

**NEW YORK CITY
HOUSING DEVELOPMENT CORPORATION**

**2017 REQUEST FOR QUALIFICATIONS FOR PROFESSIONAL
CONSULTANT**

**INTEGRATED PHYSICAL NEEDS ASSESSMENT
AND
TECHNICAL ASSISTANCE SERVICE PROVIDER**

Revised Date: August 4, 2017
Due: Rolling

PART A

Purpose of RFQ

The New York City Housing Development Corporation (HDC) is soliciting qualifications to expand a list of consultants who are qualified to prepare Integrated Physical Needs Assessments (IPNAs) and provide technical assistance to building owners for certain projects being financed by HDC, HPD and HCR.

HDC seeks responses from architecture, engineering, building science and energy efficiency consulting firms.. Consultants may be private (for-profit) or non-profit organizations. Respondent may include a team of multi-disciplinary sub-consultants assembled for their complementary skills if a single consultant does not have the ability to perform the comprehensive scope of services.

Consultants that are selected for the pre-qualified list will be reviewed and hired directly by building owners and/or managers, not by HDC or HPD.

Multi-Disciplinary Teams

If a team consists of multi-disciplinary sub-consultants, the team must be assembled under one lead consultant that is identified in the qualification submission package. Each team member or sub-consultant's role and responsibility must be clearly defined. Pre-qualified respondents with multidisciplinary teams that want to change the firms that they were qualified with must notify HDC by submitting qualifications for the new sub-consultant, along with a new organizational chart, thirty (30) days in advance of the staffing change. The lead consultant is responsible for the quality of work for each firm that is a member of the team.

Description of HDC

HDC is a public benefit corporation created pursuant to Article XII of the New York State Private Housing Finance Law for the purpose of financing affordable multi-family housing in the City of New York. HDC has the authority to issue obligations for the purpose of financing the construction or rehabilitation of affordable housing located within the City of New York. HDC has a multifamily mortgage portfolio of over 600 properties containing over 150,000 units.

Description of Services

Qualified consultants or consultant teams must have the technical expertise to perform the comprehensive scope of services described below. The Standard Services will be required for all projects, some or all of the Additional Services may be requested by the building owner or HDC/HPD/HCR for certain projects, and all of the Additional Services will generally be required for projects financed through the HPD Green Housing Preservation Program.

Standard Services: Integrated Physical Needs Assessment

Consultants shall produce an Integrated Physical Needs Assessment (IPNA) report using the Integrated Physical Needs Assessment Standard. An IPNA identifies the extent to which a property requires entire or component systems replacement or upgrading with equal emphasis on Energy Efficiency and Water Conservation (EEWC) improvements, including measures that yield deep energy savings such as on-site renewables if applicable. EEWC items will be listed with relevant payback and projected savings information so that lenders and borrowers can make decisions about financing cost effective measures. The IPNA is to be produced in accordance with the IPNA Requirements listed in the IPNA Standard.

Specific services for all projects, as further outlined in the IPNA Standard, shall include but may not be limited to:

- Convening a kick-off meeting with building owner, property manager, and maintenance staff to discuss expectations and existing building operations,
- Reviewing 24 months of building data (to optimize time, data collection and field site visit/assessment are allowed to run as parallel processes). Include historical utility data, as-built drawings, previously-conducted energy audits or physical needs assessments, and operating and maintenance records.
- Performing a roof-to-basement on-site inspection.
- Performing diagnostic testing and systems inspection of building systems
- Preparing an IPNA report using the IPNA Standard and Template, and submitting to the building owner and HDC/HPD/HCR, as required.

Additional Services

Note: Additional Services are not applicable to HDC Projects.

Each consultant or consultant team must be qualified to complete all of the Additional Services listed in Part B. Some or all services may be requested by buildings owners and/or required by the lender. All services will generally be required for the HPD Green Housing Preservation Program (GHPP).

When working with owners participating in the GHPP, HPD expects firms to take an active role in assisting owners to complete energy efficiency and moderate rehabilitation projects by developing strong relationships with owners and providing guidance throughout the pre-development and development process.

Once a firm is selected by an owner to provide technical assistance services, the firm is required to attend a Pre-development Kickoff meeting with the owner and HPD project manager at HPD’s office located at 100 Gold Street, New York, NY 10038 to review roles and responsibilities.

