



Request for Proposals

Brownfield Opportunity Areas

Pre- Development Activities Consultant Services

NYS DOS Contract # C1002080

Issued by:

Inc. Village of Hempstead Community Development Agency (CDA)

Mayor Waylyn Hobbs Jr., Chairman

Ubah Mohammed, Vice-Chairperson

Keria Blue, Member

Rosanne Small-Morgan, Member

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Dated: February 17, 2023

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NYS DOS Brownfield Opportunity Areas – Pre- Development Activities

I. Introduction

The Inc. Village of Hempstead (“Village”) has secured a Brownfield Opportunity Area (BOA) grant from the New York State Department of State (NYS DOS) to perform pre-development activities to establish an innovation district known as the Empowerment District, as recommended in the Village’s BOA Step 2 Nomination Report. More specifically, the Village intends to establish a strategic overlay zone to link its downtown with the industrial corridor along Peninsula Boulevard. The Empowerment District will seek to promote physical linkages between downtown and Peninsula Boulevard, establish economic connections through new light and high-tech manufacturing spaces, expand economic opportunities for Village residents, all while facilitating the revitalization of Hempstead’s downtown. The Empowerment District program is anticipated to be anchored by an incubator and educational center, providing space for apprenticeships and educational programming, and supported by local educational institutions. Further physical linkages will expand Hempstead’s downtown and enhance connections of retail, restaurants, and other commercial services to the large daytime worker population found within the industrial district.

II. Project Objectives

The Village of Hempstead is requesting funding through the BOA Program to undertake Pre-Development Activities to establish an innovation/empowerment district plan and marketing strategy (the “Plan”), which will assist in encouraging investment in several strategic sites as identified in the Village’s BOA Step 2 Nomination Report. More specifically, the Village intends to:

- 1) Prepare conceptual plan(s), environmental review(s) and financial feasibility analyse(s) for establishing an incubator and educational center and/or other community anchor at 100 Main Street and a maximum of two other strategic locations identified in the BOA Step 2 Nomination;
- 2) Identify physical linkages that can help connect downtown Hempstead with the industrial corridor along Peninsula Boulevard; and
- 3) Market individual strategic development sites by promoting individual site characteristics as well as the Village’s overall assets and strengths.

The Empowerment District Plan will identify key steps needed to establish physical linkages between the downtown and Peninsula Boulevard, economic connections through new light and high-tech manufacturing spaces, expansion of economic opportunities for Village residents, all while facilitating the revitalization of Hempstead’s downtown. Physical linkages will expand Hempstead’s downtown and enhance connections of retail, restaurants, and other commercial services to the large daytime worker population found within the industrial district. The Plan

will also consider a number of scenarios for developing an incubator and educational center, which could provide space for apprenticeships and educational programming and be supported by local educational institutions.

The primary community revitalization objectives include preparation of the Empowerment District Master Plan for the Village of Hempstead BOA. The selected consultant will develop a draft Empowerment District Master Plan and supporting materials for the Empowerment District. The Master Plan shall incorporate all previous elements of the project. The Empowerment District Master Plan shall be provided to the Department and the public for review. Comments from the Department and the public must be addressed to the satisfaction of the Department in subsequent revisions of the products and the final design. Based upon the approved draft Empowerment District Master Plan, the consultant(s) shall develop a final Empowerment District Master Plan and other supporting materials.

The key objectives to be achieved under the NYS DOS Brownfields Opportunity Areas – Pre-Development Activities Master Plan for the Empowerment District include:

- Community and Stakeholder Participation
- Review Relevant Reports
- Incubator Development Assessments for Strategic Sites
- Development of Conceptual Plans and Financial Pro-Formas for 100 Main Street Site and up to Two additional Brownfield Opportunity Area Strategic Site(s)
- Identification of Connection Improvement Measures
- Branding and Marketing Strategy
- Final Empowerment District Plan

III. Scope of Work

Details of the scope of work can be found in the BOA Workplan (Attachment 1). The consultant will produce an innovation/empowerment district plan and marketing strategy which will be submitted to New York State Department of State. The consultant will: assist in the development of Incubator Assessments for Strategic Sites that analyze up to three strategic sites that could host a new Incubator and Education Center; develop conceptual plans and financial pro-formas for strategic sites best suited to establish an incubator and education center; develop connection improvements measures for linking the downtown with the industrial corridor, including reviewing infrastructure needs to support business development and developing design standards that promote economic development, sense of place and public safety (i.e., locations for enhanced street lighting, wayfinding, and signage); and develop a branding and marketing strategy, including a one-page brochure for the selected anchor site to promote economic investment and development, and which can be shared with potential incubator tenants and supporting retail businesses.

