.S. Dollars (\$2,000,000) aggregate (Products and Completed Operations) and Four Million U.S. Dollars (\$4,000,000) General Aggregate. The limits of liability may be provided in a combination of a Commercial General Liability policy and an Umbrella Liability policy, which is written on a no less than follow form basis. The policy should be written on form CG 00 01 07 98, or its equivalent, and shall not include any exclusions or limitations other than those incorporated in the standard form. Such insurance is to be primary and non-contributory, notwithstanding any insurance maintained by the Primary Contractor.
- b. Workers' Compensation and Employers' Liability, with statutory coverage for Workers' Compensation and minimum limits of One Million U.S. Dollars (\$1,000,000) per accident, One Million U.S. Dollars (\$1,000,000) disease (each employee), and One Million U.S. Dollars (\$1,000,000) disease (policy limit) for Employers' Liability or coverage and limits complying with all regional, country, State and local requirements applicable to the services performed for the Project.

Upon notification of award, the Primary Contractor will be requested to submit one of the following forms as Workers' Compensation Insurance documentation:

- **CE-200** – Certificate of Attestation for New York Entities with No Employees and Certain Out-of-State Entities that New York State Workers' Compensation and/or Disability Benefits Insurance Coverage is Not Required; or
- **C-105.2** – Certificate of Workers' Compensation Insurance (or **U-26.3** if insured through the State Insurance Fund); or
- **SI-12** – Certificate of Workers' Compensation Self-Insurance (or **GSI-105.2** Certificate of Participation in Workers' Compensation Group Self-Insurance).

Disability (Employer's Liability) Insurance Documentation

Upon notification of award, the Primary Contractor will be requested to submit one of the following forms as Disability documentation:

- **CE-200** – Certificate of Attestation for New York Entities with No Employees and Certain Out-of-State Entities that New York State Workers' Compensation and/or Disability

Benefits Insurance Coverage is Not Required; or

- **DB-120.1** – Certificate of Disability Benefits Insurance; or
- **DB-155** – Certificate of Disability Benefits Self-Insurance.

ACORD forms are not acceptable proof of insurance. Further information is available on the Workers' Compensation Board [website](#).

- c. Data Breach and Privacy/Cyber Liability Insurance, which shall include individual limits of not less than One Million Dollars U.S. Dollar (\$1,000,000) per occurrence and Five Million Dollars U.S. Dollars (\$5,000,000) in the general aggregate. Such coverage shall include failure to protect confidential information and failure of the security of the Primary Contractor's computer systems or the users of the HTFC's systems due to the actions of the Primary Contractor that result in unauthorized access to HTFC's users or their data. Said insurance shall provide coverage for damages arising from, but not limited to the following: 1) breach of duty to protect the security and confidentiality of nonpublic proprietary corporate information; 2) personally identifiable nonpublic information (e.g., medical, financial, or personal in nature in electronic or non-electronic form); 3) privacy notification costs; 4) regulatory defense and penalties; 5) website media liability; and 6) cybertheft of customer's property, including but not limited to money and securities. If the policy is written on a claims-made basis, Primary Contractor must submit to HTFC an Endorsement providing proof that the policy provides the option to purchase an Extended Reporting Period (tail coverage) providing coverage for no less than one year after work is completed if coverage is cancelled or not renewed. This requirement applies to both primary and excess liability policies, as applicable.
- d. Errors and Omissions Liability – Errors and Omissions (or Professional Liability), which shall include Errors and Omissions (or Professional Liability) insurance with limits of Ten Million U.S. Dollars (\$10,000,000).
- e. Fidelity Bond – Commercial Blanket Fidelity Bond Insurance, which shall include a customer protection endorsement, with limits of Seven Million U.S. Dollars (\$7,000,000). Said bond shall cover, without limitation, computer crime. HTFC shall be named as an additional insured and a loss payee as its interest may appear.
- f. Umbrella/Excess Liability, with minimum limits of Ten Million U.S. Dollars (\$10,000,000) each occurrence and aggregate.
- g. Automobile Liability, of One Million U.S. Dollars (\$1,000,000) per person, One Million U.S. Dollars (\$1,000,000) per accident covering bodily injury (including death), and property damage for all vehicles that the Primary Contractor owns, hires or leases.

Certificates of Insurance, presented on ACORD form 25, accompanied by additional insured endorsement CG2010 (1001) and CG2037 (0704), if deemed necessary, or, if acceptable to HTFC, their equivalent, shall be delivered to HTFC, prior to beginning the Scope of Work, evidencing the coverage required hereunder and showing all such coverages as noted above being in force. All insurance policies provided by the Primary Contractor's parties shall be maintained under terms and conditions reasonably satisfactory to HTFC, and Primary Contractor's parties shall provide such other insurance coverage as HTFC may reasonably request from time to time. HTFC will not accept any exculpatory language, such as "endeavor to" and "but failure to do so shall impose no obligation or liability of any kind upon the insurer, its agents or representatives" on the Certificate of Insurance, i.e., the certificates shall meet the insurance requirements above.