Submissions Requirement and Guidelines

Interested parties are encouraged to submit a response to this RFQ on a rolling basis. Questions and submission packages should be directed and sent by electronic mail to Pinky Samat at psamat@nychdc.com. The subject line of the email should reference “Integrated Physical Needs Assessment + Technical Assistance Services RFQ.” A complete package shall include a cover letter, references, statement of qualification and experience, and additional documentation, as further described below:

Cover Letter

One page letter on company letterhead that:

- Summarizes the consultant’s ability to perform all services as described in the RFQ. For multidisciplinary teams, identify the lead consultant/point person, and include a description of the role of each firm on the team.
- Provides organizational data in the order set forth below for each firm:
 - i. Legal Name of Organization

- ii. Primary Contact (firm's primary staff contact for this RFQ).
- iii. Contact's Title
- iv. Contact's Telephone and Email Address
- v. Physical Address (specify headquarters, relevant satellite offices and geographic scope of services for each)
- vi. Web Address
- vii. Age of Organization
- viii. Legal Status of Organization
- ix. Number of Employees
- x. Audited Financial Statement for the most recent year available
- xi. Organizational History

Statement of Qualifications and Experience

Respondents to this RFQ for IPNA services in compliance with this standard must provide the following information, which must include information for each subcontractor consultant participating in the team:

1. **Relevant Experience and Case Studies:** Describe experience and provide case studies of projects that demonstrate experience of the consultant team in the following areas:
 - Performing comprehensive building capital needs assessments and energy / water audits, including recommending scope items for overall building capital needs and energy efficiency / water conservation (EEWC) measures, and health-related measures when applicable. *Please include a sample physical needs assessment and energy audit or green physical needs assessment report;*
 - Conducting energy savings analysis and cost estimates for recommended measures;
 - Creating scopes of work, plans and specifications for rehabilitation projects. Please include a sample scope of work of a building(s) requiring both capital and energy upgrades. Include the resultant reduction in water/energy consumption from the recommended capital and EEWC measures for properties that pursued the recommended scope of work;
 - Participating in or overseeing the contractor bid process for a construction project, including analyzing contractor bids and cost proposals;
 - Managing construction timelines and coordinating contractors, owners, and lenders, including reviewing and submitting requisitions and working with servicers;
 - Making recommendations for operations and maintenance best practices to achieve energy and water efficiency and healthy homes objectives, and training staff, building owners, and residents;
 - Performing post construction measurement and verification for implemented EEWC measures;
 - Some familiarity with flood plain management standards.
2. **Personnel Qualifications and Resumes:** Provide an organizational chart listing all personnel who will be performing and overseeing each component of the scope of services. In cases of a multidisciplinary team, identify the point of contact who will be responsible for management of the overall team. Also list the accreditations of each participating team member.
3. **List of References:** Include at least three client references for similar projects, for each individual or firm.

4. **Statement of Good Standing:** State whether your firm is in good standing with all divisions of City, State and Federal Government. And, if not, describe any outstanding issues in detail, including any unpaid taxes or fees owed to any governmental authority. State whether the firm, or any of its employees, or anyone acting on its behalf, has ever been convicted of any crime or offense arising directly or indirectly from the conduct of the firm's business, or if any of the firm's officers, directors or persons exercising substantial policy discretion have ever been convicted of any crime or offense involving financial misconduct or fraud. If so, please describe any such convictions and surrounding circumstances in detail.

Additional Documentation

The Respondent must include the following additional documentation:

