



# Homes and Community Renewal

Andrew M. Cuomo, Governor

RuthAnne Visnauskas, Commissioner/CEO

## **Request for Proposals**

### **for**

## **Section 8 Housing Choice Voucher Program**

### **Special Purpose Local Administrators**

**Request for Proposal Issuance Date: April 22, 2020**

**Proposal Submission Deadline: June 3, 2020, 12pm, EST**

**Number: HCR-RFP-200422**

## **HOUSING TRUST FUND CORPORATION**

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

**[www.hcr.ny.gov](http://www.hcr.ny.gov)**

## Table of Contents

### Contents

1. Introduction .....	1
2. Purpose .....	2
3. Assessment of Practices relating to Diversity.....	3
4. Primary Contractor and Subcontractor(s) Team.....	4
5. Calendar of Events and Milestones .....	5
6. Intent to Submit Proposal.....	6
7. Minimum Qualifications.....	6
8. Scope of Services.....	6
9. Contents of Proposals.....	6
10. Questions and Answers.....	15
11. Amendments and Addenda.....	16
12. Proposal Submission Requirements.....	16
13. Evaluation of Proposals.....	17
14. Award of Contract.....	18
15. Compliance with All Section 8, Federal and NYS Req.....	18
16. Section 3/Housing and Urban Development Act of 1968.....	18
17. Attachments.....	20
Attachment 1 – Intent to Bid	
Attachment 2 – HTFC RFP Requirements	
Attachment 3 – Scope of Services	
Attachment 4 – Proposal Checklist	
Attachment 5 – Proposal Supplemental Worksheet	
Schedule 1 – Application Cover Sheet	

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

**Appendix III** -- [\*HUD's Section 8 General Provisions for Contracts\*](#), hyperlinked herein

**Table 1.** Acronyms

**Table 2.** Calendar of Events and Milestones

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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**

**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,<sup>1</sup> 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](mailto:Stacey.Mickle@nyshcr.org)

If you have inquiries regarding this request for proposals or would like to contact HTFC regarding matters not relating to Lobbying Procurement Law Contacts, please contact Lisa G. Pagnozzi, via email, at [Lisa.Pagnozzi@nyshcr.org](mailto: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 “2020 Section 8 HCV SP-LA Services.”

## **1. Introduction**

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[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 at <https://hcr.ny.gov/housing-trust-fund-corporation>.

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<sup>1</sup> 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 \$470 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 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 the Section 8 HCV program as well as other housing programs and services as determined necessary by HTFC. Work may include the administration of housing programs and initiatives in response to COVID-19 or other disasters. This panel of firms will be known as Special Purpose Local Administrators (“SP-LAs”). This RFP is being released prior to a Request for Proposals for Section 8 HCV County or Regional Based Local Administrators (CR-LAs). **A Proposer may submit a proposal in response to both solicitations. A proposal in response to the SP-LA RFP will not count as a proposal in response to the CR-LA RFP. A separate proposal will be required for each RFP.**

Successful Proposers to this RFP are not guaranteed any minimum amount of work and will be considered for assignments only as services are needed and funding becomes available. With the exception of the Inspection and Training functions, Proposers should be prepared to perform most work remotely, utilizing electronic data and file systems. Proposers should be knowledgeable in Section 8 rules, technologically proficient, and able to adjust to varying workloads and modified assignments.

### 2.1 Vision Statement

HTFC strives to be among the nation’s leading PHAs in terms of innovation, performance, regulatory compliance and customer service. HTFC’s SP-LA panel will play an essential role in achieving those goals. More specifically, SP-LAs will assist HTFC and its partners, on an as-needed basis, to: (i) conduct special initiatives; (ii) deliver functions necessary for the administration of vouchers and housing assistance to those families most in need; (iii) apply federal rules and state policy in a local and regional context; and (iv) leverage community resources.

As a result of this RFP process, HTFC will establish a pre-qualified list of firms to supplement the capacity of HTFC’s network of County and Regional Local Administrators as well as agency staff (“Panel”). Firms may include both for-profit and not-for-profit entities, that will be integral to ensuring consistent, high quality

service, and applying emerging, national best practices in the State of New York.

## **2.2 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, on an as-needed basis. These organizations will be called upon to address gaps in service, and to provide additional capacity when necessary across the State, including in HTFC’s New York City program.<sup>2</sup> 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.

A Proposer must be willing to provide services anywhere in the State. It is anticipated that these tasks may need to be delivered remotely from any location within the State. HTFC reserves the right to negotiate the provisions 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”), modifying functional areas and specific tasks as needs arise. Successful Proposers 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)**

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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 SDVOBs that provide high-quality services. HTFC strongly

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<sup>2</sup> HTFC administers its housing choice voucher program in New York City through HTFC’s Subsidy Services Bureau.

