



# Homes and Community Renewal

Andrew M. Cuomo, Governor

RuthAnne Visnauskas, Commissioner/CEO

# Request for Proposals for Independent Auditor Services

RFP Issuance Date:

August 17, 2021

Proposal Submission Deadline:

September 28, 2021, 12PM, EDT

RFP Number: HTFC-RFP-210817

**HOUSING TRUST FUND CORPORATION**  
**HAMPTON PLAZA**  
**38-40 STATE STREET • ALBANY, NEW YORK 12207**  
[www.hcr.ny.gov](http://www.hcr.ny.gov)

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# HOUSING TRUST FUND CORPORATION

## REQUEST FOR PROPOSALS FOR INDEPENDENT AUDITOR SERVICES

**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 “Corporation”), or its Affiliates,<sup>1</sup> other than the Designated Contact Officer listed below.

Lobbying Procurement Law Designated Contact Officer:

Stacey C. Mickle, Director of Financial Administration & Treasurer  
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 (“RFP”) 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) and [Berniesha.Coleman@nyshcr.org](mailto:Berniesha.Coleman@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 “*Questions – HTFC Independent Auditor Services RFP.*”

Further information regarding HTFC’s Lobbying Procurement Law policies is available in [HTFC’s Standard Clauses and Requirements for Solicitations](#), hyperlinked herein as Exhibit A.

## 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 “Corporation”). HCR includes other agencies (“Affiliates”)<sup>1</sup> not involved in this RFP process.

### 1.1 Overview of the 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 (“HFA”). HTFC’s mission is to further community development through the construction, development, revitalization and preservation of low-income housing, the

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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 Bond Bank Agency and Tobacco Settlement Financing Corporation.

development and preservation of businesses, the creation of job opportunities, and the development of public infrastructures and facilities. HTFC administers funds for various programs, including but not limited to the following major programs:

### **1.1.1 Federal Programs Administered by HTFC**

Section 8 Project-based Contract Administration (“Section 8 Contract”) program (*previously referred to as the Housing Assistance Payment Program*) – provides low-income housing rental subsidy to qualified landlords.

Section 8 Housing Choice Voucher (“HCV”) program and related programs – provides low-income housing rental subsidy to qualified individuals with a related program that includes the five-year Mainstream program.

Community Development Block Grant (“CDBG”) program – provides funding to eligible municipalities in the State for various housing, community development and economic development activities.

CDBG Disaster Recovery (“CDBG-DR”) program – provides funding for projects to aid in the recovery efforts in areas impacted by Hurricanes Sandy and Irene and Tropical Storm Lee.

HOME Investment Partnership (“HOME”) program – provides funds for the construction and rehabilitation of low-income housing.

Other Federal Programs that may be administered by Corporation currently include funding through the various COVID Relief appropriations.

### **1.1.2 State Programs Administered by HTFC**

Low Income Trust Fund Housing Program – provides funds for the construction and rehabilitation of low income housing.

Public Housing Modernization and Drug Elimination Programs – provide funds to rehabilitate State run public housing authorities and reduce drug and crime activities.

Homes for Working Families Program – provides funds to finance affordable housing for low-income families and senior citizens by accessing tax exempt bond financing and low-income housing credits.

New York Main Street Program - provides financial resources and technical assistance to communities to strengthen the economic vitality of the State's traditional Main Streets and neighborhoods. The New York Main Street grant program provides funds to units of local government, and not-for-profit organizations that are committed to revitalizing historic downtowns, mixed-use neighborhood commercial districts, and village centers.

Residential Emergency Services to Offer (Home) Repairs to the Elderly (RESTORE) - funds are available as grants to support the cost of emergency repairs to eliminate conditions in homes that

pose a threat to life, health, or safety of low-income elderly homeowners when the homeowners cannot afford to make the repairs.

Access to Home Program - provides financial and technical assistance to make residential units accessible for low- and moderate-income persons with disabilities, providing assistance with the cost of adapting homes to meet the needs of those with disabilities enables individuals to continue to safely and comfortably live in their residences and avoid institutional care. The eligible unit must be the primary residence of the person with a disability. Eligible properties can be owner-occupied homes or rental units.

