

Invitation for Proposals

Weatherization for
Publicly Assisted Housing and
Unmet Energy Conservation Needs

New York State Division of
Housing and Community Renewal

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Invitation for Proposals

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I. INTRODUCTION

The New York State Division of Housing and Community Renewal (DHCR) is inviting New York State Weatherization Assistance Program (Weatherization) subgrantees to submit proposals for supplemental Weatherization funds.

Supplemental funds will be available for two initiatives: 1) to provide energy conservation services to **publicly-assisted housing**; and, 2) to extend weatherization service to areas or client groups within subgrantee service territories that have **unmet energy conservation needs**.

Publicly-assisted housing includes any building or project that has received in its initial construction, rehabilitation, or operation, public funds or other subsidies from State, Federal, or municipal sources.

Unmet energy conservation needs include service to targeted populations, housing types or geographic areas that have not received adequate weatherization assistance in the past, or to provide additional support to agencies that can demonstrate the existence of long waiting lists.

This Invitation to Submit Proposals (Invitation) describes eligibility requirements and the application process for these two initiatives and explains the process by which DHCR will evaluate proposals. Applicants are responsible for understanding the requirements of this Invitation and must submit all requested materials in order to be considered for funding. Applicants may submit more than one proposal.

DHCR has reserved approximately \$ 3 million in **Weatherization** funds for these initiatives and will consider providing additional funds if demand is indicated, to the extent further funds are available. DHCR is under no obligation to fund any specific proposals. DHCR reserves the right to award all, a portion of, or none of the program funds based upon funding availability, feasibility of the proposals received, the competitiveness of the proposals, and the applicant's ability to meet DHCR criteria for funding (including the capacity of any partners identified in the proposal). DHCR further reserves the right to request additional information from an applicant for any proposal submitted, but is under no obligation to do so. In order to be funded applicants must be in good standing with DHCR.

Weatherization subgrantees are the only eligible applicants, however, DHCR strongly encourages joint proposals from Weatherization subgrantees and other housing agencies. Successful subgrantee applicants will receive funding through a separate and distinct contract to their current WAP contract.

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For the Unmet Energy Conservation Needs component, all Weatherization program requirements contained in the current DHCR Policy and Procedures Manual will apply. The amount requested must be based on an average cost per unit of \$4,500 or less. Reimbursement for administrative expenses will be made according to the current contract rate (between five and six percent of allocation).

For the Publicly Assisted Buildings component, reimbursement for administrative expenses will also be made according to the current contract rate (between five and six percent of allocation). It is anticipated that funding awards for this component will be made in late Summer, 2008, and that completion of these projects may occur during the 2009 program year.

Applicants must demonstrate sufficient production capacity and technical expertise, and must present a feasible and well coordinated plan to complete work on publicly assisted housing and/or to effectively meet energy conservation needs identified in their service areas.

Potential applicants may request assistance in understanding the requirements of this Invitation from DHCR Regional Office staff prior to the submission deadline. After funding awards are announced, unsuccessful applicants may request a meeting to review the factors that influenced DHCR's decision to not fund the proposal. Throughout the year any potential applicant may request technical assistance from DHCR Regional Offices. DHCR may also provide technical assistance to successful subgrantee applicants and their partners to ensure successful project completion.

A. Publicly Assisted Housing

Providing Weatherization assistance and other energy conservation measures to subsidized housing promotes operational feasibility, reduces the cost burden on low-income tenants and owners, and generally increases housing affordability. Standard Weatherization Assistance Program protocols also prolong the useful life of existing building components, by utilizing a "whole building" approach, which addresses ventilation, moisture, and other common building problems. Eligible work also includes related occupant health and safety measures to protect low income occupants of affordable housing.

In previous rounds, this initiative has provided funding for installation of standard weatherization measures, such as air sealing and insulation, and also funded a share of the work in larger projects, such as replacement of heating systems or windows. Less commonly, funding was provided for measures such as demand management systems.

