



**Office of Temporary
and Disability Assistance**

**New York
State Homeless Housing and Assistance
Corporation (HHAC)**

Audit Services

Request for Proposals (RFP)

Issued: October 10, 2023

Applications due by November 30, 2023

HOMELESS HOUSING AND ASSISTANCE CORPORATION

AUDIT SERVICES REQUEST FOR PROPOSALS

Table of Contents

I. INTRODUCTION	3
II. BACKGROUND AND PURPOSE OF HHAC AUDIT	3
III. RFP TIMETABLE	4
IV. EVALUATION CRITERIA	5
V. SCOPE OF SERVICES	5
VI. MINORITY AND WOMEN-OWNED BUSINESS ENTERPRISE (M/WBE) AND EQUAL EMPLOYMENT OPPORTUNITY (EEO) PARTICIPATION	6
VII. SERVICE-DISABLED VETERAN-OWNED BUSINESS ENTERPRISES	9
VIII. ADDITIONAL PROVISIONS	11

REQUIRED PROPOSAL SUBMISSION PAGES

CHECKLIST OF REQUIRED INFORMATION AND DOCUMENTATION	12
EXHIBIT A: NARRATIVE	13
EXHIBIT B: BID PROPOSAL	14
EXHIBIT C: NONDISCRIMINATION IN EMPLOYMENT IN NORTHERN IRELAND: MACBRIDE FAIR EMPLOYMENT PRINCIPLES	15
EXHIBIT D: CONTRACTOR/SUBCONTRACTOR BACKGROUND QUESTIONNAIRE	16
EXHIBIT E: OFFEROR CERTIFICATION	19
EXHIBIT F: VENDOR ASSURANCE OF NO CONFLICT OF INTEREST OR DETRIMENTAL EFFECT	20

I. INTRODUCTION

The New York State Homeless Housing and Assistance Corporation (“HHAC” or “Corporation”) requests proposals from individuals and corporations to provide audit services to the Corporation. The term of the contract will be five years with an HHAC option to terminate at any time and for any reason.

These services shall include an audit of the general-purpose financial statements of HHAC for the State Fiscal Year (SFY) ending March 31, 2024, and annually thereafter through SFY ending March 31, 2028, for a total of five (5) years. These audits shall be conducted in accordance with Generally Accepted Auditing Standards, Government Auditing Standards issued by the Comptroller General of the United States, and the Investment Guidelines for Public Authorities issued by the Office of the State Comptroller, State of New York.

In addition, a review of the internal control procedures over financial reporting and tests of compliance shall be performed in accordance with provisions of laws, regulations, contracts, and grants. Upon completion of each, the audit and internal controls reports shall be submitted to the Homeless Housing and Assistance Corporation Board.

Proposals submitted in response to this Request for Proposals (RFP) must be received by 3:00 pm November 30, 2023. Proposals should be sent to:

Bureau of Contract Management
New York State Office of Temporary & Disability Assistance
40 North Pearl Street, 12 D
Albany, New York 12243
(518) 486-6352
Attention: Marcos Ortiz

An original, three (3) copies, and an electronic version (flash drive) in Microsoft Word format of a completed application must be submitted no later than 3:00 p.m. on the specified due date. No faxed material will be accepted.

II. BACKGROUND AND PURPOSE OF HHAC AUDIT

The Homeless Housing and Assistance Program (HHAP) was established in 1983, as codified in Social Services Law §§ 41 - 44. In June of 1990, the Homeless Housing and Assistance Corporation (HHAC), a public benefit corporation, was established to administer the program, as codified in Private Housing Finance Law § 45-c. HHAC is a subsidiary of the New York State Housing Finance Agency (HFA) and is staffed by employees of OTDA. HFA issues bonds to finance the costs of developing projects under HHAP.

HHAP provides capital grants and loans to not-for-profit corporations, charitable and religious organizations, or their wholly owned subsidiaries, and municipalities to acquire, construct, or rehabilitate housing for persons who are homeless or at risk of homelessness, and are unable to secure adequate housing without special assistance.