Access to Home for Medicaid Program - provides financial assistance to property owners to make dwelling units accessible for low- and moderate-income persons receiving Medicaid and living with a disability. The Access to Home for Medicaid program has a secondary goal of lowering health care costs over the long-term. The Access to Home for Medicaid program is operated by the Housing Trust Fund Corporation (HTFC) under a Memorandum of Understanding with the New York State Department of Health (DOH). HTFC operates the Program, but DOH provides funding and verification of eligibility.

Access to Home for Heroes Program - provides financial assistance to property owners to make dwelling units accessible for low- and moderate-income veterans living with a disability.

The Corporation is governed by a nine-member Board of Directors (“Board”) comprised of the Commissioner of the New York State Division of Housing and Community Renewal (“DHCR”), the Ex-officio Chairman of HFA, three Governor Appointees, the Budget Director of the State’s Division of the Budget, an Assembly Appointee, the Acting Commissioner of the State’s Taxation and Finance and a Senate Appointee. The Corporation is administered by HTFC staff consisting of approximately 151 employees of whom 52 administer the CDBG-DR programs and staff employed by DHCR pursuant to a services agreement.

For further information regarding HTFC and its programs, visit HTFC’s website at <https://hcr.ny.gov/housing-trust-fund-corporation>.

This RFP is subject to HTFC’s [Standard Clauses and Requirements for Solicitations](#), hyperlinked herein as Exhibit A.

## **2. Purpose**

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HTFC seeks qualified competitive proposals from independent certified public accounting firms or individuals (“Proposers” or “Firms”) registered to practice in the State to conduct financial audits of the Corporation, as more fully described in the Scope of Services section of this RFP. The successful Proposer (“Auditor” or “Contractor”) shall demonstrate qualifications that meet or exceed the minimum requirements specified in Section 7 (“Minimum Qualifications”) of this RFP.

### **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 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**

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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.

#### **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>.

<b>RFP Event</b>	<b>Date</b>
Issuance of RFP	August 17, 2021
Deadline for RFP Questions	September 17, 2021, 3pm, Eastern Daylight Time (EDT)
Deadline for RFP Responses	September 21, 2021
Deadline for Submission of Proposals	September 28, 2021
Interview(s) (if necessary)	To Be Determined
Anticipated Selection Date*	November 11, 2021

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

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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. Proposers 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. Scope of Services (Scope of Work)**

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### **7.1 General Scope of Services**

The Contractor will provide audit services to HTFC for at least a consecutive five-year period, beginning with the fiscal year ending March 31, 2022. The resultant contract (“Agreement”) awarded to the successful Proposer shall commence on January 15, 2022 and end on January 14, 2027.

Within 75 days of the Corporation’s fiscal year end, final draft audits must be completed in order to present the required reports to HTFC’s Board of Directors.

Within 90 days of the Corporation’s fiscal year end, financial and other reports must be filed on the New York State Public Authorities Reporting Information System (“PARIS”). The Contractor will also issue reports thereon, as more fully described below.

By December 31st of each year of the audit, the Contractor will verify and certify the data from the United States Department of Housing and Urban Development (“HUD”) Real Estate Assessment Center (“REAC”) system which is compiled for the annual audited Financial Assessment Subsystem (“FASS”) submission required under the HCV program. Delinquent certification can result in a temporary or permanent reduction in HCV administrative fees. Any reduction due to Contractor failure to comply will be borne by the Contractor.

The Corporation is included as a component unit in the New York State Single Audit; however, the OMB Single Audit is not required.