The intent of this initiative is to lower energy costs for owners and tenants, reduce energy consumption across the state, provide ancillary environmental and health

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benefits, and promote operational feasibility of the assisted building stock. In the past many subgrantees have indicated that they do not have sufficient funds to undertake energy conservation work on large multi-family housing projects in their service areas. Likewise, owners of subsidized projects have not had access to funds for energy conservation measures, or the technical expertise to determine which measures are most cost-effective. By encouraging collaboration between energy conservation agencies, affordable housing providers, and owners of publicly-assisted housing, greater project efficiencies can be achieved and lasting partnerships developed.

A preference will be provided for those proposals that assist DHCR/HTFC-sponsored projects, including those subsidized through the Rural Rental Assistance Program.

B. Assistance for Unmet Energy Conservation Needs

This Invitation is also intended to provide subgrantees with additional resources to meet local energy conservation needs that cannot be adequately addressed through regularly allocated Weatherization funds. It is the State's intent to enable subgrantees to provide service to households that include elderly persons, families with children, and persons with disabilities. Subgrantees may apply for funds to assist these households, to address pockets of need that have traditionally been difficult to serve, or to increase service to privately-owned rental housing occupied by low income households. Many Weatherization subgrantees have extensive waiting lists of eligible clients, with a wait period of two or more years for service. Within these lists are clients who may be given priority service in accordance with the NYS 2008 Weatherization Assistance State Plan. Priority client categories for Weatherization services include:

Elderly households;
Households with children under age 18; and,
Households that include persons with disabilities and other special needs.

The following special needs populations may also be targeted:

Homeless families/persons;
Frail elderly;
Persons with AIDS/HIV;
Victims of domestic abuse;
Mentally retarded/developmentally disabled persons;
Persons with psychiatric disabilities;
Persons with physical disabilities;
Substance/alcohol abusers;

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Small group homes and shelters may qualify for weatherization assistance when services are provided in accordance with the requirements detailed in the current Weatherization Policies and Procedures Manual.

Preference will also be given to proposals that increase service to renter occupied housing in areas where renter households have received Weatherization assistance at a rate that is below the rate that would be expected, based on 2000 Census data on low income housing tenure. Finally, any agency that can demonstrate the existence of a waiting list of clients or buildings that cannot be assisted with funding available in the current program year is also eligible for this component.

Applicants should reference the DHCR Weatherization Assistance Program 2008 State Plan and the current Weatherization Assistance Program Policy and Procedures Manual for additional information on program requirements. Staff of DHCR Regional Offices listed at the end of this Invitation are available to answer questions and provide technical assistance to prospective applicants in regard to this Invitation.

Section II of this Invitation discusses general application requirements including submission requirements.

Section III describes eligibility requirements and selection criteria.

Section IV describes the process that DHCR will follow to review proposals and make funding awards.

II. APPLICATION DEADLINE AND SUBMISSION REQUIREMENTS

A. Application Deadline

Proposals must be submitted by email, using the exhibit forms provided for this purpose (see attached MS Excel documents; these documents will also be available on the DHCR web site at www.dhcr.state.ny.us). All requests for funding must be submitted by e-mail to weatherization@dhcr.state.ny.us no later than **5:00 P.M., Monday, July 28, 2008**. Late proposals will not be accepted.

B. Application Submission Requirements

Proposals consist of three parts: a proposal summary, budget, and cover letter from the chief executive officer of the Weatherization subgrantee. The cover letter must certify that the organization has the legal authority to carry out the proposal, and that all statements included in the proposal are true and accurate.

1. **Publicly Assisted Housing component** proposals must include:

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- **Exhibit 1, proposal summary**, which is a pre-formatted MS Excel worksheet. Enter data in all cells of the worksheet except those reserved for unmet needs applications. In the space provided, summarize the expected measures to be undertaken and the impact on project operation of completing the workscope. Be as specific as possible within the space allowed. Attach additional sheets if needed. Indicate whether the proposed workscope will be completed by agency staff, subcontractors or a combination of both.