HHAP was created to increase the supply of supportive housing for the homeless in New York State. The program funds a broad range of housing options for the diverse homeless populations in the State’s urban, suburban, and rural areas. Program funds are awarded through a competitive Request for Proposals process. Applicants and awardees generally have experience in housing development, management and/or the provision of social services. HHAP

funds emergency shelters, transitional facilities, and permanent supportive housing projects serving both homeless families and individuals, which include a variety of special needs populations. Special needs populations that have benefited from HHAP funding include, but are not limited to:

- persons with a mental illness;
- persons with physical disabilities;
- persons with HIV/AIDS;
- youth, including young adults aging out of foster care;
- persons who have experienced domestic violence;
- veterans;
- ex-offenders; and,
- persons with substance use disorders.

Currently, the HHAP-funded portfolio of homeless projects under contract includes over 340 operating projects and 498 sites across New York State.

- The purposes of this audit are to: Comply with NYS State Public Authorities Law § 2802, which requires an annual independent audit of the Corporation’s finances.
- Provide reasonable assurance as to whether the Corporation’s General Purpose financial statements are free of material misstatement.
- To review and report on the internal controls surrounding the financial reporting in order to disclose any matters of material weakness.
- To ensure compliance with applicable State Law and Governmental Accounting Standards (e.g., GASB statements) with regards to the Corporation’s financial practices and financial statements.

III. RFP TIMETABLE

RFP Released	10/10/2023
Application Questions Due	11/1/2023
Official Responses to Questions	11/5/2023
Proposals Due	11/30/2023
Notification of Award	2/7/2024
Contract Start	4/1/2024

NOTE: Any questions concerning this RFP may be submitted in writing by November 1, 2023, to:

Michael Washburn, HHAC Comptroller
 New York State Office of Temporary and Disability Assistance
 40 North Pearl Street, 10 B
 Albany, New York 12243
Michael.Washburn@otda.ny.gov

Answers to all questions will be posted on OTDA’s website (<http://otda.ny.gov/contracts/procurement-bid.asp>).

IV. EVALUATION CRITERIA

The proposals will be evaluated based on the total bid for the five-year term and the following qualitative criteria:

- **Expertise** in areas pertinent to HHAC finances (e.g., GAGAS, State Finance Law, Private Housing Finance Law, bond financing, public authorities, repurchase agreements, etc.);
- **Experience** with entities similar to HHAC (e.g., government agencies, public authorities, bond financing, housing grant/loan programs, etc.);
- **Staff resources** to be dedicated to the HHAC audit (number, qualifications, and position/title of staff conducting and reviewing the HHAC audit, including the identification of staff with additional continuing professional education required through the Yellow Book);
- Proposed **audit process**;
- **Responsiveness** to all aspects of the RFP; and
- **Ability and commitment** to provide the requirements of the **Scope of Services (Section V below)**, including the ability to provide all the required reports by the **established deadlines**.

Each proposal must include a narrative that addresses each aspect of the above evaluation criteria.

Responses must be submitted by Certified Public Accounting (CPA) firms or individual CPAs that are in good standing pursuant to Education Law §7401, Part 70, Public Accountancy.

V. SCOPE OF SERVICES

The successful bidder (“Contractor”) shall, for each year of the contract, thoroughly examine the financial statements of the HHAC for the fiscal year ending March 31. The examination must be made in accordance with generally accepted governmental auditing standards for financial and compliance audits (GAGAS). Such examination must include such tests of the accounting records and other auditing procedures, as it is considered necessary in the circumstances for the purpose of expressing an opinion on such financial statements. The examination must include a review of the Corporation’s internal controls and accounting procedures, and the Contractor must issue a report on internal controls as required by GAGAS. The Contractor must also issue a letter to the HHAC Board containing observations regarding the fiscal status, organizational structure, financial procedures of the Corporation or any other recommendations which the Contractor believes are of value to the Corporation.

The Contractor shall also perform those procedures required by Part 201 of Title 2 of the Official Compilation of Codes, Rules and Regulations of the State of New York (2 NYCRR Part 201) 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 the State Comptroller’s Investment Guidelines for Public Authorities. Contractor shall also review and advise the Corporation of its compliance with relevant provisions of the Public Authorities Law (PAL). Contractor shall also review and advise the Corporation of its compliance with applicable GASB statements, including any known prospective compliance requirements.