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](mailto: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 to 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.

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## 5. Calendar of Events and Milestones

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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	April 22, 2020
Pre-bid Conference via WebEx#	April 30, 2020 at 2:00pm, Eastern Standard Time (EST), via WebEx++
Deadline for RFP Questions	May 20, 2020, 3pm, EST
Deadline for RFP Responses	May 27, 2020
Deadline for Submission of Proposals	June 3, 2020
Interview(s) (if necessary)	Weeks of May 25, 2020 and June 1, 2020
Anticipated Selection Date*	June 26, 2020

#Attendance list of firms/individuals, with contact information, will be publicly posted to the Agency’s website.

**In advance of the Pre-Bid Conference, WebEx information will be posted to the website at <https://hcr.ny.gov/procurement-opportunities> .**

\*Subject to the approval of the Board.

++ US Toll Free: *[see website for number]*      Local: *[see website for number]*  
 Meeting Number: *[see website for meeting number]*  
 Meeting Password: *[see website for meeting password]*

- To join this meeting from mobile devices,
1. Go to *[see website for hyperlink]*
  2. If requested, enter your name and email address.
  3. If a password is required, enter the meeting password:
  4. Click "Join".
  5. Follow the instructions that appear on your screen.

## **6. Intent to Submit Proposal**

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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](mailto: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**

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### **7.1 SP-LA Minimum Qualifications**

The Proposer must meet the minimum qualifications and/or requirements indicated below. 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 performing the same or related functions as described in the Scope of Work (set forth herein) administering Section 8 HCVs, Project Based Rental Assistance or another affordable housing program on behalf of a state or local government, a PHA or other government instrumentality, a private owner or contractor, and/or directly with HUD.

## **8. Scope of Services (Scope of Work)**

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

## **9. Contents of Proposals**

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The Proposer is advised to thoroughly read and follow all instructions 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 described below. Each Tab must be electronically bookmarked with the tab number together with the title of the tab 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 an interview/demonstration in response to this RFP. Proposals are subject to disclosure under NYS Public Officers Law § 87 (“Freedom of Information Law”).

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

**9.1 TAB 1: Proposal Cover Letter**

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 Section 8 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. the following chart in completed form:

**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"/>	Program Management	<input type="checkbox"/>
Inspections	<input type="checkbox"/>	Training	<input type="checkbox"/>

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 informational 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 “Proposer Experience” Tab attached hereto in Attachment 5 of RFP. 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 services that are the same or similar to 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 within the last ten (10) years.

An engagement is defined as a single, previous or current contract (including any contract renewals) to perform services. The Proposer should fill in all of the relevant fields highlighted in green for each engagement, including the field for a short description. If more space is needed, the Proposer may also attach up to three (3) additional pages to the Proposal Narrative (see below) specifically to elaborate on descriptions of engagements listed in Attachment 5. These pages should be labeled “Proposer Experience Addendum,” and must be in the same format as the Proposal Narrative. The description for each engagement shall include:

1. a description of the services provided and when the work was performed;
2. a list of any monitoring issues, audit findings, or findings of contract nonperformance related to the work as determined by either the contracting entity, HUD, the HUD Inspector General, or another federal, state or local entity providing oversight within the last five years;
3. an explanation as to why/how the work is relevant to the function(s) in this RFP;
4. any Key Performance Indicators (KPIs) used to measure success, and whether the performance targets were met; and
5. a description of any innovative technology solutions or other best practices utilized by the Proposer that might be relevant to the functions in this RFP.

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; and
- the utilization rate for vouchers administered either at present time 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; and
- the pass/fail 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 two (2) pages (not counting the Proposer Experience Addendum) **for each functional area proposed**, on 8.5x11 inch paper, single spaced, and with a minimum of 12-point font. For example, a Proposer who is applying to provide Case Management and Quality Control could provide a Proposal Narrative of up to two (2) pages per function for a total of four (4) pages. The Proposer may include text as well as diagrams, flow charts, organizational charts, etc. The Narrative should include the following items for each function proposed:

1. an explanation of the methodology and workflow that will be utilized; include any procedures to ensure compliance with federal requirements;
2. the location of where the work will take place;
3. a description of the roles for the staff members listed in the “Staffing Plan” in Attachment 5;
4. a plan for communication and measuring contract performance;
5. any innovative technology solutions or other best practices to be provided;

6. any tasks listed within the functional area that the Proposer is not capable of providing;
7. the required lead-time the Proposer would need to provide the services; and
8. any maximum or minimum volume the Proposer would have in providing the service(s).