- **Exhibit 2**, which consists of a **proposal budget and schedule for completion of the work** that indicates the sources of funding for all proposed work, and the uses of all funds. The sources and uses statement must account for all funding requested under this initiative and any funding that will be provided by the owner or by any other sources. The exhibit also includes a production schedule for completion of the proposed work. Firm commitments of all funds required to complete the project will be required within 60 days of contract issuance by DHCR.

These exhibit forms are Microsoft Excel Worksheets that were distributed with this document. Additional electronic copies are available on the DHCR web site.

Also submit a **statement from the building owner** confirming that the required percentage owner match for the eventual workscope will be made available prior to commencement of the work on the building. This statement must identify the source of public funding that assisted the building, and the public agency that currently regulates occupancy, rents or has liens on the property. Owners should be prepared to submit documentation verifying ownership of the building to be assisted, but should **not** submit that documentation with the initial proposal. Weatherization Policies and Procedures Manual should be followed regarding the verification of ownership. Do not submit any other materials with the application.

For publicly-assisted housing proposals, the following will be required after notification of award:

- a) **Within 30 days of award notification, a letter from each public agency that provided funds, or currently regulates the housing project**, that includes contact information at the regulatory agency, identifies the program that initially provided assistance to the project, and describes any lien, interest, or regulatory restrictions that encumber the property at the time of application.
- b) **Within 30 days of award notification, a roster showing occupancy at the time of application** that indicates which tenants are likely to qualify as low-income according to Weatherization Assistance Program rules, or an assurance from the subgrantee that the project is eligible to receive

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Weatherization assistance, based on third-party income verification of tenant income.

- c) **Within 90 days of award notification, a DOE-approved energy audit must be received by DHCR.** The audit will be reviewed for approval by DHCR and used as the basis for the proposed work scope.

2. Unmet Energy Conservation Needs component proposals must include:

- **Exhibit 1, proposal summary**, which is a pre-formatted MS Excel worksheet. Enter data in all cells of the worksheet except those reserved for unmet needs applications. In the space provided, provide the information requested below. Be as specific as possible within the space allowed. Attach additional sheets if needed. Indicate whether the proposed workscope will be completed by agency staff, subcontractors or a combination of both.

- The nature and extent of the unmet energy conservation need that will be addressed, including any special needs populations or particular building types to be assisted. If other organizations or groups are involved in identifying or delivering energy efficiency services to targeted populations, describe their participation, indicating any commitment of resources to the project.
- Indicate whether the proposed workscope will be completed by agency staff, subcontractors or a combination of both. Include any plans to hire additional agency staff.
- Indicate any changes to the typical work scope (assume a maximum CPU of \$4,500) and provide a detailed justification.

- **Exhibit 2**, which consists of a **proposal budget and initial production schedule for completion of the work** that indicates the sources of funding for all proposed work, and the uses of all funds. The sources and uses statement must account for all funding requested under this initiative and any funding that will be provided by the owner or by any other sources. The exhibit also includes a production schedule for completion of the proposed work, which should reflect production during the period from September 1, 2008 through December 31, 2009.

These exhibit forms are Microsoft Excel Worksheets that were distributed with this document. Additional electronic copies are available on the DHCR web site.

Do not submit any other materials with the application. **If the proposal will assist a multifamily building (five or more units) that is not publicly-assisted, a statement signed by an authorized representative of the building owner**

indicating the required percentage owner match for the eventual workscope must be made available prior to commencement of the work on the building.

III. ELIGIBILITY REQUIREMENTS/ SELECTION CRITERIA

A. Applicant Eligibility

1. Eligible applicants for both components in this Invitation are Weatherization Assistance Program subgrantees.
2. Weatherization Assistance Program subgrantees that submit proposals for the Publicly-Assisted Housing component must identify the publicly-assisted subsidized housing projects that will be assisted, and demonstrate support from the project owners, as described elsewhere in this Invitation. Applications co-sponsored by owners of eligible projects are welcome.
3. An applicant's past and current performance in State programs and contracts will be considered in reviewing, rating and ranking its application. DHCR reserves the right to not issue an award to any applicant if it has been determined that the applicant is not in compliance with existing State contracts and has not taken satisfactory steps to remedy such noncompliance.