The Contractor shall, in all respects, perform its work in accordance with all applicable statutes, regulations, and industry standards, including the Code of Professional Ethics. The relationship between parties shall be that of an independent contractor, and the Contractor or its employees

shall not be considered for any purpose to be employees of the State of New York or the Corporation.

- Contractor shall issue a report on the Corporation's financial statements including the Contractor's opinion thereon.
- Contractor shall issue a report on the Corporation's internal accounting controls as required by GAGAS and PAL.
- Contractor shall issue a letter to the Corporation's Board containing observations which the Contractor believes are of value to the Corporation.
- Contractor shall issue a separate report on the Corporation's investment practices as required by 2 NYCRR Part 201.
- Contractor shall provide a post-audit consultation session with appropriate staff of the Corporation, which session shall be conducted by December 31 of each contract year.

All of the above deliverables, with the exception of the post-audit consultation, will be presented to the Corporation for its review in draft form no later than June 1st of the contract year, or sooner if within a reasonable time from the initiation of the audit. All of the above deliverables will be presented in final form to the Corporation by June 15th of each contract year. As it is incumbent upon the Corporation by state law to have completed and submitted audited financial statements to various oversight entities by June 30th annually, it is imperative that the Contractor adhere to these deadlines in the completion of the audit.

VI. Minority and Women-Owned Business Enterprise (M/WBE) and Equal Employment Opportunity (EEO) Participation

CONTRACTOR REQUIREMENTS AND PROCEDURES FOR BUSINESS PARTICIPATION OPPORTUNITIES FOR NEW YORK STATE-CERTIFIED MINORITY AND WOMEN-OWNED BUSINESS ENTERPRISES AND EQUAL EMPLOYMENT OPPORTUNITIES FOR MINORITY GROUP MEMBERS AND WOMEN

New York State Law

HHAC has adopted the forms and procedures of the New York State Office of Temporary and Disability Assistance (OTDA) with regards to the requirements under this section, and all references to OTDA herein shall also mean HHAC where appropriate. Pursuant to New York State Executive Law Article 15-A and Parts 140-145 of Title 5 of the New York Codes, Rules and Regulations OTDA is required to promote opportunities for maximum feasible participation of New York State-certified M/WBEs" and the employment of minority group members and women in the performance of OTDA contracts.

Business Participation Opportunities for MWBEs

For purposes of this solicitation, OTDA hereby establishes an overall goal of 30% for M/WBE participation, 15% for New York State-certified Minority-owned business enterprises ("MBE") participation and 15% for New York State-certified Women-owned business enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs). A contractor ("Contractor") on any contract resulting from this procurement ("Contract") must document its good faith efforts to provide meaningful participation by M/WBEs as subcontractors or suppliers in the performance of the Contract. To that end, by submitting a response to this RFP, the respondent agrees that OTDA may withhold payment pursuant to any Contract awarded as a result of this RFP pending receipt of the required M/WBE documentation. The directory of M/WBEs can be viewed at: <https://ny.newnycontracts.com>. For guidance on how OTDA will determine a Contractor's "good faith efforts," refer to 5 NYCRR §142.8.

The Contractor acknowledges that only sums paid to M/WBEs for the performance of a commercially useful function, as that term is defined in 5 NYCRR § 140.1, may be applied towards the achievement of the applicable M/WBE participation goal. [FOR CONSTRUCTION CONTRACTS – The portion of a contract with an M/WBE serving as a supplier that shall be deemed to represent the commercially useful function performed by the M/WBE shall be sixty percent (60%) of the total value of the contract. The portion of a contract with an M/WBE serving as a broker that shall be deemed to represent the commercially useful function performed by the M/WBE shall be the monetary value for fees, or the markup percentage, charged by the M/WBE]. [FOR ALL OTHER CONTRACTS - The portion of a contract with an M/WBE serving as a broker that shall be deemed to represent the commercially useful function performed by the M/WBE shall be twenty-five percent (25%) of the total value of the contract]