The Corporation’s activities are primarily funded through State appropriations from the New York State Housing Program Fund and Federal appropriations from HUD. For the fiscal year ending March 31, 2021, revenues from State funding totaled \$183 Million, which includes both appropriation and non-appropriation funding. For the fiscal year ending March 31, 2021, revenues from Federal government appropriations were (i) \$65 Million for CDBG and Home programs, (ii) \$2.3 Billion for Project Based Contract Administration and Housing Choice Voucher programs, (iii) \$180 Million for CDBG-DR (disaster relief) program, (iv) \$47 Million for COVID Relief, and (v) \$10 Million in other Federal Programs. The Corporation also services its own mortgages which currently aggregate to approximately \$3.5 Million in principal and accrued interest and will also continue to manage State and federal funds awarded and not yet committed from prior years.

The Corporation generally invests its funds in treasury bills, zero principal strips, and repurchase agreements, in consultation with its custodian and investment agent, and the NYS Division of the Treasury.

The fiscal year for HTFC commences on April 1st and ends on March 31st of each year.

The Contractor will provide audit services in accordance with the Scope of Services outlined herein for HTFC's offices in Albany and New York City.

The Proposer and any Subcontractors must submit documents that provide evidence to the requirements outlined below:

## **7.2 Proposer Qualifications**

- 7.2.1 Proposer must have a minimum of three (3) years of experience as of the Proposal Submission Deadline performing financial audits of governmental entities and must demonstrate familiarity with all relevant statutes, regulations, policies and industry standards affecting the Corporation's funding and New York State public benefit corporations, including those promulgated by the State's Public Authorities Law, State's Private Housing Finance Law, U.S. Government Accounting Office ("GAO"), Governmental Accounting Standards Board ("GASB") and the American Institute of Certified Public Accountants ("AICPA");
- 7.2.2 Proposer must be a current member of the AICPA and certified by the AICPA for a minimum of three years as of the Proposal Submission Deadline; and
- 7.2.3 Proposer must employ certified public accountants properly licensed by the State of New York and registered by the State Education Department or other applicable State regulatory agency.

## **7.3 Auditor Requirements**

- 7.3.1 Contractor must meet all required independence standards, including GAO Standards for Audit of Governmental Organizations, Programs, Activities and Functions, the AICPA's Rules on Independence and those of any other applicable regulatory agencies;
- 7.3.2 Contractor must demonstrate a familiarity with the Generally Accepted Auditing Principles ("GAAP") and the General Accepted Auditing Standards ("GAAS");
- 7.3.3 Contractor must not have a record of substandard work;
- 7.3.4 Contractor must have the ability to establish credentials (a valid ID) in order to certify statements in the HUD REAC system, upon award of the Contract.

## **7.4 Audit Requirements**

The audit shall be conducted for the purpose of expressing an opinion on the Corporation's financial statements, in accordance with auditing standards generally accepted in the United States of America ("U.S.") and will include such supplemental information as is required by generally accepted auditing standards including, but not limited to, management's discussion and analysis.

The Contractor shall examine the financial statements of the Corporation for the fiscal year ending March 31st of each year of the engagement. The Contractor's examination shall be made in accordance with auditing standards generally accepted in the U.S. and the standards applicable to financial audits contained in Government Auditing Standards issued by the U.S. Comptroller General.

The Contractor will review the Corporation's internal controls over financial reporting and perform such tests, as necessary, to determine the Corporation's compliance with certain provisions of laws, regulations, contracts, grant agreements and other matters, and will issue reports thereon. The Contractor will also issue a letter to HTFC's Management and Board of Members ("Board") [see PHFL Sec 45-a] that contains observations that the Contractor believes are of value to the Corporation, commonly referred to as a "Management Letter." The Contractor will also perform those procedures required by the State's Office of the Comptroller ("OSC") with respect to the Corporation's investment practices and issue a report thereon. These procedures are designed to determine whether the Corporation has complied with OSC's Investment Guidelines for Public Authorities.

The Contractor will compare financial statements to the program trial balances utilized to prepare the FASS submission for the HCV system, note any discrepancies, provide assistance in resolving any discrepancies, and certify the FASS submission in the HUD REAC system by the required submission deadline for each year of the audit engagement.