- In addition to the foregoing, Primary Contractor and any subcontractors shall procure and

maintain all insurance that is required by any applicable current or future law, rule, regulation, ordinance, permit, license, order, or other legal requirement.

- All insurance shall be primary and non-contributory and shall waive subrogation against the Agency and any of their former, current, or future officers, directors, and employees. No deductible of more than \$50,000 shall be permitted without advance written approval by the HTFC, which the HTFC may withhold, condition, or deny at its sole and exclusive discretion.
- The Primary Contractor shall provide Certificates of Insurance to the HTFC prior to the commencement of work and shall provide full and complete copies of the actual policies and all endorsements upon request. Contractors and/or subcontractors, if any, may be required to maintain insurance meeting the requirements set forth above; however, Primary Contractor shall require subcontractors to maintain greater limits and/or other or additional insurance coverages if greater limits and/or other or additional insurance coverages are (a) generally imposed by the Primary Contractor given its normal course of business for subcontracts for similar work or services to those being provided by the subcontractor at issue; or (b) reasonable and customary in the industry for similar work or services to those anticipated hereunder.
- If the above insurance requirements exceed the type and/or amount of insurance that is reasonable and customary for similar work or services in the same general geographic area, Primary Contractor shall, within 15 calendar days of the execution of the contract, provide written notice of the same to the HTFC, along with a written summary of the type and amount of insurance Primary Contractor believes is reasonable and customary for similar work or services in the same general geographic area. HTFC may, at its sole and exclusive discretion, waive, decrease, or otherwise alter or amend the insurance requirements in light of this notice, but it is under no obligation to do so. Notwithstanding anything to the contrary herein, nothing in this paragraph requires, or shall be deemed to require, HTFC to waive, decrease, alter, or amend, in whole or in part, any insurance requirements as a result of the foregoing notice from Primary Contractor or for any other reason, and no waiver, decrease, alteration, or amendment shall be made, except as approved in advance and in writing by HTFC.
- If the above insurance requirements do not meet or exceed the type and/or amount of insurance that is reasonable and customary for similar work or services in the same general geographic area, Primary Contractor shall, within 15 calendar days of the execution of the contract, provide written notice of the same to HTFC, along with a written summary of the type and amount of insurance Primary Contractor believes is reasonable and customary for similar work or services in the same general geographic area. HTFC may, at its sole and exclusive discretion, increase, supplement, expand, or otherwise alter or amend the insurance requirements in light of this notice, but is under no obligation to do so. Notwithstanding anything to the contrary herein, nothing in this paragraph requires or shall be deemed to require HTFC to increase, supplement, expand, or otherwise alter or amend, in whole or in part, any insurance requirements as a result of the foregoing notice from Primary Contractor or for any other reason, and no increase, supplement, expansion, or other alteration or amendment shall be made, except in an amendment to this RFP or subsequent agreement, as approved in advance and in writing by HTFC.

9.4.2 Financial Capacity

The Proposer must provide the last two years of their firm's most recent tax returns and, if available,

audited financial statements.

9.4.3 Conflict of Interest

The Proposer must disclose any existing or contemplated relationship with any other person or entity, including relationships with any parent, subsidiary, or affiliated firm, that would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the Proposer or former officers and employees of HTFC and its Affiliates, in connection with rendering the services enumerated in this RFP.

If a conflict does or might exist, the Proposer must describe how the organization would eliminate or prevent it. The Proposer must also indicate what procedures will be followed to detect, notify HTFC of, and resolve any such conflicts.

The Proposer must address the matter discussed herein by completing the *Conflicts of Interest and Disclosure of Commission Findings form*, attached hereto as Exhibit A.

9.4.4 Disclosure of Commission Findings

The Proposer must disclose whether its entity, or any of its members discussed in the above paragraph, has been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, Commission), and if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.

9.4.5 Licenses, Certifications, and other Credentials

The Proposer must complete and certify using the *General Requirements* form, attached hereto as Exhibit B, that it, and its subcontractors (if any), will have, prior to commencement of work under the contract resulting from this RFP, all necessary licenses, certifications, approvals, and other needed credentials to perform the Scope of Work, if applicable.

9.4.6 General Federal Grant Requirements

The Contract(s) shall be governed by certain federal terms and conditions for federal grants, including, but not limited to, the Office of Management and Budget's ("OMB") applicable circulars. Proposer shall provide a description of experience with such grant requirements and affirmatively represent and certify that the Proposer shall adhere to any applicable federal requirements. Any funds disallowed by any federal government entity shall be disallowed from the fee or compensation to Proposer.

The Proposer must address the matter discussed herein by completing the *General Requirements form*, attached hereto as Exhibit B.

