

David A. Paterson
Governor



Deborah VanAmerongen
Commissioner

New York State Division of Housing and Community Renewal

Hampton Plaza
38-40 State Street
Albany, NY 12207

Request for Proposals

For

**Local Needs Assessments and Strategic Planning
Training Services**

PROPOSALS MUST BE **RECEIVED** BY

3:00 P.M.

June 26, 2008

This Page Intentionally Left Blank

Table of Contents

I.	Purpose	5
II.	Training Format and Logistics	5
III.	Qualification of Bidders	6
IV.	Deadline and Submission Requirements	6
V.	Contracts to be Awarded	7
VI.	Work Program	7
VII.	Specifications of the Proposal	9
VIII.	Affirmative Action	11
IX.	Notification of Award	11
X.	Rating Proposals	11
XI.	Contracting and Billing Procedures	11
XII.	Conflict of Interest	12
XIII.	Security	13
XIV.	Bidders Conference	13
XV.	Schedule	15

Appendices

Appendix A Legal Requirements Applicable to Invitation for Bids and Request for Proposals

Exhibit 1	Non-Collusive Bidding Certificate
Exhibit 2	Non-Discrimination in Employment in Northern Ireland
Exhibit 3	Vendor Responsibility Questionnaire
Exhibit 4	Procurement Lobbying Provision and Forms
Exhibit 5	Consultant Services Forms (A & B) and Instructions

Appendix B Price Proposal Forms Needs Assessment and Strategic Planning Session Train-the-Trainer Session

NYS Dept. of Taxation and Finance Contractor Certification Form (ST-220)

This Page Intentionally Left Blank

I. Purpose

The New York State Division of Housing and Community Renewal (DHCR) is requesting Proposals from qualified Bidders to provide Local Needs Assessments and Strategic Planning training to DHCR funded Neighborhood and Rural Preservation Companies, the Neighborhood Preservation Coalition of NYS, the NYS Rural Housing Coalition, and to staff of DHCR. The services to be provided include group training at several locations throughout New York State, and a Train-the-Trainer workshop to be held in Albany, New York.

Background

The Neighborhood and Rural Preservation Programs were implemented under Article 16 & 17 of the Private Housing Finance in 1977 and 1978, respectively. The primary intent of the Neighborhood and Rural Preservation Programs is to promote and preserve housing for low and moderate-income individuals by providing planning and administrative funds to community-based not-for-profit corporations. These companies, of which 155 are located in urban areas, and 67 are located in rural centers, provide a variety of services which include property rehabilitation and construction, property maintenance and management, financial assistance including credit counseling and foreclosure prevention, tenant/client assistance, loan/grant assistance and community preservation and renewal.

The New York State budget for 2007 -2008 required the Commissioner of the NYS Division of Housing and Community Renewal (DHCR) to prepare a plan to “initiate program review and reform” of the Neighborhood and Rural Preservation Programs. On November 1, 2007, DHCR submitted this report to the NYS Legislature, the Division of the Budget and other interested parties.

Through this effort DHCR engaged its stakeholders in a comprehensive process to maximize the program's effectiveness. Companies currently under contract with DHCR will be required to undertake a Local Needs Assessment of their service area and create and implement a three year Strategic Plan. The Neighborhood Preservation Coalition of NYS and the NYS Rural Housing Coalition will assist DHCR in developing the capacity of many of these organizations by providing such trainings.

II. Training Format and Logistics

The services requested would provide training to representatives of the Housing Companies, Coalition staff, and DHCR staff at the following six locations:

- Albany
- Syracuse
- Rochester
- Buffalo
- Queens/Long Island
- Manhattan

Training location for the Train-the-Trainer will be located in Albany, New York.

DHCR will be responsible for all logistics such as meeting space, meals and notification of the participants.

Training format to include:

1. Workshop format training for all Preservation Companies, DHCR Regional Representatives and Neighborhood and Rural Coalition staff on the development of high quality, concise Local Needs Assessments and Strategic Planning documents to guide organizational development and growth. DHCR anticipates approximately fifty (50) attendees at each session.
2. Development and delivery of a Train-the-Trainer format workshop for DHCR staff and the Neighborhood and Rural Coalitions to enable them to effectively deliver one-on-one follow-up training in Local Needs Assessment and Strategic Plan development. The purpose of this training is to prepare DHCR staff and the Neighborhood and Rural Coalitions, to follow up with preservation companies that need additional assistance in developing their Local Needs Assessments and Strategic Plans. DHCR anticipates that up to thirty (30) staff members may be trained in this session.

Interested Bidders must demonstrate expertise in group training for not-for-profits in the areas of Local Needs Assessments and Strategic Planning for the companies' service area targeted to low and moderate income neighborhoods/areas (at or below 90% of median area income). Following the review of written submission materials, DHCR reserves the right to request clarification or expansion on points identified in the written response.