## **7.5 Audit Deliverables**

The Contractor will provide all of the following annual reports in electronic format (i.e., PDF or Word file formats via e-mail attachments):

- 7.5.1 Contractor will issue a report on the Corporation's financial statements, including Contractor's opinion, Management's discussion and analysis, and required supplementary information. The final draft audits must be completed within 75 days of the Corporation's fiscal year end and presented to its Board. The final financial statements and other reports (including the Independent Auditor's Report) must be filed on PARIS within 90 days of the Corporation's fiscal year end and thus must be provided to the Corporation within two business days after approval by the Board.
- 7.5.2 Contractor will issue an Internal Control and Compliance Report which reports on the Corporation's internal accounting controls over financial reporting as required by generally accepted auditing standards.
- 7.5.3 Contractor will issue a report on the Corporation's compliance at the financial statement level with all relevant rules and regulations. This information may be included with or within another report, if consistent with industry standards.
- 7.5.4 Contractor shall issue a "Management Letter" which contains observations that the Contractor believes are of value to the Corporation.
- 7.5.5 Contractor will issue an investment report on the Corporation's investment practices as required by the State and OSC's "Investment Guidelines for Public Authorities."

- 7.5.6 Contractor will annually review and certify the HCV program FASS submission in the HUD REAC system by the required December 31st deadline.
- 7.5.7 Contractor will also issue such other reports, if any, required by current federal or New York State law or regulation, or by any relevant industry governing body.

## **7.6 Audit Timelines**

All of the Audit Deliverables must be received in draft form by the Corporation by the end of the first week of June for each year of the audit engagement. With the exception of Audit Deliverables relating to the review and recertification of the HCV program FASS submission due by December 31st, all of the Audit Deliverables must be received in final form by the Corporation by the end of the second week of June for each year of the audit engagement.

In addition, Contractor will be required to send a senior representative of the Contractor to the HTFC June Board meeting to report on the audit. These meetings are usually held at HTFC's New York City Office but attendees for the meeting may participate remotely at HTFC's Albany Office.

The Contractor must make themselves available for the coordination and submission of the FASS report by December 31st for each year of the audit engagement.

## **8. 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.

## **8.1 TAB 1: Proposal Cover Letter and Application Coversheet**

The Proposer must include the Application Coversheet (Attachment 4) and a Cover Letter.

### **8.1.1 Proposer Cover Letter**

The Proposer's Cover Letter must not exceed three (3) pages and should include:

- (i) the Proposer's name, address, telephone number, fax number, email address and web site address, if applicable;
- (ii) the contact 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;
- (iii) a summary of the Proposer's organizational history and legal structure (e.g. corporation, individual practitioner, partnership, LLC, not-profit organization, State MWBE and/or SDVOB certification status, etc.);
- (iv) a statement affirming the number of years that the Proposer and/or its principals have provided audit services in accordance with the requirements in the Scope of Services section of this RFP;
- (v) the name(s) of the primary staff, including titles, who will provide services to HTFC;
- (vi) indicate whether the Proposer will be subcontracting with a MWBE and/pr SDVOB, and if so, provide the name of the MWBE and/or SDVOB entity(ies)and principal(s); and
- (vii) 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.

## **8.2 TAB 2: Technical Proposal**

This section of the RFP provides instructions to Proposers regarding information that is to be included in the Technical section of the proposal. The content in Tab 2 is limited to ten (10) letter-size pages, double spaced, minimum 12-point font, and at least one-inch margins. The ten-page limit in Tab 2 does not include resumes, references, organizational chart, etc. Proposal documents must be complete, factual and as detailed as necessary to allow HTFC to adequately evaluate capabilities and experience for the audit services required under the contract awarded to the successful Proposer. The purpose of the Technical portion of the proposal is to provide the Proposer an opportunity to demonstrate its qualifications, competence and capacity to undertake the Scope of Work, described in the Scope of Services section of this RFP, in a manner which complies with the requirements in this RFP. Proposals must specifically detail a Proposer's qualifications and experience in providing services sought by HTFC (including the experience of its subcontractors, where applicable). Your response must include

responses to the items listed below.