- The consultant will participate in an initial meeting with the Inc. Village of Hempstead and the New York State DOS to review the contract requirements and develop a project outline

that reflects the project outcome as stated in the BOA Workplan. The outline will be reviewed by the Village and NYS DOS.

- The Consultant will be responsible for the documentation of various outreach methods and techniques used to ensure public participation.
- The Consultant will be responsible for the preparation of the draft Marketing Plan and all documents associated with it. The Inc. Village of Hempstead will provide available maps and previous studies.
- The Consultant shall provide three hard bound copies and an electronic copy of the draft Marketing Plan. The Consultant shall incorporate comments received during the review period and prepare a final Marketing Plan that will also include materials to be submitted to NYS DOS.

IV. Meeting Requirements

The Consultant is required to attend the following meetings:

- a. Project Scoping Session
- b. Coordination meetings between the Village and NYS DOS
- c. Project Steering Committee Meetings

The Consultant is expected to attend or arrange meetings required for the performance and completion of the scope of services for the BOA project components.

V. Mandatory Proposal Response Requirements

Proposal Procedure

a. Anticipated Schedule for Selection of Proposal

The following is a list of key dates up to and including the date proposals are required to be submitted:

Requests for proposals (RFP) issued **Friday, February 17, 2023**

Request for information (RFI) **Monday, February 27, 2023
(4:30 P.M.)**

Any questions or requests for additional information regarding this proposal must be submitted **via email**, no later than **Monday, February 27, 2023, by 4:30 PM**, to the following email address: info@villageofhempsteadcda.org. The question and response will be distributed to all prospective proposers.

Due Date for proposals **Friday, March 24, 2023
(4:30 P.M.)**

Notification and Contract Dates

Consultant Selection

**Friday, April 7, 2023
(on or about)**

Contract date

As soon as practical thereafter

b. MWBE Requirements

Grant funding will be used for work performed by firms registered as M/WBE with NYS. The selected M/WBE firm must meet a minimum of 30% of the MWBE goal requirements.

c. Inquiries and Submission of Proposals

The Village of Hempstead is an Equal Opportunity Employer. Minority and women owned businesses are encouraged to participate.

All proposals must state the period for which the proposal shall remain in effect. Such period shall not be less than 180 days from the proposal date. All Proposals must contain the following:

1. Cost Proposal Form attached as Appendix A.
2. Scope of Work attached as Appendix B, containing a complete written description of the proposal.
3. Completed and verified Business History Form attached as Appendix C, together with a current certified or verified financial statement and/or other commercially reliable written evidence of the Proposer's credit, financial standing and capacity to perform in accordance with the terms of the Contract.
4. All officers and any individuals who hold a ten percent (10%) or greater ownership interest in the Proposer shall complete and verify the Principal Questionnaire attached as Appendix D.
5. All submissions must be signed on the designated signature line by an officer or authorized agent of the Proposer.
6. Additional information.
Additional Terms:
 - a. Address of Proposer's headquarters and satellite offices.
 - b. List of all contracts within the past five (5) years with all government and/or not for profit agencies.
 - c. List a specific contract person who will coordinate all day-to-day operations.
 - d. Provide a fee schedule associated with each task.

VI. Proposal Submission Instructions

Each proposal shall be prepared simply and economically avoiding the use of elaborate promotional materials beyond those sufficient to provide a complete, accurate and reliable

presentation. For ease of review, the proposals must follow the outline in the section of this Request for Proposal (“RFP”) titled, “**Mandatory Proposal Response Requirements**” and provide a complete, accurate, and reliable presentation. Each response should be clearly numbered with the text of the requirement should be set forth before the response.

The proposals must be signed by an individual who is authorized to bind the Proposer to all commitments made in the proposal. The original and two (2) copies of the proposal, together with all attachments, must be submitted in a sealed envelope no later than **4:30 P.M. EST on Friday, March 24, 2023**. No electronically transmitted or facsimile proposals will be accepted. **Proposals received after the above date and time will not be considered.** The Village of Hempstead is under no obligation to return proposals.

It is each Proposer’s responsibility to carefully review all the requirements of this RFP, including the scope of work, the specifications and terms and conditions. It is further the Proposer’s responsibility to ask questions, request clarification, or otherwise advise if any language, specifications or requirements of this RFP appear to be ambiguous, contradictory, or to restrict or limit the Proposers that could meet the requirements of this RFP to a single source.