Information on the Community Services Bureau, Neighborhood and Rural Preservation Program can be obtained on the website at www.dhcr.state.ny.us.

III. Qualification of Bidders

DHCR will accept Proposals from persons, for-profits or not-for-profit associations, firms, corporations, or partnerships proposing to provide the required services and which can demonstrate proven successful experience (minimum of five (5) years directly related experience) in providing the service required. Individuals selected as a result of this RFP will be independent contractors. They will not be employees of DHCR.

IV. Deadline and Submission Requirements

Bidders should supply four (4) copies of their responses to the RFP in two separate sealed envelopes. All submissions shall consist of:

Envelope 1: General Requirements;
Work Proposal; and
Exhibits, forms, and appendices.

Web Site: www.dhcr.state.ny.us
Email address: dhcrinfo@dhcr.state.ny.us

- Envelope 2:** Price Proposals (Price Proposals must be submitted in a separate, sealed envelope). Price Proposals must include and use forms provided:
1. Price Proposal Summary including:
Detailed Project Budget which will include: staff by title, number of hours worked on the project, price per hour, and total.

Only complete Proposals received by the submission deadline will be evaluated by DHCR. Fax submissions will not be accepted. DHCR will not be responsible for late deliveries of any submissions.

To be considered, Proposals must be mailed or hand delivered to:

Sandy Johnson
Director of Finance
Office of Financial Administration
NYS Division of Housing and Community Renewal
38-40 State Street
Albany, New York 12207

The Proposal must be received at the above address no later than 3:00 PM, **June 26, 2008**, with the following clearly printed on the outside:

“Proposal for the NYS Division of Housing and Community Renewal for Consulting and Training Services for Local Needs Assessments, Strategic Planning and Train-the-Trainer Services”. Do not open until: June 26, 2008, at 3:00 P.M.

Opening of the Proposals will take place at 3:00 PM on the same day at DHCR, at the Hampton Plaza location. Any Proposal delivered after 3:00 PM will not be considered.

V. Contract to be Awarded

No more than one (1) award will be made to the highest scoring vendor. Written Proposals will be evaluated and scored according to the criteria set forth in Section “X” of this Proposal. A **mandatory** interview will be required for those Bidders scoring 80 or more on the written Proposal. All interviews will have a maximum score of 10 points. The final award will be made on “Best Value” to the State of New York in which cost is only one of several factors to be considered and rated to ensure the best possible product is delivered to the training recipients.

VI. Work Program

The work program is divided into two components. For each component please identify individual(s) directly responsible for creating training content, and delivering training.

Please detail in your response how you will address providing training in widely divergent real estate markets and delivery to a diverse audience. If appropriate, please detail your prior experience as a training team.

Group Training

a. Workshops

The provider will develop, in consult with DHCR staff, six (6) two (2) day training seminars or workshops to be conducted in the following locations: Albany, Syracuse, Rochester, Buffalo, Queens/Long Island and Manhattan. The format of the workshops will primarily be lecture, but may also include discussions, exercises, and other appropriate training methodologies.

At the conclusion of the workshops the contractor will provide DHCR with a written manual containing the final training outline of the workshop, outlines of all lectures or presentations, and copies of all handouts, exercises, or other activities. Contractor must also provide DHCR with a powerpoint presentation of the seminar including frequently asked questions and responses. All materials developed under this contract will become the property of DHCR.

b. Training of DHCR, Neighborhood Preservation Coalition and Rural Housing Coalition Staff

Group training will be provided to selected DHCR and Neighborhood and Rural Coalition staff members. In order to assist the NPC/RPC companies a Train-the-Trainer initiative will be developed so that DHCR and Coalition staff will be prepared to provide one-on-one training and technical assistance to the housing companies as they prepare to develop Local Needs Assessments of their service areas and the three (3) year Strategic Plans. The initial session is envisioned as a one and a half or two day session.

The following topics, areas or skills are to be considered as part of the training you will provide:

- Sources of data for development of Local Needs Assessments targeted to the development, ownership and rental of affordable housing, community revitalization and economic development;
- Strategic Planning development initiatives including: building consensus of stakeholders; identification of strengths, weaknesses, opportunities and obstacles; identification of needed resources; and implementation schedules;
- Strategies for community/municipal collaboration;
- Strategies for working with community-based not-for-profits; exploration of synergistic opportunities formalizing relationships through a Memorandum of Understanding (MOU) or contracts;
- Projecting neighborhood growth based on current trends and demographics to accurately reflect future needs; and

- Creating realistic objectives that address identified needs within the constraints of available capacity and resources.