In accordance with 5 NYCRR §142.13, the Contractor further acknowledges that if it is found to have willfully and intentionally failed to comply with the M/WBE participation goals set forth in submitting a bid or proposal, a Contractor agrees to demonstrate its good faith efforts to achieve the applicable M/WBE participation goals by submitting evidence thereof through the New York State Contract System (“NYSCS”), which can be viewed at <https://ny.newnycontracts.com>, provided, however, that a Contractor may arrange to provide such evidence via a non-electronic method by contacting the Contract’s program manager at OTDA. Additionally, a Contractor will be required to submit the following documents and information as evidence of compliance with the foregoing:

- A.** An M/WBE Utilization Plan with their bid or proposal. Any modifications or changes to an accepted M/WBE Utilization Plan after the Contract award and during the term of the Contract must be reported on a revised M/WBE Utilization Plan and submitted to OTDA, for review and approval.
OTDA will review the submitted M/WBE Utilization Plan and advise the Contractor of OTDA’s acceptance or issue a notice of deficiency within 30 days of receipt.
- B.** If a notice of deficiency is issued, the Contractor will be required to respond to the notice of deficiency within seven (7) business days of receipt by submitting to OTDA, a written remedy in response to the notice of deficiency. If the written remedy that is submitted is not timely or is found by OTDA to be inadequate, OTDA shall notify the Contractor and direct the Contractor to submit, within five (5) business days, a request for a partial or total waiver of M/WBE participation goals. Failure to file the waiver form in a timely manner may be grounds for disqualification of the bid or proposal.

OTDA may disqualify a Contractor as being non-responsive under the following circumstances:

- If a Contractor fails to submit a M/WBE Utilization Plan.
- If a Contractor fails to submit a written remedy to a notice of deficiency.
- If a Contractor fails to submit a request for waiver.
- If OTDA determines that the Contractor has failed to document good faith efforts.

The Contractor will be required to attempt to utilize, in good faith, any MBE or WBE identified within its M/WBE Utilization Plan, during the performance of the Contract. Requests for a partial or total waiver of established goal requirements made subsequent to Contract Award may be made at any time during the term of the Contract to OTDA but must be made no later than prior to the submission of a request for final payment on the Contract.

The Contractor will be required to submit a M/WBE Contractor Compliance & Payment Report to the OTDA, by the 8th day following each end of quarter over the term of the Contract documenting the progress made toward achievement of the M/WBE goals of the Contract.

Equal Employment Opportunity Requirements

By submission of a bid or proposal in response to this solicitation, the Contractor agrees with all of the terms and conditions of Appendix A – Standard Clauses for All New York State Contracts including Clause 12 - Equal Employment Opportunities for Minorities and Women or Authority equivalent to Appendix A. The Contractor is required to ensure that it and any subcontractors awarded a subcontract for the construction, demolition, replacement, major repair, renovation, planning or design of real property and improvements thereon (the "Work"), except where the Work is for the beneficial use of the Contractor, undertake or continue programs to ensure that minority group members and women are afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status. For these purposes, equal opportunity shall apply in the areas of recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff, termination, and rates of pay or other forms of compensation. This requirement does not apply to: (i) work, goods, or services unrelated to the Contract; or (ii) employment outside New York State.

The Contractor will be required to submit a M/WBE and Equal Employment Opportunity Policy Statement, Form OTDA 4970, to OTDA with their bid or proposal.

If awarded a Contract, Contractor shall submit a Workforce Utilization Report, Form OTDA-4971, and shall require each of its sub-contractors to submit a Workforce Utilization Report, in such format as shall be required by OTDA on a QUARTERLY basis during the term of the Contract.

Further, pursuant to Article 15 of the Executive Law (the "Human Rights Law"), all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor and sub-contractors will not discriminate against any employee or applicant for employment because of race, creed (religion), color, sex, national origin, sexual orientation, military status, age, disability, predisposing genetic characteristic, marital status or domestic violence victim status, and shall also follow the requirements of the Human Rights Law with regard to non-discrimination on the basis of prior criminal conviction and prior arrest.