B. Client and Building Eligibility

1. All clients to be assisted through this initiative must be eligible for assistance pursuant to the regulations promulgated by the US Department of Energy at 10 CFR Part 440.22. Copies of those regulations are available from DHCR offices and are published on the internet at <http://www.waptac.org/cfr10440.htm>. Units that will receive Weatherization assistance must be occupied by households with incomes below 60% of State median income. For multifamily buildings with five or more units, at least 50% of the units in the building must be occupied by eligible households.

Where specific buildings are targeted, the buildings must have a demonstrated need for energy improvements. Buildings with high levels of energy consumption will meet this requirement if the proposal can show that the proposed measures will result in either increased operating efficiencies for the project or decreased utility costs for occupants of the project. For housing where Weatherization work will result in increased operating efficiencies, **the applicant should provide an analysis of building energy usage during the past two years, and estimate the saving that will accrue from the proposed work.** The building must be in habitable condition, such that minimum levels of weatherization assistance (not to exceed \$4,500 per unit, plus owner contributions or leveraged funds) can result in the level of energy cost savings normally associated with the measures to be

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performed. Buildings in need of extensive repairs, where energy conservation measures cannot be economically installed, or with health and safety issues (such as lead paint hazards) will not be funded unless other funding is identified to complete all needed work.

C. Threshold criteria

Proposals must comply with the following threshold requirements to be considered for funding:

- 1a. Funding limit** - Applicants must not request more than a total of \$ 200,000, including funds for materials, labor, and program support. Reimbursement for administrative expenses will be made according to the current contract rate (between five and six percent of allocation).
- 2. Minimum request** - Proposals must request at least \$50,000 in Weatherization funds.
- 3. Cost per unit** - The maximum amount of Weatherization funds will be limited to an average of \$4,500 per unit.
- 4. Rental housing requirements** - All Weatherization Assistance Program rental requirements and owner investment policies within the Weatherization Policies and Procedures Manual must be complied with. Owner investment need not be in place at the time the proposal is submitted, but if selected, the funding award is contingent on meeting this requirement.
- 5. Good standing with DHCR** - The applicant and any partners must be in good standing with DHCR and other State funding sources. Prior performance with other State programs will be verified.

D. Proposal Scoring Criteria

For proposals that meet all of the criteria, the following scoring criteria will be used to select from among proposals. The amount of points for each scoring factor indicate the relative weight of that factor; the maximum possible score for a proposal is 100 points.

- 1. Preference for State-assisted housing (25 points)** – Points will be awarded for proposals that will install conservation measures in affordable housing that is assisted or supervised by DHCR, HTFC, HFA, AHC, SONYMA, OTDA, or other New York State agencies, including projects participating in DHCR’s Rural Rental Assistance Program.

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2. **Leveraging (25 points)** – Points will be awarded to proposals that propose leveraging funds in addition to the required owner investment. Additional leverage may be provided by the building owner, or may be from other private or public sources. Applicants must be prepared to provide a firm commitment of all funds required to complete the proposed work within 60 days of contract issuance by DHCR.
3. **Likelihood of timely completion/capacity (25 points)** – Points will be awarded to proposals that can reasonably be expected to be completed by September 30, 2009, based on prior contract production and on the proposed workscope. All proposals should project a completion date no later than December 31, 2009.
4. **Needs/Project work scope (25 points)** – Points will be awarded for proposals that will result in greater energy savings for low-income tenants, and which promote long-term project affordability. The project work scope must be consistent with measures that would be identified by a DOE-approved energy audit protocol. Only those measures that show a savings-to-investment ratio greater than 1.0 (other than related health and safety work) can be included in the Weatherization work scope.