The Village is under no obligation to respond to any question, inquiry or assertion that is not received in writing. Violation of these provisions may result in immediate disqualification. Proposers will submit all proposals and direct all responses, questions, and any other communications to the following authorized contact person:

*Inc. Village of Hempstead Community Development Agency
50 Clinton Street, Suite 504
Hempstead, NY 11550
Email Address: info@villageofhempsteadcda.org*

VII. Selection Process

Proposals will be reviewed and evaluated for completeness and responsiveness according to pre-determined standards and selection criteria. Proposals will be deemed responsive only if the Proposer responds to and meets all of the requirements of this RFP. Proposers may be invited for interviews to discuss project requirements and proposal elements in more detail at the request of the selection committee. **The Village of Hempstead reserves the right to award all or any part of this project, and to waive any technical irregularities or omissions, or to cancel this RFP and solicit new proposals if, the best interests of the Village of Hempstead will be served.** The selection committee will evaluate each proposal and use the following for scoring each submission:

- **Contract Requirements and Proposed Solution** **35%**

Overall responsiveness of the proposal; Demonstration of a clear understanding of the requirements portion of the RFP including WMBE goals; Clear description of the scope of work

needed to satisfy the defined RFP requirements; Previous engagements of similar scope and quality.

- **Vendor Profile: Organization, Capacity, Staffing, Resumes** **25%**

Complete substantiation of the organizational structure and capacity to provide and support the proposed services defined in the Scope of Work, resumes of the proposed personnel (quality / demonstrated skills of proposed personnel); clear description of potential resource utilization methods and approach.

- **Related Experience** **30%**

Prior experience working on NYS DOS BOA projects, project management and implementation qualifications and related experiences including references, organizational and technical capacity, and outcome/results of services provided to other similar clients of similar size; comprehensive description of why the consultant can perform the tasks defined in the RFP.

- **Fee Schedule** **10%**

Any other relevant factors as determined by the selection committee.

VIII. Award of Contract

Any binding arrangement must be set forth in definitive documentation signed by both parties and shall be subject to all requisite approvals.

IX. General Information

1. **Incurring Cost.** The Inc. Village of Hempstead and/or the CDA shall not be liable for any costs incurred in the preparation and production of a proposal in response to this RFP or for any work performed prior to the issuance of a contract.
2. **Rejection of Proposals.** This RFP does not commit the Inc. Village of Hempstead to award a contract, or to procure, or to contract for services or supplies. Notwithstanding any other provisions of this RFP, the Village reserves the right to award this contract to the consultant(s) that best meet the requirements of the RFP, and not necessarily to the lowest proposal. The Village and the CDA reserve the right to accept or reject any or all proposals received as a result of this request; to negotiate with all qualified sources; or to cancel in part or in its entirety this RFP if it is in the interests of the Village to so do. The Village may require the Proposer selected to participate in negotiation and to submit any price, technical, or other revisions, or their proposals as may result from negotiations.

3. **Addenda to Request for Proposals.** Amendments to this RFP may be necessary prior to the closing date and will be furnished by mail to all prospective Proposers who have requested these materials.
4. **Contract Negotiations.** The Village intends to enter into contract negotiations with the firm or firms selected by the RFP Evaluation Committee. This RFP and the proposal, or any part thereof, may be incorporated into and made a part of the contract. The contract may contain provisions not contained herein. The Village reserves the right to negotiate the terms and conditions of the contract with the selected Proposer(s), if any. These negotiations could include all aspects of services and fees. Neither the selection of a vendor nor the negotiation of the contract with such vendor(s) shall constitute the Village's acceptance of the proposal or a binding commitment on behalf of the Village to enter into a contract with such vendor(s), as any binding arrangement must be set forth in the contract signed by both parties and is subject to all requisite approvals.
5. **Additional Information.** The Village may award a contract based upon offers received without discussion of such offers with the Proposers. Each offer, therefore, should be submitted in the most favorable terms that the Proposers can offer the Village from a price and technical standpoint. However, the Village reserves the right to request additional data or oral discussions or presentations in support of written proposals from any and all of the Proposers. In addition, the Village reserves the right to make on-site visits to the Proposer's place of business to assess and/or evaluate Proposer's qualifications.
6. **Disclosure of proposal contents.** The Village and the CDA will withhold proposals submitted under this RFP from disclosure, unless otherwise required by law, including, but not limited to, the Freedom of Information Law ("FOIL"). Proposers should indicate any information they feel is exempted from disclosure under FOIL. In the event that the Village determines that information is required by applicable law to be disclosed, the Village will notify the Proposer in advance of such disclosure to enable the Proposer to take such action as it deems appropriate. Copies of executed contracts are not exempt from FOIL.
7. **Independent Price Determination:** By submission of its offer, the Proposers certify (and in the case of a joint offer, each party thereto certifies as to its own organization) that, in connection with procurement:
 - A. The prices in this offer have been arrived at independently, without consultation, communication, or agreement for the purpose of restricting competition, as to any matters relating to such prices with any other Proposer or competitor; and
 - B. Unless otherwise required by law, the prices which have been quoted in this offer have not been knowingly disclosed by the Proposers prior to award, directly or indirectly, to any other Proposer or competitor; and
 - C. No attempt has been made or will be made by the Proposer to induce any other person or firm to submit or not to submit an offer for the purpose of restricting competition; and
 - D. No elected or appointed official or employee of the CDA or the Village of Hempstead shall benefit financially or materially from this contract. The Village may terminate