Please Note: Failure to comply with the foregoing requirements may result in a finding of non-responsiveness, non-responsibility and/or a breach of the Contract, leading to the withholding of funds, suspension or termination of the Contract or such other actions or enforcement proceedings as allowed by the Contract.

VII. SERVICE-DISABLED VETERAN-OWNED BUSINESS ENTERPRISES

Article 17-B of the New York State Executive Law provides for more meaningful participation in public procurement by certified Service-Disabled Veteran-Owned Businesses (“SDVOB”), thereby further integrating such businesses into New York State’s economy. OTDA recognizes the need to promote the employment of service-disabled veterans and to ensure that certified service-disabled veteran-owned businesses have opportunities for maximum feasible participation in the performance of OTDA contracts.

In recognition of the service and sacrifices made by service-disabled veterans and in recognition of their economic activity in doing business in New York State, Bidders are expected to consider SDVOBs in the fulfillment of the requirements of the Contract. Such participation may be as subcontractors or suppliers, as protégés, or in other partnering or supporting roles.

I. Contract Goals

OTDA hereby establishes an overall goal of 6% for SDVOB participation, based on the current availability of qualified SDVOBs. For purposes of providing meaningful participation by SDVOBs, the Bidder/Contractor should reference the directory of New York State Certified SDVOBs found at: <http://ogs.ny.gov/Veterans/> . Questions regarding compliance with SDVOB participation goals should be directed to the OTDA Designated Contacts. Additionally, following Contract execution, Contractor is encouraged to contact the Office of General Services’ Division of Service-Disabled Veterans’ Business Development at 518-474-2015 or VeteransDevelopment@ogs.ny.gov to discuss additional methods of maximizing participation by SDVOBs on the Contract.

- A. Contractor must document “good faith efforts” to provide meaningful participation by SDVOBs as subcontractors or suppliers in the performance of the Contract (see clause IV below).

II. SDVOB Utilization Plan

- A. In accordance with 9 NYCRR § 252.2(i), Bidders are required to submit a completed SDVOB Utilization Plan on Form SDVOB 100 with their bid.
- B. The Utilization Plan shall list the SDVOBs that the Bidder intends to use to perform the Contract, a description of the work that the Bidder intends the SDVOB to perform to meet the goals on the Contract, the estimated dollar amounts to be paid to an SDVOB, or, if not known, an estimate of the percentage of Contract work the SDVOB will perform. By signing the Utilization Plan, the Bidder acknowledges that making false representations or providing information that shows a lack of good faith as part of, or in conjunction with, the submission of a Utilization Plan is prohibited by law and may result in penalties including, but not limited to, termination of a contract for cause, loss of eligibility to submit future bids, and/or withholding of payments. Any modifications or changes to the agreed participation by SDVOBs after the Contract award and during the term of the Contract must be reported on a revised SDVOB Utilization Plan and submitted to OTDA.
- C. OTDA will review the submitted SDVOB Utilization Plan and advise the Bidder/Contractor of OTDA acceptance or issue a notice of deficiency within 20 days of receipt.
- D. If a notice of deficiency is issued, Bidder/Contractor agrees that it shall respond to the notice of deficiency, within seven business days of receipt, by submitting to OTDA a written remedy in response to the notice of deficiency. If the written remedy that is submitted is not timely or is found by OTDA to be inadequate, OTDA shall notify the Bidder/Contractor and direct the

Bidder/Contractor to submit, within five business days of notification by OTDA, a request for a partial or total waiver of SDVOB participation goals on SDVOB 200. Failure to file the waiver form in a timely manner may be grounds for disqualification of the bid or proposal.