IV. APPLICATION REVIEW AND PROCESSING

A. General Review Criteria

All eligible proposals will be considered for funding through a competitive process. To the extent that eligible, competitive proposals are received, DHCR will allocate resources to meet housing and energy conservation needs in an equitable geographic distribution across the State. Applicants will also be required to comply with:

1. Article 15A - Under Article 15A of the New York State Executive Law, all award recipients and their contractors are required to comply with the equal employment opportunity provisions of Section 312 of that Article.

2. Minority- and Women-Owned Business Enterprise - All contractors and awardees are required to make affirmative efforts to ensure that New York State Certified Minority and Women-Owned Business Enterprises are afforded opportunities for meaningful participation in housing funded by DHCR pursuant to Section 313 of the Article.

B. Application Processing

1. Application Receipt - Proposals received under this Invitation are assigned an identification number and undergo a series of reviews. An initial inventory of the

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proposal will be conducted to determine whether all required information was submitted. DHCR may, but is not obligated to, request additional information from the applicant if it is determined that additional information is needed to evaluate the proposal. However, applicants should not assume that DHCR will notify the applicant if the proposal is deficient, and DHCR bears no responsibility for omissions made by applicants.

2. Eligibility Review - Proposals are reviewed according to the eligibility criteria described in Section III, above. If it is determined that a proposal does not meet all of the eligibility criteria, that proposal will not be scored or considered for funding.

3. Rating and Ranking - Each proposal is rated by DHCR staff according to the Scoring criteria described in Section III. If demand exceeds available funds, proposals will be ranked by score to assist in making funding decisions.

4. Site Visit - DHCR field office staff may conduct a visit to an assisted housing project to verify information provided in the proposal and ascertain the feasibility of the proposal.

5. Funding Recommendations - DHCR staff will make funding recommendations for eligible proposals based upon the rank order resulting from scoring proposals. Additional recommendations may be made to achieve an equitable geographical distribution of available funds. DHCR reserves the right to determine the amount of funds to be awarded to eligible proposals. Recommendations may be made to fund proposals at the requested amount, or to fund one or more proposals at a reduced amount, so that additional proposals can be funded.

6. Award -The Commissioner of Housing and Community Renewal or her designee shall make the final determination of funds to be awarded.

7. Award Notice/Contract Issuance - Subsequent to approval by the Commissioner of Housing and Community Renewal, written notice of funding decisions will be provided to each applicant. Successful applicants will be provided with contract processing instructions at the time of award notice.

V. REGIONAL OFFICE SERVICE AREAS

Any questions regarding this Invitation or the application process should be directed to the Regional Office which serves the county(s) in which the proposed project is located. Regional Office Weatherization Assistance Program contacts, and the counties served by their offices are:

Capital District Regional Office

Tom Platten, Regional Supervisor
Hampton Plaza, 2nd Floor
38-40 State Street,
Albany, NY 12207
518-486-5012

Counties Served: Albany, Clinton, Columbia, Delaware, Dutchess, Essex, Fulton, Greene, Hamilton, Montgomery, Orange, Otsego, Rensselaer, Saratoga, Schenectady, Schoharie, Sullivan, Ulster, Warren and Washington.

Buffalo Regional Office

Rick Jost, Regional Supervisor
535 Washington St, Suite 105
Buffalo, NY 14203
716-847-9555

Counties Served: Allegany, Cattaraugus, Cayuga, Chautauqua, Chemung, Erie, Genesee, Livingston, Monroe, Niagara, Ontario, Orleans, Schuyler, Seneca, Steuben, Wayne, Wyoming and Yates.

Syracuse Regional Office

Beth Ryan, Regional Supervisor
620 Erie Blvd West, Suite 312
Syracuse, New York 13204
315-478-7179

Counties Served: Broome, Chenango, Cortland, Franklin, Herkimer, Jefferson, Lewis, Madison, Oneida, Onondaga, Oswego, St. Lawrence, Tioga, and Tompkins.

New York City Regional Office

Pauline Morgan, Regional Supervisor
25 Beaver Street, 7th Floor
New York, NY 10004
(212) 480-7161

Counties Served: Bronx, Kings, New York, Putnam, Queens, Richmond, Nassau, Suffolk, Rockland and Westchester.