- **Insurance:** Proof of Professional Liability Insurance, as well as Worker's Compensation and Employers Liability Insurance.
- **Disclosure and Conflict of Interest Forms:** Forms are required for the firm itself, its employees, and anyone acting on its behalf.
- **Fee Proposal:** Pricing is for informational purposes only at this time. Use the provided Fee Proposal sheet (Part C) to provide cost estimations for the IPNA and TA Services. For multi-disciplinary teams, ensure the fees quoted on the Fee Proposal sheet is aggregate and include the costs associated with each consultant. Supplemental information for fee proposals and/or alternative fee structures may be included in addition to the provided form. Please include relevant assumptions for fee proposals and provide all assumptions used in calculating the fee proposal in the Notes section. A range of costs for each item may be included, however please include an explanation for the range in the Notes section. If the proposed pricing structure differs from your standard, an alternative pricing structure proposal may also be included in the Notes section in addition to the requested pricing structure.
 - Integrated Physical Needs Assessment: Provide fee proposal for the scope of services contained in Part C. Fee proposals should be differentiated for small- to mid-sized buildings smaller than 50,000 square feet and large buildings over 50,000.
- Technical Assistance Provider: Provide fee proposal for the scope of services contained in Part C. Fee proposals should be provided for each scope item, and differentiated for small- to mid-sized buildings smaller than 50,000 square feet and large buildings over 50,000.

Evaluation Criteria

HDC plans to evaluate the quality of submissions as well as respondents' experience and ability to perform all required services. In addition, HDC reserves the right to request interviews with respondents and additional documentation to aid in the evaluation process, and reject any or all submissions in its sole and absolute discretion.

Pre-Qualified Respondent Startup Period

Pre-Qualified Respondents will be subject to a preliminary start-up period during where:

1. Staff inspectors from HDC Engineering, HCR Engineering, and/or HPD's Building and Land Development Services (BLDS) department will participate in the first inspection undertaken by each new pre-qualified firm, and provide feedback on the first IPNA inspection reports prior to finalization. Thereafter, staff inspectors will further shadow two additional inspections if deemed necessary based on the firm's performance, or if multiple deficiencies were identified during the first inspection. Firms must notify HDC, HPD and HCR of their first three (3) inspections at least

one (1) week before an assessment has been scheduled and provide reports to HDC, HPD, and HCR during their start-up period. If firms hold more than two inspections without notifying the City and sharing reports, HDC/HPD/HCR may place a hold on the firm's qualification status.

2. HPD Green Housing Preservation Projects Only: HPD BLDS will shadow the inspection of every assessment conducted by a firm, regardless of whether they are in the startup period.

Legal Disclaimer

The issuance of the RFQ and the submission of qualifications by the Respondent or the acceptance of such submission by HDC does not obligate HDC in any manner whatsoever. HDC reserves the right to amend, modify or withdraw this RFQ; to waive or revise any requirements of this RFQ; to require supplemental statements or information from any responding party; to accept or reject any or all submissions received in response hereto; to extend the deadline for submission of qualification; to hold discussions with any responding party; and to cancel, in whole or in part, the RFQ if HDC deems it to be in its best interest to do so. HDC may exercise the foregoing rights at any time without notice and without liability to any responding party or other parties for their expenses incurred in the preparation of submissions or otherwise. Submissions in response hereto will be prepared at the sole cost and expense of the responding party.

General Conditions, Terms and Limitations

In addition to those stated elsewhere, this Request for Qualification ("RFQ") is subject to the specific conditions, terms and limitations stated below:

1. The information set forth in this RFQ is believed to be accurate. However, HDC, their officers, agents and employees assume no responsibility for errors or omissions contained herein.
2. Any contract entered into pursuant to this RFQ process and all services performed thereunder shall conform to, and be subject to all applicable laws, regulations, executive orders, policies, procedures and ordinances of all Federal, State and City authorities, as the same may be amended from time to time, including without limitation, equal employment laws without limitations.
3. No Respondent to this RFQ will be selected to perform any of the services listed herein if he or she, as an individual or any member or partner of the respondent's management team is determined, in HDC's sole and absolute discretion, to have been convicted of a felony or crime involving moral turpitude, to be an organized "crime figure," to be under indictment or criminal investigation, to be in arrears or in default on any debt, contract or obligation to the City or State of New York, or otherwise to be a "prohibited person" as defined by the City. Selected Respondents and all principals thereof, if applicable, and/or members or partners of the Respondent's team must complete a background questionnaire (VENDEX) and be subject to investigation by HDC and the City's Inspector General. The selection may be revoked in the event any derogatory information is revealed by such investigations.
4. HDC is not obligated to pay and shall not pay any cost incurred by any Respondent at any time for the preparation of its submission.
5. This is a Request for Qualifications not a Request for Bids. Notwithstanding anything to the contrary contained herein, HDC reserves the right to waive any conditions or modify any provision of the RFQ with respect to one or more Respondents, to establish additional terms and conditions, to encourage Respondents to work together, or reject any or all Proposals if in its judgment it is in the best interest of HDC to do so. In all cases, HDC shall be the sole judge of the acceptability of the submission.