- E. OTDA may disqualify a Bidder's bid or proposal as being non-responsive under the following circumstances:
 - (a) If a Bidder fails to submit an SDVOB Utilization Plan;
 - (b) If a Bidder fails to submit a written remedy to a notice of deficiency;
 - (c) If a Bidder fails to submit a request for waiver; or
 - (d) If OTDA determines that the Bidder has failed to document good faith efforts.
- F. If awarded a Contract, Contractor certifies that it will follow the submitted SDVOB Utilization Plan for the performance of SDVOBs on the Contract pursuant to the prescribed SDVOB contract goals set forth above.
- G. Contractor further agrees that a failure to use SDVOBs as agreed in the Utilization Plan shall constitute a material breach of the terms of the Contract. Upon the occurrence of such a material breach, OTDA shall be entitled to any remedy provided herein, including but not limited to, a finding of Contractor non-responsibility.

III. Request for Waiver

- A. Prior to submission of a request for a partial or total waiver, Bidder/Contractor shall speak to the designated contacts at OTDA for guidance.
- B. In accordance with 9 NYCRR § 252.2(m), a Bidder/Contractor that is able to document good faith efforts to meet the goal requirements, as set forth in clause IV below, may submit a request for a partial or total waiver on Form SDVOB 200, accompanied by supporting documentation. A Bidder may submit the request for waiver at the same time it submits its SDVOB Utilization Plan. If a request for waiver is submitted with the SDVOB Utilization Plan and is not accepted by OTDA at that time, the provisions of clauses II (C), (D) & (E) will apply. If the documentation included with the Bidder's/Contractor's waiver request is complete, OTDA shall evaluate the request and issue a written notice of acceptance or denial within 20 days of receipt.
- C. Contractor shall attempt to utilize, in good faith, the SDVOBs identified within its SDVOB Utilization Plan, during the performance of the Contract. Requests for a partial or total waiver of established goal requirements made subsequent to Contract award may be made at any time during the term of the Contract to OTDA but must be made no later than prior to the submission of a request for final payment on the Contract.
- D. If OTDA, upon review of the SDVOB Utilization Plan and Monthly SDVOB Compliance Report (SDVOB 101) determines that Contractor is failing or refusing to comply with the contract goals and no waiver has been issued in regard to such non-compliance, OTDA may issue a notice of deficiency to the Contractor. The Contractor must respond to the notice of deficiency within seven business days of receipt. Such response may include a request for partial or total waiver of SDVOB contract goals. Waiver requests should be sent to OTDA.

IV. Required Good Faith Efforts

In accordance with 9 NYCRR § 252.2(n), Contractors must document their good faith efforts toward utilizing SDVOBs on the Contract. Evidence of required good faith efforts shall include, but not be limited to, the following:

- (1) Copies of solicitations to SDVOBs and any responses thereto.
- (2) Explanation of the specific reasons each SDVOB that responded to Bidders/Contractors' solicitation was not selected.
- (3) Dates of any pre-bid, pre-award or other meetings attended by Contractor, if any, scheduled by OTDA with certified SDVOBs whom OTDA determined were capable of fulfilling the SDVOB goals set in the Contract.
- (4) Information describing the specific steps undertaken to reasonably structure the Contract scope of work for the purpose of subcontracting with, or obtaining supplies from, certified SDVOBs.
- (5) Other information deemed relevant to the waiver request.

V. Monthly SDVOB Contractor Compliance Report

In accordance with 9 NYCRR § 252.2(q), Contractor is required to report Monthly SDVOB Contractor Compliance to OTDA during the term of the Contract for the preceding month's activity, documenting progress made towards achieving the Contract SDVOB goals. This information must be submitted using form SDVOB 101 available on the OTDA website and should be completed by the Contractor and submitted to OTDA, by the 7th day of each month during the term of the Contract, for the preceding month's activity to the contract's designated Contract/Program Manager at OTDA.

VIII. ADDITIONAL PROVISIONS

The Scope of Services in Section V. above will be attached as an appendix to the standard Homeless Housing and Assistance Corporation Audit Services Contract. A copy of the sample contract will be posted on the internet at the OTDA website:

<http://otda.ny.gov/contracts/procurement-bid.asp>

The Contractor must submit with their proposal a verification of licensure pursuant to the Education Law § 7401, Part 70, Public Accountancy for each partner, staff accountant, and/or reviewer that the Contractor proposes to be involved in conducting the HHAC audit throughout the five-year contract.