9.4.7 HUD Terms and Conditions

Due to the awarded Contract(s) being funded with HUD monies, the Contract(s) shall be governed by [HUD's General Provisions for Contracts](#), hyperlinked herein as Appendix III. Proposer shall provide a description of experience with such requirements and affirmatively represent and certify, using the *General Requirements Form*, attached hereto as Exhibit B, that the Proposer shall adhere to the terms and conditions set forth in Appendix III, and any subsequent changes made by HUD.

9.4.8 Standard Clauses for Contracts with HTFC

The Contract(s) shall be governed by [HTFC's Standard Clauses for Contracts](#), hyperlinked herein as Appendix I. Proposer shall provide a description of experience with such requirements, if any, and affirmatively represent and certify, using the *General Requirements Form*, attached hereto as Exhibit B, that the Proposer shall adhere to the terms and conditions set forth in Appendix I, and any subsequent changes deemed appropriate by HTFC.

The Contract(s) shall be governed by [HTFC's Participation by Minority Group Members and Women Requirements and Procedures for Contracts](#), hyperlinked herein as Appendix II. Proposer shall provide a description of experience with such requirements, if any, and affirmatively represent and certify, using the *General Requirements Form*, attached hereto as Exhibit B, that the Proposer shall adhere to the terms and conditions set forth in Appendix II, and any subsequent changes deemed appropriate by HTFC.

9.5 TAB 5: Diversity and SDVOB Proposal

9.5.1 Equal Employment Opportunity (EEO), Diversity, and SDVOB Information

Proposers must complete and submit the EEO following items as part of their response:

9.5.1.1 [Equal Employment Opportunity Staffing Plan, PROC-1 form.](#)

9.5.1.2 [Utilization Plan, PROC-2 form.](#)

9.5.1.3 If applicable, [Request for Waiver Form, PROC-3 form.](#)

[Minority and Women Business Enterprises – Equal Employment Opportunity Policy Statement, PROC-4 form.](#)

9.5.1.4 [Company Demographic Profile, PROC-7 form.](#)

9.5.1.5 [EEOC Statement, PROC-8 form.](#) Please note that completion of the PROC-8 form is applicable to Proposers with 15 or more employees.

9.5.1.6 [Diversity Practices Questionnaire.](#)

10. Questions and Answers

Please note the instructions provided at the front of this RFP for providing comments in response to this draft RFP. Otherwise, the following instructions apply:

Any questions or requests for clarification regarding this RFP must be submitted via email to Lisa.Pagnozzi@nyshcr.org, citing the RFP page and section, no later than the date identified in the *Calendar of Events and Milestones* section of this RFP. The subject line of the email should indicate “2019 Section 8 HCV CR-LA Services.”

Questions will not be accepted orally, and any question received after the deadline may not be answered. The list of questions/requests for clarifications and the official HTFC responses will be posted on [HCR's](#)

[“Procurement Opportunities” webpage.](#)

An electronic version of this RFP will be posted on [HCR’s website](#) in addition to any subsequent changes, additions, or deletions to the RFP, including the timelines and target dates. **It is recommended that Proposers check HCR’s website frequently for notices of any clarifications, changes, additions, or deletions to the RFP.**

11. Amendments and Addenda

HTFC reserves the right to modify any part of this RFP including, but not limited to, the date and time by which proposals must be submitted to and received by HTFC, at any time prior to the Deadline for Submission of Proposals indicated in the *Calendar of Events and Milestones* section of this RFP. Modifications to this RFP will be made by issuance of amendments and/or addenda. Any amendment or addendum to this RFP will become part of this RFP.

Prior to the Deadline for Submission of Proposals, any such clarifications or modifications as deemed necessary will be posted to [HCR’s website](#).

If the Proposer discovers any ambiguity, conflict, discrepancy, omission, or other error in this RFP, the Proposer will immediately notify HTFC of such error, in writing, and request clarification or modification of the document.

There are no designated dates for release of addenda; therefore, interested Proposers should check HTFC’s website frequently through the Deadline for Submission of Proposals. It is the sole responsibility of the Proposer to be aware of all addenda related to this RFP process. Those proposers who submit an Intent to Submit form will receive notifications when amendments are issued.

12. Proposal Submission Requirements

Proposals must be delivered, by email, no later than the proposal due date and time indicated in the *Calendar of Events and Milestones* section of this RFP.

Proposals must be submitted by email to Nyhomes.proposal@nyshcr.org, in searchable portable document format (PDF) compatible with Adobe Reader XI. HTFC will not accept discs, flash drives, or File Transfer Protocol (FTP) file references that require HTFC to download information from the Proposer’s or a third party’s website. If the file is large, it may be submitted in multiple email attachments, with the proper Part One or Part Two label (if applicable), and “1 of X,” “2 of X,” etc., and the last email as “X of X – Final.” The proposal must be bookmarked and divided according to the parts described in Section 10 of this RFP.