### **8.2.1 Company Background**

- (i) A brief description of your firm and its organizational structure including size and location of your firm's offices from which work will be performed.
- (ii) A description of any significant changes to the management structure and/or operational dynamics of the Firm's organization, including any mergers that occurred in the last three (3) years or are expected in the near future or any subcontracting and/or partnering relationships with any other entity;
- (iii) A brief description of the range of activities performed by your firm, including specific references to engagements similar in size and scope to the engagement indicated in the Scope of Services section of this RFP.
- (iv) The firm's participation in training and continuing professional education in auditing governmental programs.
- (v) A description of the firm's quality control procedures, and review and supervisory procedures.
- (vi) Discuss the results of your firm's internal and independent quality control reviews, including information on peer review.
- (vii) Discuss your firm's information technology capabilities and a description of how such capabilities will support the audit effort, including securing confidential information.
- (viii) A summary of your firm's presence in New York State including any offices maintained in the State, the number of staff employed in the State and the number of staff to cover this engagement who are employed in the State.
- (ix) Describe your firm's corporate citizenship and commitment to New York State, including local procurement of goods and services, development or participation in internship programs or scholarships and corporate philanthropy; and
- (x) Provide a list and description of any proceedings against your firm, pending or contemplated by any governmental agencies or oversight body, such as the NYS Education Department – Office of the Professions, AICPA, IRS, Stockholders' Group, Trustee, or entity, including but not limited to, any pending or anticipated proceedings or rule or order relating to a violation or alleged violation by your firm of any federal or state statute or regulation that could have an adverse material impact on the firm's ability to successfully perform the audit. Provide a list of all sanctions and/or fines imposed on your firm during the last 24 months in connection with any proceeding of the type described in the proceeding sentence. Also provide HTFC with a list and description of any pending or anticipated proceedings by private parties against your firm (individually or in the aggregate) that your firm has determined may have a material adverse impact on the current financial status or operations of the firm.

## 8.2.2 Experience, Qualifications and Performance

- (i) Provide a summary of your firm’s qualifications as it relates to the requirements outlined in Sections 7.2 (i) through (iii) (“Proposer Qualifications”) of this RFP.
- (ii) Provide a summary describing how your firm will meet the remaining requirements indicated in the Section 7 (Scope of Services) section of this RFP.
- (iii) Describe your Firm’s experience and familiarity with all relevant statutes, regulations, policies and industry standards effecting the Corporation’ funding, and New York State public benefit corporations in general, including, but not limited to, requirements related to federal subsidies (including, but not limited to, Section 8), those promulgated by the State’s Public Authority Law, the State’s Private Housing Finance Law, GAO, GASB, GAAS, GAAP, and the AICPA. References must be specific.
- (iv) Describe your Firm’s capacity to provide audit services with entities similar in magnitude to the Corporation, and its experience of at least three (3) years with audits of similar organizations. Include a list of clients for whom you currently provide and have previously provided similar auditing services as described in this RFP, especially State agencies, public authorities or public benefit corporations, along with a description of the type of engagements. Include references that may be contacted, with contact information, that can speak with authority in connection with your firm’s work on these matters.
- (v) Describe your Firm’s experience performing financial statement audits with governmental agencies.
- (vi) Describe your Firm’s experience with HUD REAC filings. Your Firm must be able to demonstrate its experience and familiarity with the requirements of GASB No. 45 (Accounting and Financial Reporting by Employers for Postemployment Benefits Other Than Pensions) requirements. Provide specific experience through engagements of the review of OPEB valuation reports for the purpose of meeting financial statement disclosure requirement.
- (vii) Discuss a general outline of your auditing approach. Include any special expertise that your Firm will bring to this engagement. Your Firm must also demonstrate its ability to provide all of the deliverables within the timetable described herein, in accordance with your Firm’s auditing approach.
- (viii) If your Firm has served as an auditor for the Corporation, discuss your Firm’s audit performance. If your Firm has not served as an auditor for the Corporation, discuss your audit performance with respect to a similar governmental agency.
- (ix) The Firm must state the nature and amount of assistance it expects from the Corporation for the timely completion of the audit, including availability of HTFC staff during other than normal business hours, if any. Describe your Firm’s plan for working remotely with your existing client base and approach to working remotely with representatives of the Corporation.
- (x) Provide a summary of comparable engagements, either as a lead or supporting firm, including a

brief description of how three (3) of these experiences are relevant or complementary to the Scope of Work describe in this RFP.