The Contractor must submit to HHAC annually the names of the proposed lead auditor and reviewing auditor to ensure compliance with PAL § 2802(4), which prohibits the same lead or coordinating audit partner, or the same audit partner having responsibility for reviewing the audit, from performing the audit services for more than four (4) consecutive fiscal years.

In the event the successful bidder fails to meet the contractual requirements set forth, the Corporation's Board may select an alternate from the list of bidders who responded to this RFP to continue such services on behalf of the Corporation for any additional years remaining. Accordingly, the Corporation reserves the right not to accept the lowest priced proposals. The Corporation also reserves the right to reject any and all proposals in its sole discretion.

The contract for audit services will provide for up to two optional one-year extensions if requested by the Corporation.

A copy of the Corporation's 2022-2023 audit report is available upon request by contacting Michael Washburn by email at Michael.Washburn@otda.ny.gov.

CHECKLIST OF REQUIRED INFORMATION AND DOCUMENTATION

Proposal submissions must consist of the following:

<input type="checkbox"/>	Exhibit A: Narrative
<input type="checkbox"/>	Exhibit B: Bid Proposal
<input type="checkbox"/>	Exhibit C: Nondiscrimination In Employment In Northern Ireland Form
<input type="checkbox"/>	Exhibit D: Contractor/Subcontractor Background Questionnaire
<input type="checkbox"/>	Exhibit E: Offeror Certification
<input type="checkbox"/>	Exhibit F: Vendor Assurance of No Conflict of Interest or Detrimental Effect
<input type="checkbox"/>	Documentation of CPA Licensure
<input type="checkbox"/>	Copy of latest Quality Review Report

IX. EXHIBIT A: NARRATIVE

Please describe in detail how your firm proposes to provide services to HHAC with respect to the following questions. You may use additional pages as necessary.

1. Provide a background and history of your firm.
2. Describe your expertise in areas pertinent to the HHAC finances (e.g., GAGAS, State Finance Law, Private Housing Finance Law, bond financing, public authorities, repurchase agreements, etc.).
3. Describe your experience with entities similar to the HHAC (e.g., government agencies, public authorities, bond financing, housing grant/loan programs, etc.).
4. Describe the staff resources to be dedicated to the HHAC audit (number, qualifications, and position/title of staff conducting and reviewing the HHAC audit, including the identification of staff with additional continuing professional education required through the Yellow Book).
5. Describe your proposed audit process (e.g., entrance conference, testing of warrants, review of internal controls, post-audit consultation, etc.).
6. Describe your ability and commitment to provide the requirements of the Scope of Services (see Section V), including the ability to provide all the required reports by the established deadlines.

X. EXHIBIT B: BID PROPOSAL

Proposal for Audit Fiscal Year Ending March 31, 2024 \$

Additional Years

Audit Fiscal Year Ending March 31, 2025 \$

Audit Fiscal Year Ending March 31, 2026 \$

Audit Fiscal Year Ending March 31, 2027 \$

Audit Fiscal Year Ending March 31, 2028 \$

5 Year Total Bid \$

XI. EXHIBIT C: MACBRIDE FAIR EMPLOYMENT PRINCIPLES

**Nondiscrimination in Employment in Northern Ireland:
MacBride Fair Employment Principles**

In accordance with Chapter 807 of the Laws of 1982 the bidder, by submission of this bid, certifies that it or any individual or legal entity in which the bidder holds 10% or greater ownership interest, or any individual or legal entity that holds 10% or greater ownership interest in the bidder:

(Answer yes or no to one or both of the following, as applicable.)

1. Has business operations in Northern Ireland. ___yes ___no

2. Shall take lawful steps in good faith to conduct any business operations they have in Northern Ireland in accordance with the MacBride Fair Employment Principles relating to nondiscrimination in employment and freedom of workplace opportunity regarding such operations in Northern Ireland and shall permit independent monitoring of their compliance with such Principles. ___yes ___no

Name

Title

Company

Date

XII. EXHIBIT E: OFFEROR CERTIFICATION

In compliance with the State Finance Law §§139-j (3) and 139-j (6) (b), the Offeror hereby affirms that it understands and agrees to comply with the procedures of the NYS Homeless Housing and Assistance Corporation (HHAC) and the NYS Office of Temporary and Disability Assistance (OTDA), and their successors and/or assigns relating to permissible contacts during and with regard to this RFP process.