The proposal must be bookmarked and divided into five parts: (i) Tab One: Application Coversheet and Cover Letter; (ii) Tab Two: Technical Proposal; (iii) Tab Three: Cost Proposal; (iv) Tab Four: Administrative Proposal; and (v) Tab Five: EEO, Diversity and SDVOB Proposal. Proposals must be sent in two emails and labeled as follows: (a) one email to include Tabs One and Two and the subject line of the email must be labeled: “2019 Section 8 CR-LAs Tabs 1 and 2”; and (b) the other email must include Tabs Three, Four and Five and the subject line of the email must be labeled “2019 Section 8 CR-LAs Tabs 3, 4 and 5”.

Any proposal delivered after the date and time designated as the proposal submission deadline indicated in the *Calendar of Events and Milestones* section of this RFP will be deemed ineligible. It is the Proposer's sole responsibility to ensure that all emails and attachments are delivered on time and in a legible format. HTFC may consider written requests to submit late proposals for good cause.

A proposal may be deemed non-responsive because it is materially incomplete. HTFC reserves the right to seek clarification or request additional information. The determination of whether any proposal is complete or was received on time is at the sole discretion of HTFC. All submitted proposals shall become the property of HTFC.

13. Evaluation of Proposals

13.1 The Selection Process

The selection process will begin with the review and evaluation of each of the written proposals. The purpose of the evaluation is two-fold (1) to examine the responses for compliance with the requirements of this RFP and (2) to identify the complying Proposers that have the highest probability of satisfactorily performing the Scope of Work, described herein. The evaluation will be conducted in a comprehensive and impartial manner as set forth herein.

13.2 Preliminary Review

Proposals will be reviewed to determine if they meet the minimum qualifications detailed in Section 7 of this RFP. All proposals will be reviewed to determine if they contain all required submittals specified in this RFP. Incomplete proposals may be rejected.

13.3 Evaluation and Criteria for Selection

Proposals will undergo an evaluation process conducted by an HCR committee ("**Committee**"). The Committee will evaluate proposals based on the qualifications of both the Proposer and its current personnel, which will include an individual's experience at other firms during the relevant time period. The Committee will evaluate the proposals based upon the following criteria, not necessarily listed in the order of importance:

- Demonstrated experience, competence, expertise and ability to provide the services in the Scope of Work described in Section 8 of this RFP;
- Historical performance of an existing LA or PHA;
- Proposed fees and costs (including discount to governmental agency);
- Presence of an office in the State of New York;
- Diversity and commitment to equal employment opportunity, including MWBE and SDVOB programs;
- Overall organization, completeness and quality of response, including cohesiveness and clarity of response;
- Interviews to clarify or expand on the RFP response (to be conducted at the discretion of the Agency).

HTFC will also perform a due diligence review of the items submitted in the Proposer's Administrative Proposal that include, but are not limited to, corporate and individual employee references, findings of non-compliance or non-performance by HUD or another federal, state or local government agency, unresolved investigations or legal issues, audit findings, or other risk factors identified as part of a vendor responsibility.

13.4 Interviews

HTFC reserves the right to determine whether interviews/demonstrations will be necessary and the number of firms to be interviewed. If HTFC deems interviews necessary, selected firms will be notified. The Proposer's primary staff member who would be responsible for HTFC's relationship with the Proposer, as well as other key personnel proposed to provide services, including its subcontractor's primary staff person, must be present and participate in the interview. The purpose of the interview is to further document the Proposer's ability to provide the required services and to impart to the HTFC Committee an understanding of how specific services will be furnished. The interview will be evaluated based on whether it substantiates the characteristics and attributes claimed by the Proposer in its written response to this RFP and any other information requested by the Committee prior to the interview.

14. Award of Contract

HTFC anticipates establishing a pre-qualified panel or pre-qualified panels of firms for each Functional Area as a result of this RFP process ("Panel"). The engagement term will be for a five-year period or for a period to be determined later at the time of the final RFP. Inclusion on the Panel does not guarantee participation in a minimum number of engagements with HTFC.

Prior written approval must be received from the Agency for the use of any subcontractor, including substitution and/or change in existing subcontractor(s). The subcontract(s) between the Primary Contractor and the subcontractor(s) must receive written approval by the Agency. The sections relating to the scope of services and compensation in the subcontracting agreement must be well-defined.

The successful Proposer(s) will be required to execute a *Master Services Agreement*, hyperlinked herein as Exhibit A, that incorporates (i) Appendix I [Standard Clauses for Contracts](#), (ii) [Appendix II relating to requirements and procedures for Participation by Minority Group Members and Women](#) and (iii) [Appendix III, HUD's General Provisions for Contracts](#), all appendices hyperlinked herein, and (iv) Confidentiality Pledge, attached hereto as Appendix IV, signed by the successful Proposer(s), its subcontractor(s) (if any) and each individual of the Proposer and its subcontractor(s), if any, assigned to work on this Project. Any proposed deviations in the form of the MSA will be factored into the selection process. The MSA may be downloaded from the Agency's website at: <http://www.hcr.ny.gov/AboutUs/Procurement/HCR-Procurement.htm>.