### 9.2.3 Staffing Plan

The Proposer must complete the Staffing Plan attached to this RFP as 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 complete Cost Proposal Tab, attached hereto as Attachment 5 of the RFP, inserting a fee for each Functional Area within the Scope of Work for which they intend to bid. Proposers must follow the instructions for pricing in each Functional Area. **In addition, the information for costs in Attachment 5, must be submitted in a separate document with company letterhead, signed and dated by an authorized signatory of the Proposer, in a similar format as the one used in Attachment 5.** HTFC reserves the right to negotiate a lower or different fee structure with the successful Proposers.

### 9.3.1 Hourly Rate Functions

For the Waiting List, Case Management, Program Management, and Quality Control functions, Proposers must provide an hourly rate for each staff function as set forth in Attachments 3 and 5. Each hourly rate will apply to whichever function(s) the Proposer is proposing to provide, and should be comprehensive of all employee-related costs including but not limited to, salary, fringe benefits, facility costs, etc. Travel costs may be negotiated separately if necessary and will be based on the State's reimbursement rates.

**Intake staff** – This may include staff to accept applications, enter data, scan documents, make copies, answer phones, reply to basic inquiries and other related duties as necessary. No prior Section 8 experience is required for staff performing tasks in this labor category.

**Housing Specialist** – Staff in this labor category should be capable of performing basic Section 8 case management including but not limited to: (i) income calculations, (ii) eligibility determinations, (iii) certifications and recertifications, (iv) file reviews.

A Housing Specialist must have a minimum of two (2) years of Section 8 experience to be billed in this labor category and must be certified as either a Multi-family Housing Specialist or an HCV Specialist from an appropriate training entity. Experience in either HCV or Project Based Rental Assistance will be accepted for the purposes of this RFP; however, staff may be required to obtain HCV certification at the Proposer's expense either prior to or after starting work for HTFC, depending on the requirements of the assignment.

**Housing Specialist Supervisor** – Staff in this labor category must be able to perform all of the duties of a Housing Specialist but must have a minimum of 5 (five) years of experience in Section 8 and should be capable of supervising and guiding the work of Housing Specialists.

**HCV Program Administrator** – Staff in this labor category should be experts in Section 8 rules and best practices. They must have a minimum of 10 (ten) years of experience working in Section 8 administration. They should be capable of performing high level tasks such as interpreting and applying federal regulations, analyzing data, and making informed recommendations to HTFC regarding Section 8 policy or operations. They may also be knowledgeable in Section 8 technology solutions and data systems.

**9.3.2 Per unit functions**

**Inspections** – Proposers who submit a proposal to provide inspection services will provide a price per inspection that is inclusive of all costs, including staff, materials, etc. The fee should assume all inspections will take place within the five boroughs of New York City, and that the per inspection fee is inclusive of all travel costs. Travel costs may be negotiated separately if inspections are needed outside of New York City. Proposers should provide fees for the following types of inspections:

1. Annual/Initial Inspection Fee:
2. Re-inspection Fee:
3. Emergency Inspection Fee:
4. No-show Inspection Fee:

**Training** – Proposers who submit proposals for training services should provide a fee for each training that is inclusive of all costs, including staff, materials, travel, etc. The fee should assume all trainings will take place at an HCR facility in New York City. Proposers must provide fees for the following types of training:

Housing Specialist Training Cert. Training (5 days)
Housing Choice Voucher Specialist Refresher (3 days)
HCV Project Based Voucher Training (3 days)
LIHTC Training Session (2 days)
Section 8 Management Assessment program (1 Day)
Underwriting and Subsidy Layering Reviews (5 days)
HCV Financial Accounting and Financial Training (2 days)
HCV Financial Management (2 days)
HCV Supervision and Management (2 days)

**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 Not-For-Profit](#) or [Vendor Responsibility Questionnaire For-Profit Business Entity](#).

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

#### **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).

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.

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 HTFC 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 HTFC, which HTFC may withhold, condition, or deny at its sole and exclusive discretion.
- The Primary Contractor shall provide Certificates of Insurance to HTFC prior to the commencement of work and shall provide full and complete copies of the actual policies and all endorsements upon request. 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 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 and Detrimental Effects**

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.

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.

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 [\*Vendor Assurance of No Conflicts of Interest and Detrimental Effects form\*](#), hyperlinked herein.

#### **9.4.4 Licenses, Certifications, and other Credentials**

The Proposer must complete and certify in the proposal, 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.

#### **9.4.5 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 in its proposal.

#### **9.4.6 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 in the proposal, that the Proposer shall adhere to the terms and conditions set forth in Appendix III, and any subsequent changes made by HUD.