Offeror further certifies that all information provided by Offeror to the HHAC and the OTDA is complete, true and accurate and in compliance with State Finance Law §139-k.

[PLEASE NOTE: the NYS HHAC and the NYS OTDA, their successors and/or assigns reserve the right to terminate the Audit Services agreement that may result from this RFP in the event that this certification is intentionally false or intentionally incomplete. Upon such finding, the HHAC and the OTDA, their successors and/or assigns may exercise its termination right by providing written notification to the Offeror in accordance with the written notification terms of the Audit Services agreement.]

By: _____ Date: _____

Name: _____

Title: _____

Contractor Name: _____

Contractor Address: _____

EXHIBIT F: VENDOR ASSURANCE OF NO CONFLICT OF INTEREST OR DETRIMENTAL EFFECT

The Vendor/Applicant offering to provide services pursuant to this [RFP/CONTRACT], as a contractor, joint venture contractor, subcontractor, or consultant, attests that its performance of the services outlined in this [RFP/CONTRACT] does not and will not create a conflict of interest with nor position the Vendor/Applicant to breach any other contract currently in force with the State of New York.

Furthermore, the Vendor/Applicant attests that it will not act in any manner that is detrimental to any State project on which the Vendor/Applicant is rendering services. Specifically, the Vendor/ Applicant attests that:

1. The fulfillment of obligations by the Vendor/Applicant, as proposed in the response, does not violate any existing contracts or agreements between the Vendor/Applicant and the State;
2. The fulfillment of obligations by the Vendor/Applicant, as proposed in the response, does not and will not create any conflict of interest, or perception thereof, with any current role or responsibility that the Vendor/Applicant has with regard to any existing contracts or agreements between the Vendor/Applicant and the State;
3. The fulfillment of obligations by the Vendor/Applicant, as proposed in the response, does not and will not compromise the Vendor/Applicant's ability to carry out its obligations under any existing contracts between the Vendor/Applicant and the State;
4. The fulfillment of any other contractual obligations that the Vendor/ Applicant has with the State will not affect or influence its ability to perform under any contract with the State resulting from this [RFP/CONTRACT];
5. During the negotiation and execution of any contract resulting from this [RFP/ CONTRACT], the Vendor/Applicant will not knowingly take any action or make any decision which creates a potential for conflict of interest or might cause a detrimental impact to the State as a whole including, but not limited to, any action or decision to divert resources from one State project to another;
6. In fulfilling obligations under each of its State contracts, including any contract which results from this [RFP/CONTRACT], the Vendor/ Applicant will act in accordance with the terms of each of its State contracts and will not knowingly take any action or make any decision which might cause a detrimental impact to the State as a whole including, but not limited to, any action or decision to divert resources from one State project to another;
7. No former officer or employee of the State who is now employed by the Vendor/ Applicant, nor any former officer or employee of the Vendor/ Applicant who is now employed by the State, has played a role with regard to the administration of this contract procurement in a manner that may violate section 73(8)(a) of the State Ethics Law; and

8. The Vendor/ Applicant has not and shall not offer to any employee, member or director of the State any gift, whether in the form of money, service, loan, travel, entertainment, hospitality, thing or promise, or in any other form, under circumstances in which it could reasonably be inferred that the gift was intended to influence said employee, member or director, or could reasonably be expected to influence said employee, member or director, in the performance of the official duty of said employee, member or director or was intended as a reward for any official action on the part of said employee, member or director.

Vendor/Applicants responding to this [RFP/CONTRACT] should note that the State recognizes that conflicts may occur in the future because a Vendor/Applicant may have existing or new relationships. The State will review the nature of any such new relationship and reserves the right to terminate the contract for cause if, in its judgment, a real or potential conflict of interest cannot be cured.

Name, Title: _____

Signature: _____ Date: _____

This form must be signed by an authorized executive or legal representative.