The contract(s) resulting from this RFP process is(are) subject to the availability of Federal funding, including funding for the Section 8 HCV program, HTFC may, at its discretion, cancel the RFP, adjust the RFP timetable, or delay the execution of a contract(s) resulting from this RFP process, as it deems necessary.

14 Compliance with all Section 8, Federal and NYS Requirements

Under the awarded contract(s), HTFC will engage the successful Proposer(s) utilizing federal funds from the Section 8 Housing Choice Voucher program. By submitting a proposal, the Proposer acknowledges that, if awarded a contract, they will be solely responsible for ongoing compliance with any and all federal and state requirements related to the Scope of Work outlined in this RFP. These requirements include, but are not limited to, the Federal Housing Act or other relevant federal statutes, regulatory requirements issued by HUD, rules adopted by HUD's Office of Public and Indian Housing that are applicable to the Section 8 Housing Choice Voucher program, and HTFC's Housing Choice Voucher Administrative Plan. The

requirements included in this RFP are not necessarily comprehensive, and it is the successful Proposer's responsibility to remain knowledgeable of and compliant with any new or revised rules that are adopted during the life of the contract. Where there are contradictions between this RFP and Federal Law, Federal Law should prevail.

15 Section 3 of the Housing and Urban Development Act of 1968

In addition to the Diversity and SDVOB requirements included in this RFP, and pursuant to Section 3 of the Housing and Urban Development Act of 1968, HTFC is committed to ensuring that employment and other economic opportunities generated by HUD's financial assistance shall, to the greatest extent feasible, and consistent with existing federal, state and local laws and regulations, be directed to low- and very low income persons, particularly those who are recipients of government assistance for housing, and to business concerns which provide economic opportunities to low- and very low-income persons.

A "Section 3 resident" is (a) a public housing resident or (b) a low- or very low- income person residing in the metropolitan area or Non-metropolitan County where the Section 3 covered assistance is expended.

A "Section 3 business concern" is a business that can provide evidence that they meet one of the following criteria: (1) 51% or more owned by Section 3 residents; or (2) at least 30% of its full time employees include persons that are currently Section 3 residents, or were Section 3 residents within three years of the date of first hire; or (3) provides evidence, as required, of a commitment to subcontract in excess of 25% of the dollar award of all subcontracts to business concerns that meet one of the preceding two qualifications.

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Attachment 1

Intent to Submit Bid Housing Trust Fund Corporation

Request for Proposals for Section 8 HCV County and Regional Local Administrators

This is to notify you that it is our present intent to **submit** a proposal in response to the above-referenced RFP and to acknowledge that we have read the list of experience required to meet the minimum qualifications and qualifications set forth in the Scope of Services section of the RFP.

The individual to whom all information regarding this RFP should be transmitted is:

Company Name: _____

Contact Name and Title: _____

Street Address: _____

City, State, & Zip: _____

Phone Number: Fax Number: _____

Email Address: _____

Authorized Signature: _____

Name _____ Title _____

(____) _____ (____) _____

Phone Number

Fax Number

Email completed Intent to Submit Bid form to: **Lisa.Pagnozzi@nyshcr.org**.

Attachment 2

HTFC Section 8 Housing Choice Voucher RFP Requirements

Attachment 2, the HTFC Section 8 Housing Choice Voucher RFP Requirements, may be downloaded from the Agency's website:

<https://hcr.ny.gov/procurement-and-contract-information>

Proposers are to complete the Attachment. The answers in the Attachment are to match your proposal.

DRAFT

Attachment 3

Scope of Services (“Scope of Work”)

SP-LA proposals

Summary

Proposers will be selected to be part of a panel and provide work and expertise on individual Functional Areas listed below on an as needed basis. Proposers will designate as part of their proposal which Functional Areas they are qualified to participate, based on their past experience and staffing plan. With the exception of administering PBVs, it is anticipated that these tasks can be provided remotely from any location within New York State.

Functional Area #	Functional Area	Counties	Pricing
I	HCV Waiting List Administration	Statewide	Hourly Rate - Time and materials
II	Case Management	Statewide	Price per voucher
III	Inspections	Statewide	Price per inspection
IV	Program Management	Statewide	Hourly Rate - Time and materials
V	Quality Control	Statewide	Hourly Rate - Time and materials
VI	Project Based Vouchers	Erie, Monroe, Onondaga, Cortland, Broome, Montgomery, Schenectady, Schoharie, Albany, Rensselaer, Bronx, Kings, New York, Staten Island, Queens	Price per voucher
VII	Training	Manhattan (not statewide?)	Price per Training

Functional Areas

I. Waiting List

It is anticipated that HTFC's New York City HCV program will need to establish a new waiting list in early CY 2020. HTFC anticipates replacing HTFC's current SHCVS database application with a new database application within the next 12 months; however, this replacement is unlikely to have occurred before the new wait lists will need to be established. Therefore, the Proposer bidding on this task must include in their price an on-line technology solution that can collect data both on-line and in person, if necessary. HTFC's preferred solution would be to accept most, if not all, applications on-line.

