

**NEW YORK STATE HOUSING FINANCE AGENCY, STATE OF NEW YORK MORTGAGE  
AGENCY, STATE OF NEW YORK MUNICIPAL BOND BANK AGENCY, AND TOBACCO  
SETTLEMENT FINANCING CORPORATION**

**Request for Proposals (RFP) for Legal Services for Municipal Finance Transactions**

**Questions and Answers - Updated March 11, 2026**

Number	Questions	Answers	Posted Round
1	If a MWBE or a SDVOB firm wishes to be considered as a prime contractor for one or more legal services roles and as a co-counsel for others, may it respond with a large firm and indicate these options in the joint response or in the alternative should it respond with a large firm for the co-counsel roles and separately respond as a prime contractor for the other legal services roles?	Yes, an MWBE or SDVOB firm may respond as a prime contractor for one or more practice areas and may also participate with another firm as co-counsel for other practice areas.	1
2	All of the personnel who would provide services if we are selected to do so are partners or employees of the firm, so we will not need to and will not engage any subcontractors, and therefore we will not be engaging any MWBE. We will provide demographic information about our team, but we intend to submit a MWBE waiver form. If we are selected and the MWBE waiver is granted, will that waive the provisions providing that failure to submit and/or adhere to a MWBE Utilization Plan or otherwise comply with MWBE provisions will constitute a material breach and/or result in consequences, including liquidated damages, including Section IV.C of Appendix II, Section 7(d) of the Standard Clauses, and the requirement to complete MWBE Contract Goals?	This RFP includes MWBE and SDVOB participation goals in accordance with Article 15-A of the Executive Law and Article 3 of the Veteran's Law. Proposers are expected to identify certified MWBE and SDVOB firms to participate in the work where appropriate. Proposers should submit their strongest proposal demonstrating how they will meet the participation goals. If the prime contractor is unable to select an MWBE/SDVOB firm, the prime contractor must be willing to partner with an MWBE/SDVOB firm selected by the Agency(ies).	1
3	All of the personnel who will work on this matter are exempt professionals and are not paid on an hourly basis, meaning that their compensation will be the same regardless of how much time they devote to performing services under the Contract, so it will not be possible to report the gross wages paid to each employee for their work on the Contract, as required in Section III.D. 3 of Appendix II. Will this preclude us from being awarded the contract or result in a breach of the Contract? Is there an alternative method of reporting that could be used?	The quarterly report referenced in Appendix II is a post-award reporting requirement. If employees are salaried exempt staff and compensation is not tracked by contract, the prime contractor may use a reasonable estimate to allocate wages based on the percentage of time the employee works on the contract.	1
4	On the Proposal Certification, what is a New York State Identification Number? Is it a vendor number, tax ID, or other number?	A New York State Identification Number is a 10-digit code issued by New York State to identify whether the vendor is registered with the New York's Statewide Vendor File, a central registry for all state vendors. This database is administrated by the Office of the State Comptroller (OSC).	1

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5	We acknowledge there are percentage goals to encourage participation for NY certified MBE/WBE/SDVOBs (as well as 5 evaluation points). Please confirm if we must show good faith efforts, in order to be responsive, if we are unable to select a firm/firms.	Good Faith Efforts (GFE) documentation is required only when a proposer seeks a waiver of MWBE or SDVOB participation goals. However, this RFP includes participation goals and certified MWBE and SDVOB firms should be available to perform these services. Proposers should submit their strongest proposal demonstrating how they will meet the participation goals. If the prime contractor is unable to select an MWBE/SDVOB firm, the prime contractor must be willing to partner with an MWBE/SDVOB firm selected by the Agency(ies).	1
6	If we select certified NY MBE/WBE/SDVOBs that will partner with us, please confirm if they are also required to provide their own set of completed forms and insurance information noted in Tab 4 (Administrative Proposal) and their own set of completed forms in Tab 5 (Diversity, SDVOB and Equal Employment Opportunity).	For Tab 4, MWBE/SDVOB firm must complete the Vendor Responsibility Questionnaire, Vendor Assurance of No Conflict of Interest and Detrimental Effect and Executive Order #16 forms.  Subcontractors do not submit a full separate Tab 5 package. The subcontractor's information should be captured by the prime contractor in the Utilization Plan (PROC-2) and reflected in the total workforce reported in the Staffing Plan (PROC-1).	1
7	Are we to assume the financial capacity information noted in Tab 4 (Administrative Proposal) will only be required of the primary firm submitting? Will this information be treated as confidential?	Yes, the financial capacity information noted in Tab 4 is only required by the primary firm submitting the proposal. As noted in Section 7 of Exhibit A titled Standard Clauses and Requirements for Solicitations, all information and material provided in response to this RFP is subject to disclosure pursuant to the Freedom of Information Law.	1