- (xi) Provide evidence of your firm's current AICPA certification over the last three years.
- (xii) Provide evidence of your firm's Certified Public Accountant (CPA) status within the State of New York and copies of certifications for each member of the engagement team.
- (xiii) Provide a minimum of three (3) references for the Proposer and at least two references for any subcontractors. Each reference should include the name, title, telephone number, and email address for each contact person and each company. Attach a brief summary of the relationship between the reference and the Proposer. Information provided by the references may be used by the Corporation for the evaluation of proposals. The Corporation is not responsible for the degree of or lack of responsiveness of the references listed by a Proposer, subcontractor or partner. The Corporation is not required to alert Proposers about a reference's unresponsiveness during the evaluation of a proposal.
- (xiv) The technology, policies and procedures, and any organizational attributes that the Proposer will employ to undertake the Scope of Work and whether such items are already in place.
- (xv) Why should HTFC select your Firm? What can your Firm do for HTFC that other firms cannot?

### **8.2.3 Staffing Capabilities**

- (i) Provide a profile of the audit staff for this engagement including detailed resumes with relevant experience of the partner(s), management staff and associates who would be assigned to manage and complete the engagement. Identify the principals and key staff (and roles) who will be primarily responsible for providing audit services to HTFC and include location of principals and key staff. For each staff member listed, provide the number of years of relevant experience, certifications and/or licenses, and attach a resume.
- (ii) Attach a copy of the proposed organizational chart together with resumes, titles and contact information for all key and supporting staff. The information required herein must also be provided for any subcontractors or partners. Attach any contracts, agreements, or letters of intent that have been entered into with such firms that are relevant to this RFP.
- (iii) Provide a description of the instances, if any, in which your firm has worked with MWBE and/or SDVOB audit firms on previous audits by engaging in subcontracting arrangements. Responses should include the nature of the engagement, how such arrangement was structured and a description of how the services and fees were allocated.
- (iv) If the Proposer will be subcontracting with an MWBE and/or a SDVOB for any portion of the work described in the Scope of Work, provide resumes and a summary of the relevant qualifications and experience of the subcontractor(s) and the staff of each entity. Describe the types of tasks anticipated to be assigned by the subcontractor(s)/partner(s). If the Proposer will



not be subcontracting with an MWBE and/or SDVOB, indicate the reason why there are no subcontracting opportunities for the work described in the Scope of Services section of this RFP.

#### **8.2.4 Work Plan**

- (i) Provide a detailed description of the Proposer’s intended means, methods, and timeline for accomplishing each task required by the Scope of Work, as well as any component sub-tasks that the Proposer may identify. The description should indicate the Proposer’s previous experience in using these means and methods as well as its reasons for employing them in this project;
- (ii) an explanation of the methodology and workflow that will be utilized; include any procedures to ensure compliance with the requirements outlined in the Scope of Work;
- (iii) any “best practices” the Proposer will use to assure the timely completion of the Work Plan;
- (iv) a timeline that identifies the earliest date upon which the Proposer can commence its work subsequent to its receipt of an executed contract. The timeline should be as precise as possible in establishing dates for the completion of each of the tasks described in the Scope of Work as well as any component sub-tasks identified by the Proposer;
- (v) a plan for communication and measuring contract performance, including remote access;
- (vi) any innovative technology solutions or other best practices to be provided; and
- (vii) any tasks listed within the functional area that the Proposer is not capable of providing.