6. HDC reserves the right to reissue, amend, modify, or withdraw this RFQ at any time without cause if it is deemed to be in the best interest of HDC, or if, in the judgment of HDC, all the submissions are unacceptable.
7. All submissions to HDC in response to this RFQ may be disclosed in accordance with the standards specified in the Freedom of Information Law, Article 6 of the Public Officers Law of the State of New York.
8. If any, provide a copy of the firm's most recent Employer Information Report EEO-1 and include as attachment to the submission. Please state how many women and minorities work for your firm.
9. HDC is dedicated to furthering the participation of minority and women-owned businesses in its work. All Respondents are urged to include in their submissions methods for facilitating the participation in the project of businesses that have been certified by the New York City Department of Small Business Services ("SBS") as women or minority owned. This can take any form a Respondent considers appropriate including, but not limited to, submissions intended to ensure the utilization of certified minority and women-owned businesses as subcontractors or as joint-venture partners. In addition, submissions from minority and women-owned Respondents are encouraged. As described above, Respondents must also include plans to promote employment opportunities for local residents.
10. At any point in time, providers that cease to meet the qualifications described or are unable to maintain prices as described in the cost sheets proposed may be removed from the qualified list at the sole discretion of HDC. HDC reserves the right to remove respondents from the selected list at HDC's sole discretion, at any time, without cause.

Part B

**Technical Assistance Services
(Applicable to HPD Projects Only)
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OVERVIEW

The following guidelines are for qualified consultants to provide technical assistance to building owners for rehabilitation projects. The scope of services includes developing a scope of work based on an Integrated Physical Needs Assessment (IPNA), performing owner's representative services throughout the pre-development and development process, training the building owner, maintenance staff and residents on proper operations of building systems and maintenance and operating best practices, and producing a follow-up report one year after construction completion.

Some or all services may be requested by building owners and/or required by the lender. All services will generally be required for the HPD Green Housing Preservation Program (GHPP). Please note that when working with owners participating in the GHPP, HPD expects firms to take an active role in assisting owners to complete energy efficiency and moderate rehabilitation projects by developing strong relationships and providing guidance throughout the pre-development and development process.

Once a firm is selected by an owner to provide technical assistance services, the firm is required to attend a Pre-development Kickoff meeting with the owner and HPD project manager at HPD to review roles and responsibilities.

SCOPE OF SERVICES

I. Development of Project Scope of Work and Plans and Specifications

Create scope of work and, if applicable, plans and specifications for the project based on the recommended scope of work in the GPNA and as approved by the lender. Note that plans are only required when the scope of work triggers a change in a building's layout. When applicable project drawings and NYC Department of Buildings (DOB) filings are needed, they are generally completed and performed by the accepted General Contractor following a bidding process. The Technical Assistance ("TA") provider is responsible for managing the DOB permit process through the owner's representative services, as described below in Section II. The scope of work and plans and specifications must adhere to all applicable codes and regulations, including the NYC Building Code, Americans with Disabilities Act-Title III, Fair Housing Accessibility Guidelines, Life Safety Code/ National Fire Protection Association (NFPA), Minimum Property Standards (MPS) HUD Handbook 4910.1 and Uniform Federal Accessibility Standards (UFAS)/ Section 504. The scope of work and plans and specifications must be produced using the applicable codes and regulations listed above and in the HPD Standard Specifications (<http://www.nyc.gov/html/hpd/html/architects/specifications.shtml>) and should follow the HPD sample scope template, found [here](#).

The scope of work must include a cover sheet / bid breakdown and separate scopes for the general construction and the energy efficiency and water conservation (EEWC) items. Scope items must include quantities, units, unit costs, and total amounts. When developing the scope of work, please follow the HPD sample template provided on HPD's website: <http://www1.nyc.gov/assets/hpd/downloads/pdf/HPD-sample-scope-green.pdf>.

The scope of work submission may include relevant utility incentive requirements, as applicable.