#### **9.4.7 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 in the proposal, 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 in its proposal, 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.](#) This form can also be accessed at the following web address: <https://hcr.ny.gov/system/files/documents/2019/02/copy-proc2-utilizationforms.xlsx>

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

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

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

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

9.5.1.7 [Diversity Practices Questionnaire.](#)

## 10. Questions and Answers

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Any questions or requests for clarification regarding this RFP must be submitted via email to [Lisa.Pagnozzi@nyshcr.org](mailto: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 “2020 Section 8 HCV SP-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 clarifications, changes, additions, or deletions to this RFP.**

## 11. Amendments and Addenda

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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.

## 12. Proposal Submission Requirements

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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](mailto: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 9 of this RFP.

The proposal must be bookmarked and divided into five parts: (i) Tab One: Cover Letter; (ii) Tab Two: Technical Proposal, including Attachment 5 Spreadsheet; (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: "2020 Section 8 SP-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 "2020 Section 8 SP-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**

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### **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 HTFC 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 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

clarification information requested by the Committee prior to the interview.

## 14. Award of Contract

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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(s)**”). The engagement term will be up to a five-year period. Contract extensions may be available for up to an additional five years (10 years total), subject to HTFC Board approval. Inclusion on the Panel(s) 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), in connection with the scope of work and HTFC provisions for contracts, 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 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 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.

**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.**

## 15 Compliance with all Section 8, Federal and NYS Requirements

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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 will prevail and control.

## 16 Section 3 of the Housing and Urban Development Act of 1968

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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

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## Intent to Submit Bid Housing Trust Fund Corporation

### Request for Proposals for Section 8 HCV Special Purpose 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 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](mailto:Lisa.Pagnozzi@nyshcr.org)

## **Attachment 2**

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### **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.

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# Attachment 3

## Scope of Services (“Scope of Work”)

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### SP-LA proposals

#### Summary

Proposers must apply for pre-qualification in one or more of the individual Functional Areas listed below. Proposers must designate each specific Functional Area for which they’re applying, based on their past experience and staffing plan. Other than Inspections, Proposers should be prepared to provide the services in a specific Functional Area remotely, from any location within New York State.

Functional Area #	Functional Area	Counties	Pricing
I	Waiting List	Statewide	Hourly Rate
II	Case Management	Statewide	Hourly Rate
III	Quality Control	Statewide	Hourly Rate
IV	Program Management	Statewide	Hourly Rate
V	Inspections	Statewide	Price per inspection
VI	Training	Statewide	Price per Training

## Description of Functional Areas

### I. Waiting List

HTFC may need a contractor to establish and administer a waiting list for Section 8 vouchers or another housing program, in either a local, county, regional or statewide basis. This may include establishing screening and selection criteria in compliance with state or federal regulations.

#### 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; and
  13. Manage site-specific waiting lists corresponding to allocated PBVs, including outreach to potential applicants when needed.

NOTE: It is anticipated that HTFC's New York City HCV program will need to establish a new waiting list in 2020 or 2021.

## **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 HTFC's office at 25 Beaver Street, New York, NY or work 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; and
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. 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 to 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; and
2. Address paper records backlog; cull folders for non-permanent hard documents; scan electronic documents as required.

### **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. 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 failed 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.

## **VI. Training**

HTFC periodically needs consultants to travel to offered 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, New York, New York 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.

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## Attachment 4

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### 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 – Technical Proposal, including Attachment 5
- 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](#), form may also be downloaded at <https://hcr.ny.gov/system/files/documents/2019/02/copy-proc2-utilizationforms.xlsx>
  - [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)
- [Vendor Assurance of No Conflict of Interest and Detrimental Effect](#)
- Proposer’s most recent two years of financial statements or federal tax returns

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# ***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:

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Contact Telephone Number (including area code):

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Contact E-mail Address:

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Contact Facsimile Number (including area code):

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**PRINCIPAL IN CHARGE:**

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

Contact Name:

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Contact Telephone Number (including area code):

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Contact E-mail Address:

---

Contact Facsimile Number (including area code):

---

**ADDITIONAL CONTACTS (if applicable):**

Contact Name:

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Contact Telephone Number (including area code):

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Contact E-mail Address:

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Contact Facsimile Number (including area code):

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Contact Name:

---

Contact Telephone Number (including area code):

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Contact E-mail Address:

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Contact Facsimile Number (including area code):

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## **Attachment 5**

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### **Attachment 5**

**to be downloaded at HCR's address at:**

**<https://hcr.ny.gov/procurement-opportunities>**

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