Possible Tasks:

1. Maintain all aspects of the waiting list for the counties assigned, including opening, closing, purging, denial and acceptance.
2. Make recommendations to HTFC regarding the appropriate methodology for opening the waiting list in assigned counties (*e.g.* lottery, etc.).
3. Project utilization and recommend a date to open/re-open a waiting list.
4. Submit for approval to HTFC the time, date and location of the wait list opening, no less than sixty (60) calendar days in advance.
5. Provide staff to accept applications and enter data into the agency database in a timely and accurate manner.
6. Provide staff to accept information changes submitted by applicants and enter those changes in the HTFC database solution in a timely and accurate manner.
7. Utilize mobile technology to accept applications online as well as in-person.
8. Execute the selection process for the waiting list in accordance with the methodology and procedures approved by HTFC.
9. Establish the order of applicants on the waiting list based on the agreed upon procedures and all federal and HTFC-required preferences.
10. Purge the waiting list per Administrative Plan requirements.
11. Allow for HTFC staff to be present at the wait list opening upon written or email request.
12. Select families from the waiting list as vouchers become available, recognizing the applicable preferences.
13. Manage site-specific waiting lists corresponding to allocated PBVs, including outreach to potential applicants when needed.

II. Case Management

HTFC may need to temporarily supplement the current case management capacity in its HCV program, or in other state or federally funded housing assistance programs. Contractor staff may be asked to either work at HCR's office at 25 Beaver Street, or remotely. In either case, the contractor will be required to utilize the current HTFC database application where applicable. Case management duties may include completing eligibility determinations and certifications for applicants being called from the waiting list (particularly following the implementation of a new waiting list in 2020), as well as completing recertifications for existing voucher families.

Possible Tasks

1. Utilize all forms provided and/or approved by HTFC.
2. Utilize the most recent version of all HUD forms.
3. Collect and review eligibility information from each family selected from the waiting list for Section 8 assistance utilizing the application form provided by HTFC.

4. Determine eligibility and select families in the appropriate order to ensure maximum voucher utilization.
5. Issue denial notices for applicant families determined to be ineligible.
6. Conduct all family briefings as required.
7. Appropriately utilize the Enterprise Income Verification (EIV) System, the Income Validation Tool (IVT) Report, and any other available verification documentation to determine and confirm a family's annual income, Total Tenant Payment (TTP) and Housing Assistance Payment (HAP).
8. Complete 50058, 50059 or other forms required to determine the eligibility of a family for voucher assistance.
9. Issue Vouchers or Housing Assistance Payment contracts on HTFC's behalf and make determinations (and redeterminations) as necessary related to subsidy standards, extensions, expirations, suspensions, moves, transfers and port requests.
10. Accept and review Requests for Tenancy Approval and assess rent reasonableness.
11. Execute Housing Assistance Payment contracts with the landlord and provide the Section 8 Tenancy Addendum for the lease.
12. Accurately enter family and landlord data into HTFC's database application.
13. Adhere to any State Administrative Plan processes for reporting and administering all portability cases.
14. Maintain files for each family receiving voucher assistance and securely store those files in accordance with federal and state requirements.
15. Conduct all annual and interim re-certifications in a timely manner.
16. Enforce occupancy policies regarding family, bedroom size, guests, aides, and family absences.
17. Enter into, monitor and enforce repayment agreements as necessary.
18. Update the EIV database for Debts Owed as required.
19. Terminate voucher families who are no longer eligible as per federal and/or state requirements.
20. Respond to and review requests for Reasonable Accommodations and ensure compliance with the Violence Against Women Act (VAWA), Section 504, and all applicable Fair Housing laws.
21. Review requests for Exception Payment Standards and make recommendations to HTFC for requests requiring HUD approval.
22. Appropriately respond to all complaint sources not specifically prohibited.
23. Upon request, provide mobility counseling for families who desire to move to areas of opportunity, and market the Section 8 program to landlords in those areas.*

**Separate fee may be negotiated in addition to standard cost per voucher.*

III. Inspections

HTFC currently contracts out a portion of its HQS inspections for the HCV program in New York City. In addition, HTFC may at some time need to supplement its inspection services in other federal or state funded housing assistance programs throughout the State.

Possible Tasks

1. Conduct physical inspections of units in accordance with federal Housing Quality Standards ("HQS"), Uniform Physical Condition Standards (UPCS) and/or any other standards approved by HUD or HTFC.
2. Conduct inspections of new units prior to providing housing assistance payments and, where the unit fails initial inspection, ensure deficiencies are addressed as required.
3. Ensure timely annual inspections of all housing units occupied by voucher families.
4. Maintain a log of failed inspections and make the log available for review by HTFC.
5. Issue correspondence to the landlords and tenants as necessary regarding the status of inspections.
6. Conduct re-inspections as necessary to confirm repairs are made for units that fail initial/annual inspections.