The final scope of work for the project will be subject to approval by the lender. Plans and specifications must be reviewed with the lender and/or other parties as appropriate, and submitted to lender, other City agencies, or private parties as appropriate.

II. Facilitation the Contractor Bid Process

For projects that do not include a private lender, firms will assist owners with the contractor bid process by:

- Explaining what to look for in a general contractor
- Sending out bid packages to qualified contractors of the owner's choosing (HPD will provide firms with the complete bid package)
- Coordinating and leading a contractor pre-bid walk-through and notifying HPD of timing
- Ensuring submission of at least 3 reasonable sealed bids from qualified contractors to HPD or private lender for cost reasonableness review

Firms cannot assist owners in identifying qualified general contractors. It is the owner's responsibility to identify and vet general contractors to complete the scope of work.

For projects that include a private lender, the firm will assist with the bidding process to ensure bids are received in a timely and complete manner pursuant to lender's requirements.

III. Owner's Representative Services

Owner's Representative services includes ensuring that all improvements are done in conformance with the plans and specifications outlined in the scope of work; managing and coordinating construction schedule and relevant issues among the general contractor, sub-contractors (where relevant) and utility companies; and representing the owner throughout construction. The firm will also assist the building owner in leveraging applicable utility incentives and monitoring the installation of energy efficiency and water conservation (EEWC) items. This may include completing incentive applications on behalf of the borrower.

Please note that firms are not expected to be on-site everyday or monitor construction for the purposes of requisitions. HPD and, where applicable, the private lender, will monitor construction for the purposes of requisition. HPD only expects firms to monitor the proper installation of EEWC items and to communicate on behalf of the owner to the general contractor, subcontractors and utility companies.

IV. Maintenance Staff, Owner, and Resident Training

Train residents, property management and maintenance staff, and building owner on proper operations of new and existing building systems; sustainable maintenance and janitorial best practices, including sustainable cleaning products and methods; and integrated pest management, including trash management, exclusion strategies, selected applications and use of pesticides, and ongoing monitoring for pest activity. The trainings should include instructions for minimizing energy and water consumption. The trainings should draw from existing industry training manuals acceptable to HDC/HPD or as may be provided by HDC/HPD as needed.

V. Follow-Up Report

Analyze benchmarking data, inspect the property and evaluate building performance one year after construction completion and produce a follow-up report. The report should evaluate building performance and identify gaps in performance and recommendations for improving performance if applicable.

PAYMENT SCHEDULE

1. Pre-Development Services: *Development of Plans and Specifications, Facilitation of Bid Process*

For services rendered prior to the HPD Loan Closing, fees will be paid through the first requisition after the HPD Loan Closing or as otherwise agreed upon between the TA Provider and the building owner.

2. Construction Period Services: *Owner's Representative Services*

For services rendered during the construction period which HPD is financing, the TA provider will be paid on a monthly basis commensurate with construction progress, minus a 10% retainage. For instance, if at the time of the monthly requisitions meeting, construction is 50% complete the TA provider will be paid for 50% of the quoted Owner's Representative Services minus a 10% retainage. Retainage will be held by HPD until project completion. Requisitions for hard and soft costs will be processed once a month after a monthly requisitions meeting on site. TA providers are required to attend this meeting to represent the building owner, but are not responsible for monitoring construction for requisitions purposes.

3. Post-Construction Services: *Training, One Year Follow Up Report*

Retainage payments and payments for post-construction services will be held by HPD until the TA Provider has submitted a certificate of completion for the on-site training services and has signed off on the building owner's completion of the Housing Repair and Maintenance Agreement. The building owner will be paid for the one year follow up report and will be responsible for paying the TA Provider directly once the report has been completed.

Technical Assistance Services

Sample Scope

1. Development of Plans and Specifications

- Develop project scope of work based on the existing physical conditions and cost effective energy efficiency and water conservation measures identified in the Green Physical Needs Assessment and in accordance with HPD Standard Specifications,
- Submit recommended scope of work with projected prices to HPD for review,
- Determine what, if any, architectural drawings or plans should be developed by the general contractor for the approved scope of work prior to bidding,
- Develop necessary plans and specifications and architectural drawings, if applicable,
- Review necessary and suggested design components with HPD or other parties as required,
- Submit final plans, specifications, and energy and water savings calculations based on the final scope of work to HPD and other City agencies or private parties as required.