#### **8.3 Tab 3: Cost Proposal**

The Proposer must complete Cost Proposal Tab, attached hereto as Attachment 2 of the RFP. In addition, the information for costs in Attachment 2, 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 2. HTFC reserves the right to negotiate a lower or different fee structure with the successful Proposers. The Cost Proposal should include:

1. A fixed annual fee for the financial statement audit and HUD certification to be performed on an annual basis. Proposers must include, as a separate attachment, a listing of the hourly rates (by job title) and estimated number of hours for each person on the engagement team (provided in Tab 2) as supporting calculations for computation of the annual fixed fees;
2. Any reduced fees or discounts for NYS governmental agencies; and
3. Any measures proposed by the firm to reduce the cost to HTFC of retaining your firm.

#### **8.4 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 For-Profit Entity or Vendor Responsibility Questionnaire For Not-for-Profit Business Entity](#), (5) [Vendor Assurance of No Conflict of Interest and Detrimental Effect](#). In addition to completion of the forms hyperlinked in the paragraph above, Proposers must provide all other information indicated below.

#### **8.4.1 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 HTFC 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. HTFC 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). 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:
  - (i) **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

(ii) **C-105.2** – Certificate of Workers’ Compensation Insurance (or U-26.3 if insured through the State Insurance Fund); or

(iii) **SI-12** – Certificate of Workers’ Compensation Self-Insurance (or GSI-105.2 Certificate of Participation in Workers’ Compensation Group Self-Insurance).

c. 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:

(i) **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

(ii) **DB-120.1** – Certificate of Disability Benefits Insurance; or

(iii) **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](#).

d. 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 claim and One Million Dollars U.S. Dollars (\$1,000,000) 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.

e. Errors and Omissions Liability – Errors and Omissions (or Professional Liability), which shall include Errors and Omissions (or Professional Liability) insurance with limits of One Million U.S. Dollars (\$1,000,000).

f. Fidelity Bond – Commercial Blanket Fidelity Bond Insurance, which shall include a customer protection endorsement, with limits of One Million U.S. Dollars (\$1,000,000). 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.

- g. Umbrella/Excess Liability, with minimum limits of One Million U.S. Dollars (\$1,000,000) each occurrence and aggregate.
- h. 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.

#### **8.4.2 Financial Capacity**

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

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

The Proposer must include copies of all certifications required in Sections 8.2.2(xi) and (xii) of the RFP. 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.

### **8.5 TAB 5: Diversity and SDVOB Proposal**

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#### **8.5.1 Equal Employment Opportunity (EEO), Diversity, and SDVOB Information**

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

##### **8.5.1.1 [Equal Employment Opportunity Staffing Plan, PROC-1 form;](#)**

- 8.5.1.2 [Utilization Plan, PROC-2 form](https://hcr.ny.gov/system/files/documents/2019/02/copy-proc2-utilizationforms.xlsx). This form can also be accessed at the following web address: <https://hcr.ny.gov/system/files/documents/2019/02/copy-proc2-utilizationforms.xlsx>;
- 8.5.1.3 If applicable, [Request for Waiver Form, PROC-3 form](#);
- 8.5.1.4 [Minority and Women Business Enterprises – Equal Employment Opportunity Policy Statement, PROC-4 form](#);
- 8.5.1.5 [Company Demographic Profile, PROC-7 form](#);
- 8.5.1.6 [EEOC Statement, PROC-8 form](#). Please note that completion of the PROC-8 form is applicable to Proposers with 15 or more employees; and
- 8.5.1.7 [Diversity Practices Questionnaire](#).

## 9. 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 “2021 HTFC Independent Audit Services RFP.”

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.

## 10. 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 Procurement Opportunities [webpage](#).

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.

## 11. 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 into five parts: (i) Tab One: Cover Letter; (ii) Tab Two: Technical Proposal; (iii) Tab Three: Cost Proposal (Attachment 2 of this RFP); (iv) Tab Four: Administrative Proposal; and (v) Tab Five: Diversity and SDVOB Proposal. Proposals must be sent in two emails and labeled as follows: (a) one email to include Tabs One, Two, Four and Five and the subject line of the email must be labeled: "2021 HTFC Independent Auditor Services RFP - Tabs 1, 2, 4 and 5;" and (b) the other email must include Tab Three and the subject line of the email must be labeled "HTFC Independent Auditor Services RFP – Tab 3".