VII. Specifications of the Proposal

1. The General Requirements section of the Proposal shall include:
 - a. Transmittal letter addressed to Sandy Johnson, Director of Finance;
 - b. Corporate history, including the number of professional employees and administrative employees at the time of submission of the bid;
 - c. A list of principals in the organization, and if applicable, a list of the members of the Board of Directors;
 - d. Resumes for all professional staff which are anticipated to be assigned to this contract and a brief description of the role of each in providing the requested services. Proposals must designate a project manager for this engagement project. DHCR approval is required for replacement of any personnel assigned to the project and DHCR at its sole discretion may cancel any contract if changes in key personnel are made without DHCR approval;
 - e. Disclosure of any impending investigations or litigation that could adversely affect the ability or capacity of the Bidder to carry out the work plan;
 - f. Affirmative Action Plan – Employment; and
 - g. DHCR reserves the right to review references as part of the evaluation instrument. Three (3) references including: names, addresses, current phone number, email addresses, identify their relationship to your business.
2. The Work Proposal section shall include:
 - a. a description of proposed approach and strategy addressing, as appropriate:
 - training content is to include: data sources for community development for Local Needs Assessments; development of population profiles; population and demographic trends analysis; analysis of rental housing and homeownership statistics; an analysis of non-housing community renewal needs; overview of strategic planning processes; identification of baseline conditions; assessing and prioritizing issues, needs and assets; identification of feasible alternatives; identification of action steps; identification of missing resources or capacity gaps; development of implementation timelines; and measurement of outcomes/ongoing updating of the plan;
 - coordination of group training;
 - a sample of training materials produced by the Bidder and a discussion of the context for which the materials were produced;
 - billing;
 - coordinating with DHCR; and
 - project evaluation.

The approach and strategy shall include a description of the personnel proposed to carry out each component, the specific tasks to be assigned, qualification of the person to perform the task, an estimate of the amount of time the person will devote to the contract, an overall time schedule for the implementation, and composition of the team proposed to provide the service. Please include an implementation schedule presuming an initial **training delivery date beginning September, 2008.**

- b. Proposals must include a sample of materials for both the two (2) day seminar for the proposed Group Training exercise, and the Train-the-Trainer initiative, a description of the techniques to be used and the most relevant subjects you have trained on, and samples of any group exercises and handouts that would be used.
 - c. handouts must have been written by Bidder organization or approval to use handouts must be included.
3. The Price Proposals section shall include itemized costs for each component which the respondent is bidding (Workshops and Training of DHCR and Coalition Staff).
- a. the Price Proposal shall include hourly rates for planning, delivery and follow up for the Group Training Sessions, Train-the-Trainer, and producing and mailing publicity materials.
 - b. the Price Proposal shall also include for each person proposed to work on the contract an hourly rate and an estimate of the number of hours the person will spend on the contract.
 - the hourly rate shall include personal services, fringe benefits, transportation costs for all travel involving trips of fewer than 100 miles round trip, meals, taxis, rental cars and other expenses related to travel of any distance, and all auxiliary services such as printing, postage, copying, secretarial support and overhead. DHCR does not reimburse for these expenses as a separate item, except for printing and related expenses associated with the training sessions.
 - c. hotel lodging if authorized by DHCR and necessary transportation costs, as determined by DHCR, when provided by public carriers for trips exceeding 100 miles, shall be reimbursable as a separate item. (DHCR expects overnight stays on this contract will be limited to one or two occasions. For travel that exceeds 100 miles round trip, DHCR may choose to reimburse the consultant for the cost of public transportation or ask the consultant to drive, in which case the consultant will be paid for half the round trip travel time required for the trip. Otherwise time spent in travel is not directly reimbursable. In no event will any reimbursement for travel under this contract exceed the rates in effect for State of New York Management/Confidential employees. Detailed information regarding applicable travel policies can be found at: www.osc.state.ny.us/agencies/travel/travel/htm .

VIII. Affirmative Action

Please include an Equal Opportunity/Affirmative Action Statement in accordance with Executive Law, Article 15-A. DHCR encourages Proposals from minority and women-owned business enterprises as defined under Subdivision 9 of Section 310 of the law.

IX. Notification of Award

DHCR will contact selected Bidder through a Letter of Intent. A contract which defines all of the deliverables and the responsibilities of the respective parties will be sent to the selected Bidder.

X. Rating Proposals

The award will be made on the basis of “Best Value” based on a variety of factors such as quality, cost, and the efficiency of the proposed services and training plan. The rating of the Proposals will be as follows:

General Requirements: Experience of the Bidder based on resumes and documented experience in successfully performing the services requested herein on behalf of local and/or state governments and/or not-for-profit community-based organizations.

Maximum Points: 30

Work Plan: The Bidder’s capacity to provide comprehensive, cost-effective services.

Maximum Points: 40

Cost: Overall cost as reflected in the competitiveness and reasonableness of the hourly rates for professional services.