2. Facilitation of Contractor Bid Process

- Send the bid package to qualified contractors of the owner's choosing,
- Call contractors 1-2 days before the scheduled walk through to confirm their attendance. Ensure that at least 3-5 contractors will attend,
- Coordinate and lead the contractor pre-bid walk-through. Note any amendments to the project scope and submit an amended project scope to HPD and private lender for review following the walk through,
- Ensure submission of at least three reasonable bids from qualified contractors to HPD, private lender, or to other parties as necessary on behalf of the building owner for cost reasonableness review,
- Communicate on behalf of the owner with the bidders and selected contractor, and collect any necessary documentation or forms required by the lender from the selected contractor,
- Ensure submission of an executed contract between the General Contractor ("GC") and the owner to HPD, private lenders, and/or other parties as appropriate,
- Verify that all appropriate permits are filed for the project by the general contractor or other party, as appropriate for the project with the targeted closing date in mind.

3. Owner's Representative Services

Leveraging Utility Incentives

- Work with GHPP program staff to determine applicable incentive programs for the final scope of work in conjunction with the IPNA recommendations,
- Complete or assist building owners in completing applicable applications for incentives that the project qualifies for. Facilitate completion of supplemental materials where applicable. HPD project managers will provide firms with relevant utility incentive applications,
- Track and manage application approvals in coordination with GHPP staff,
- Facilitate timing and scheduling with the incentive provider and the GC to allow incentive providers to perform direct install measures in an efficient manner and without interfering with other construction timelines. This may include facilitating change orders and removing "direct install" measures from the GC's scope of work,

- After construction, submit relevant incentive documentation to utility companies for prescriptive and custom measures on behalf of the building owner with invoices from the GC documenting that eligible items have been paid for in-full to ensure reimbursement to owners.
- Provide HPD with copies of incentives applications that have been processed and invoices indicating that direct install measures were provided by utilities.
- Perform other related services as needed.

Construction Services

- Develop and manage the project construction timeline and coordinate with the GC, sub-contractors (where relevant) and utility companies to ensure all phases of the construction process happen smoothly and according to the established plan,
- Represent the owner in meetings with contractors, HPD and/or private lenders, engineers or inspectors,
- Monitor the construction to ensure energy and water efficiency equipment are installed according to specification, including conducting visual inspections as well as performance testing as necessary (Note: HPD does not expect firms to be on-site every day, but once or twice each week as necessary),
- Ensure that all equipment warranties are obtained,
- Assist the building owner in reviewing and submitting requisition requests from contractors and facilitate timely sign-off,
- Assist with the coordination of tenant relocation, as necessary
- Sign off that work not financed by the lender is completed pursuant to the Homeowner Repair Agreement or equivalent.

4. *On Site Maintenance Staff, Owner and Resident Training*

- Provide training as needed on existing systems, newly installed systems and general maintenance practices to residents, property management staff, and building owner; trainings should follow a template provided by HPD or draw from existing industry training manuals and templates acceptable to HPD,
- Train residents on the cost and environmental benefits of green living best practices, as well as specific training in proper use of appliances and in-unit systems,
- Train property management staff in proper operations of new and existing building systems and sustainable maintenance and janitorial best practices including sustainable cleaning products and methods as well as integrated pest management processes,
- Train building owners in how to monitor energy and water consumption and to use the tools available to ensure the building is managed in a sustainable manner.

5. *One Year Follow Up Report*

- One year following construction completion, the firm will evaluate building energy / water performance using information gathered from a building inspection and data from the benchmarking platform,
- Compare and evaluate pre- and post-construction energy / water consumption data,
- Identify gaps in performance based on benchmarking data and inspect the property to review the status of all improvements and maintenance performed during construction.
- Produce a report to provide to the building owner and HPD with the following details:
 - Findings from an inspection of the newly installed building systems and an evaluation of the building's energy and water consumption patterns pre- and post-retrofit,

- Recommendations on how to improve building performance, if building systems are not performing as expected.
- Discuss report findings with building owner, maintenance staff, and HPD.