The proposal must be bookmarked and divided according to the parts described in the preceding section. 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.

## 12. Evaluation of Proposals

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### 12.1 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.

## **12.2 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:

- a. Demonstrated experience, competence, expertise and ability to provide the audit services described in the Scope of Work of this RFP;
- b. Historical performance to the Corporation (if any) ;
- c. Proposed fees and costs (including discount to governmental agency);
- d. Presence of an office in the State of New York;
- e. Diversity and commitment to equal employment opportunity, including MWBE and SDVOB programs;
- f. Overall organization, completeness and quality of response, including cohesiveness and clarity of response; and
- g. Interviews to clarify or expand on the RFP response (to be conducted at the discretion of HTFC).

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.

## **12.3 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.

## **13. Award of Contract**

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The contract resulting from this RFP process will be to provide independent audit services for a five-year period, subject to approval by HTFC’s Board. HTFC, at its discretion, reserves the right to modify any provision in the contract including, but not limited to, the scope of work, fees, etc., on an as needed



basis, with the mutual written consent of the contracting parties. Any contract that exceeds a five-year period will require the affirmative concurrence of HTFC's Board to extend the term of the contract without undergoing a new solicitation process.

Prior written approval must be received from the Corporation 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 an HTFC Agreement that incorporates (i) Appendix I, HTFC's [\*Standard Clauses for Contracts\*](#), (ii) [\*Appendix II relating to requirements and procedures for Participation by Minority Group Members and Women\*](#) 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 under the engagement.

**The contract(s) resulting from this RFP process is/are subject to the availability of Corporation funding. 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 Federal and NYS Requirements**

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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. 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.

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# Attachment 1: Intent to Submit Proposal Form

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## Intent to Submit Proposal Form Housing Trust Fund Corporation

### Request for Proposals for 2021 Independent Auditor Services

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: Cost Proposal Form (Budget)

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Proposers must complete the Cost Proposal Form below based on the instructions contained in this Attachment. The Contractor will not be reimbursed for any costs outside those prices listed below.

### Cost Proposal Instructions:

1. The Audit Fee and Hourly Rates shall remain the same for the first three years of the engagement.
2. Proposers must propose an all-inclusive deliverable price for each Deliverable listed in the chart below. The all-inclusive bid price must be inclusive of personnel and non-personnel expenses, including all related costs such as salaries, fringe benefits, administrative/operating costs and fees, overhead, subcontracting, training, travel, presentation costs, and profit.
3. Proposers must not change or add to the chart below.

Deliverable(s)*	Audit Fee for Fixed Price Deliverables			
	Fiscal Years 2022 -2024	Fiscal Year 2025	Fiscal Year 2026	Fiscal Year 2027
Annual Financial Statement Audit	\$	\$	\$	\$
HUD Certification(s)	\$	\$	\$	\$
<b>Annual Total Per Year</b>	\$	\$	\$	\$

**Grand Total (All Years):** \$ \_\_\_\_\_

\*The financial audit of HTFC shall include the issuance of: (a) Independent Auditor’s Report, (b) a Management Letter (AU 260), (c) an Investment Compliance Report, , and (d) GAS Report.

Include staff titles and hourly rates and hours dedicated to performing the financial audit and HUD certification of the Corporation.

## Attachment 3: Proposal Checklist

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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
- 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;](#)
  - 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
- Tab 5 – Diversity and SDVOB Proposal
  - [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](#)

## Attachment 4: Application Coversheet

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*Attach this form to the top of your proposal.*

**DATE OF APPLICATION:** \_\_\_\_\_

**GENERAL INFORMATION ON FIRM:**

Legal Name of Firm:

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Firm's Mailing Address:

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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):

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**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:

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Contact Facsimile Number (including area code):

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**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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