Maximum Points: 30

XI. Contracting and Billing Procedures

If an award is made, a contract will be developed by DHCR defining all deliverables, the responsibilities of the Bidder, and DHCR. The amount of funds allocated to any contract pursuant to this RFP will be based upon the scope of work agreed to by DHCR and the Bidder, and the availability of State funds. A contract will be executed pursuant to this RFP only after approval by the Division of the Budget, the Attorney General, and the Comptroller of the State of New York. The contract will have an anticipated start date in the Summer of 2008.

The contractor shall submit bills with detailed invoices on a monthly basis to DHCR. Project staff whose time is charged must be identified by name, title, role in project and specific tasks. The date, number of hour's worked; hourly rate and the amount billed must be specified. No charges may be made for professional services that ***have not*** been previously identified in the original proposal without the prior approval of DHCR.

XII. Conflict of Interest

All Bidders must include list of all current clients who are applicants or awardees of DHCR, as part of the bid packet.

Any contract awarded under this RFP will preclude the contractor, during the period this contract is in effect, from representing before DHCR any applicant or grantee of DHCR other than those current clients and matters disclosed at the time of the bid or prior to the award of the contract. The Bidder is also referred to the Public Officers Law of the State of New York and to DHCR regulations regarding conflict of interest, and is advised to become fully familiar with all applicable provisions.

DHCR reserves the right to impose additional conditions upon contractors, in the event of unanticipated instances of real or perceived conflict-of-interest. DHCR reserves the right to cancel any contract awarded pursuant to this RFP with thirty (30) days notice, in the event that the actual or potential conflict of interest is not cured to DHCR satisfaction.

DHCR reserves the right to terminate this contract in the event it is found that the certification filed by the Bidder in accordance with NYS Finance Law, Section 139-k was intentionally false or intentionally incomplete. Upon such finding, DHCR may exercise its termination right by providing written notification to the Bidder in accordance with the written notification terms of the contract.

Additional Limitations

Attorneys:

None of the funds made available under any contract awarded as a result of this RFP may be used to reimburse an attorney for representing Preservation Company in litigation. An attorney awarded a contract under this RFP may not represent an applicant or grantee at a real estate closing with DHCR or in any other situation in which a conflict of interest might arise, because the attorney could be perceived as representing both DHCR and the applicant or grantee.

Accountant/Auditor:

Any accountant/auditor awarded a contract under this RFP is precluded from preparing audits for submission to DHCR during the period the contract is in effect, unless the accountant/auditor can demonstrate to DHCR's satisfaction that an effective separation exists between the accounting firm's staff working on the consulting contract and the staff performing audits for submission to DHCR.

Liability

DHCR is not liable for any cost incurred by a bidder in the preparation and production of a proposal, or for any work performed prior to the execution of the contract.

XIII. Security

All Proposals submitted to DHCR will be held in strict confidence and no details will be divulged to any firm prior to the opening of the bids. All Proposals and accompanying documentation becomes the property of the State of New York and will not be returned.

Public announcements or news releases pertaining to the selection of the firm or award of a contract must not be made without the prior written approval of the Division of Housing and Community Renewal and only upon execution of the contract.

XIV. Bidders Conference

A mandatory Bidder's Conference will be held to discuss this proposal, accept questions and provide responses at the:

NYS Division of Housing and Community Renewal
Hampton Plaza
38-40 State Street
Albany, New York 12207
May 30, 2008
1:30 – 3:30 pm

The Bidder's Conference will begin promptly at **1:30 pm**. If you plan to attend, please RSVP to Caillin Furnari at 518-473-8273 by **May 27, 2008**. Please report to the desk at the front lobby and have proper identification.

All questions at the conference will be considered inquiries and will be documented together with the appropriate answers. These questions and answers will be distributed to Bidders as soon after the conference as practical. Questions posed during the conference may or may not be answered immediately. All responses given at the conference will be considered unofficial until they are posted on the DHCR website at www.dhcr.state.ny.us.

All questions relating to this RFP must be submitted by mail/email no later than **May 30, 2008** to sjohnson@dhcr.state.ny.us or to the attention of:

Sandy Johnson
Director of Finance
Office of Financial Administration
NYS Division of Housing and Community Renewal
38-40 State Street, 6th Floor South
Albany, New York 12207
518-486-3408

All questions must cite the RFP section and page number. Answers to all questions will be provided to any person who has requested a copy of this RFP and to all persons who sign the attendance sheet at the Bidders conference. Answers will be provided on DHCR website to questions received as of **May 30, 2008**.

XV. Schedule

May 9, 2008	Distribute RFP
May 30, 2008	End of question period
May 30, 2008	Bidders Conference
June 26, 2008	Submission deadline
June 26, 2008	Bid Opening
July 14, 2008 (week of)	Personal interviews (finalists only)
August 8, 2008	Anticipated date of notification to Bidders