7. Conduct emergency inspections to respond to complaints within 24 hours.
8. Establish a system to schedule inspections, provide appropriate and courteous notifications and reminders to families and landlords, and ensure that inspection staff arrive to appointments on time.
9. For multi-family properties, inspect common areas and mechanical systems as required.
10. Accurately transfer inspection data to HTFC's database application.
11. Identify health and safety hazards and point them out to the tenant and landlord as necessary; educate tenants and landlords regarding building safety as appropriate.
12. Provide a process for families and landlords to report inappropriate behavior by inspectors.
13. Conduct Quality Control inspections on at least the number/percentage of units required.
14. For units owned by the LA, coordinate with other Local Administrator or third parties, as required by HTFC, for inspections.
15. Take all necessary actions on HTFC's behalf to meet requirements for PHAs in HCV regarding HUD's Lead Safe Housing Rule pertaining to elevated blood levels, as required by Federal law 24 CFR Part 35, Subpart M, and, in particular, the amendments to the Final Rule published January 13, 2017. This includes, but is not limited to:
 - a. Compliance with data collection and matching requirements of 35.1225(g) to retrieve and use data to identify children with EBLLS.
 - b. Compliance with federal and state law to ensure compliance with notification, reporting, environmental investigation, and follow-up; in addition to educating landlords and tenants on requirements as necessary.
 - c. The establishment of any local partnerships, including with the County Department of Health, to facilitate compliance with notification requirements.
16. Ensure all failed inspections are handled in accordance with currently published federal guidelines and HTFC requirements.
17. Take all necessary actions on HTFC's behalf to comply with any other current or future applicable federal rules regarding property conditions, health and safety; remain current on new HUD inspection standards and requirements.
18. Implement a system for accepting landlord-submitted verifications of repair when fail items do not necessitate an in-person follow-up inspection. Submitted verifications of repair must be signed and dated by both the landlord and tenant, with a clear listing of the failed item(s) for which the verification of repair is being submitted.
19. Implement and carry out an abatement process for landlords that do not make needed repairs within established timeframes. Such a process must include timely notifications, with abatements placed in accordance with HUD regulations.
20. Develop a process for evaluating and making determinations pertaining to landlord extension requests.

IV. Program Management

Consultation may be required in a number of possible areas related to federal Section 8 and other State and Federal-funding housing assistance programs to assist HTFC in making larger policy and operational decisions, responding to changing regulatory requirements, and rolling out new initiatives.

Possible Tasks

1. Interpret and analyze Section 8 statutory and regulatory requirements and guidance; integrate new federal rules and requirements into HTFC policies and procedures, such as the HCV Administrative Plan.
2. Advise regarding the selection and implementation of new technology to improve program operations and efficiency; consult in the utilization of technology to enhance customer services and more seamlessly connect with federal databases; develop and implement technology solutions to

- supplement and enhance the ability to analyze data and improve efficiency.
3. Collect and analyze data regarding the affordability of the local rental market; assess the current supply of affordable housing and its condition; make timely recommendations to adjust the payment standard and/or the utility allowance; Identify areas of opportunity within the counties served and educate families on the benefits of locating there; Recommend Small Area Fair Market Rents (“SAFMRs”) where applicable to foster housing choice.
 4. Other policy or data analysis, records management and software development activities necessary to assist the HCV program in responding to audit or monitoring findings, comply with federal and state regulations, and or address an identified program risk.
 5. Assist HTFC in drafting and assembling proposals to HUD or other funding sources.

V. Quality Control

A successful Proposer in this area may be asked to perform quality control reviews on applicant or voucher participant files. These reviews may take place remotely from any location, utilizing HTFC’s on-line database applications. In addition to identifying and correcting errors in individual files, the SP-LA will assist statewide HTFC staff in identifying common mistakes, providing trend analysis, and recommending strategies to reduce compliance risk. The successful Proposer may also be asked to assist HTFC in developing a training and technical assistance curriculum. Other tasks may include:

1. Review, update and reconcile debts owed records and update backlogged reports in EIV/PIC; reconcile repayment received with the agency Lockbox with repayment agreements; adjust HAP according amounts received; follow up as required for all cases not referred to the NYS Attorney General’s Office that do not fall under Statute of Limitations.
2. Address paper records backlog; cull folders for non permanent hard documents; scan electronic documents as required.

VI. Project Based Vouchers

HTFC currently does not administer tenant-based vouchers in all counties in New York State. However, HTFC is considering expanding to offer Section 8 Project Based Vouchers (“PBVs”) statewide. The Agency is looking for one or more Proposers that can administer PBVs in some or all of the counties not presently served by a CR-LA. The successful proposer will not be required to maintain a physical office or staff in these locations, but must be able to work remotely and travel to the county when necessary to perform inspections, meet with property managers, etc. A chart with the current number of PBVs in each county is included in Attachment 6.

Proposers in this Functional Area may apply to administer PBVs in one or more of the following counties:

- Erie
- Monroe
- Onondaga
- Cortland
- Broome
- Warren
- Montgomery
- Schoharie
- Albany
- Rensselaer

Proposers for this task should specify which counties they are proposing to serve. All tasks listed in this Functional Area are mandatory for each county served. The selected vendor may be required to

provide staff to periodically travel on site to visit projects, accept applications, and certify tenants.

Required Tasks

1. Ensure programmatic understanding of all related PBV regulations and policies including, but not limited to, HUD regulations (24 CFR 982 & 983), the Housing Opportunities Through Modernization Act (“HOTMA”) and HTFC’s Administrative Plan.
2. Maintain individual waiting lists for each PBV contract to be used exclusively for contracted units within.
3. Ensure all HUD and HTFC required forms applicable to the program are incorporated and available for file review.
4. Maintain a copy of the PBV contract, including Exhibits associated with the units under the HAP contract.
5. Ensure compliance with the HAP contract.
6. Provide case management staff to accept applications on site where necessary to ensure sufficient accessibility to Section 8 assistance.
7. Assist the owner in marketing Section 8 PBV units, including mailing applications to perspective tenants, receiving and responding to inquiries, and providing applications to the landlord.
8. Assist in the completion of Subsidy Layering Reviews for projects receiving PBVs upon request.

***Separate, additional fee may be negotiated.*

VII. Staff and LA Training

HTFC periodically needs consultants to travel to New York to offer training for state staff and/or its partners to meet certifications requirements and keep employees current on training requirements. Proposers bidding in this functional area should assume that each training will be offered in New York City at the agency’s office at 641 Lexington Avenue, and will not exceed 15 participants. Possible lists of training topics include:

1. Housing Specialist Training Certification Training (5 days)
2. Housing Choice Voucher Specialist Refresher (3 days)
3. HCV Project Based Voucher Training (3 days)
4. Low Income Housing Tax Credits Training Session (2 days)
5. Section 8 Management Assessment program (1 Day)
6. Affordable Housing Underwriting and Subsidy Layering Reviews (5 days)
7. Other affordable housing and Section 8 trainings as negotiated.

Attachment 4

Proposal Checklist

CHECKLIST FOR VARIOUS REQUIRED FORM RELATED ITEMS TO BE COMPLETED AND RETURNED:

- Intent to Submit Proposal, Attachment 1
- Tab 1 – Proposal Coversheet and Cover Sheet
- Tab 2 – Proposer Experience*
- Tab 2 – Operations Plan*
- Tab 2 – Value Added Best Practices
- Tab 3 – Cost Proposal*
- Tab 4 - Administrative Proposal
- [Vendor Information Form](#)
- [Lobbying Reform Law Form 1](#)
- [Lobbying Reform Law Form 2](#)
- [Non-Collusive Bidding Certification Form](#)
- [Vendor Responsibility Questionnaire – For Profit Business Entity OR Non-Profit Entity;](#)
- [EEO Staffing Plan, PROC-1](#)
- [Utilization Plan, PROC-2](#)
- [MWBE & EEO Policy Statement, PROC-4](#)
- [Company Demographic Profile, PROC-7](#)
- [EEOC Statement, PROC-8](#)
- [Diversity Practices Questionnaire, PROC-9](#)
- Evidence of Insurance (required upon contract award)
- Conflict of Interest Statement
- Statement regarding Disclosure of Commission Findings
- Proposer’s most recent two years of financial statements or federal tax returns

Application Coversheet

Attach this form to the top of your proposal.

DATE OF APPLICATION: _____

GENERAL INFORMATION ON FIRM:

Legal Name of Firm:

Firm's Mailing Address:

Firm's Website:

Firm's Main Telephone Number (including area code):

Federal Tax ID Number:

FINRA and/or SEC Registration Number (if applicable):

MWBE Registration Number (if applicable):

Service-Disabled Veteran-Owned Business Registration Number (if applicable):

MAIN CONTACT INFORMATION FOR THIS PROPOSAL:

Please list the individual that will be the main contact *regarding this proposal*:

Contact Name:

Contact Telephone Number (including area code):

Contact E-mail Address:

Contact Facsimile Number (including area code):

PRINCIPAL IN CHARGE:

Please list the primary staff person(s) who will provide services to HTFC. Attach additional sheets if necessary.

Contact Name:

Contact Telephone Number (including area code):

Contact E-mail Address:

Contact Facsimile Number (including area code):

ADDITIONAL CONTACTS (if applicable):

Contact Name:

Contact Telephone Number (including area code):

Contact E-mail Address:

Contact Facsimile Number (including area code):

Contact Name:

Contact Telephone Number (including area code):

Contact E-mail Address:

Contact Facsimile Number (including area code):

Attachment 5

Attachment 5
to be downloaded at HCR's address at:
<https://hcr.ny.gov/procurement-opportunities>

DRAFT