this contract if gratuities were offered or given by the Proposer or his or her agency to any such official or employee.

8. **Ownership of Information:** All materials submitted in response to this Request for Proposals will become the property of the Village and the CDA.
9. **Examination of Records:** In submitting a proposal, the successful Proposer agrees that the Village shall have access to and the right to examine directly all pertinent documents, papers and records of the Proposer and/or any sub-Proposer as related to any contract and/or subcontract resulting from this RFP until six years after final payment has been made pursuant to any contract awarded as a result of the Village's acceptance of proposal.
10. **Subcontracting:** The Proposer will be responsible for the entire contract performance. The Proposer must indicate in the RFP if it intends to use a sub-contractor for any part of the work. If so, the Proposer shall identify each sub-contractor by name, business address and expertise, and must include the name(s) of the principal(s) of the subcontracting entity. A full description of the tasks to be performed by the sub-contractor must be included. The Proposer will not be permitted to subcontract any part of the contract or any of the rights and obligations hereunder without the prior written approval of the Village of Hempstead.
11. **Negotiated Changes:** In the event that negotiated changes occur after the awarding of the contract, the same pricing policies called for in the original contract will remain in effect.

Appendix A

Cost Proposal based on Tasks outlined in the BOA Workplan

The proposer is responsible for the following tasks:

Task: Community and Stakeholder Participation

Prepare a Community and Stakeholder Participation Plan of agreed upon public outreach and techniques to ensure meaningful public participation in the planning process. This includes an anticipated schedule of public meetings, other outreach methods and techniques that will be used to ensure public participation throughout the course of preparing the Empowerment District Plan. This shall be completed in coordination with the Advisory Committee, DOS and other key participants.

Task: Review Relevant Reports

Review any existing conditions and infrastructure reports, detailing the physical, structural, and infrastructure-related challenges on key strategic sites, including 100 Main Street. Create an existing Conditions summary with all relevant information in a concise document.

Task: Incubator Development Assessments for Strategic Sites

Complete a high-level assessment, based on existing local code and individual site features, for an incubator and education center. This Development Assessment shall be conducted for up to three sites including, 100 Main Street and two other Brownfield Opportunity Area Strategic Sites. The Development Assessment shall outline factors including land use, ownership, infrastructure, square footage, parking, and other relevant factors. Identify critical infrastructure needs, including utility and transportation. Prepare a draft Incubator Development Assessment document in narrative format with appropriate plans and figures and share such with the Department and the public for review.

Task: Development of Conceptual Plans and Financial Pro-Formas for 100 Main Street Site and up to Two additional Brownfield Opportunity Area Strategic Site(s).

Prepare a draft program, conceptual plan, and financial feasibility analysis for the proposed anchor site at 100 Main Street or another strategic site identified in the BOA Step 2 Nomination Study. The proposed incubator and education facility on the selected site shall be designed for workforce development and a business incubator center with supporting businesses that create culturally diverse retail opportunities to support the incubator space. The draft plans and pro-forma documents shall be provided to the Department and the Public

for review. Based upon input from the DOS and the Public, financial feasibility and economic impact, refine the analysis and conceptual designs.

Task: Identification of Connection Improvement Measures

Review the existing constraints and opportunities for physically connecting the downtown with the industrial corridor along Peninsula Boulevard. An assessment of key design and implementation measures shall be considered as well as cost and necessary approvals. The evaluation shall include measures to improve walkability, pedestrian pathways, increased lighting, tree plantings, street furniture and signage to promote economic development, sense of place, and public safety. The proposed improvements shall be provided to the DOS and the public for review.

Task: Branding and Marketing Strategy

Develop a draft Branding and Marketing Strategy with supporting materials, which shall include an electronic one-page marketing flyer to be included on the BOA website. The Strategy shall cover a minimum of three key Strategic Sites within the BOA. The Branding and Marketing Strategy may include specific site marketing (conceptual site images, proposed uses, site approvals needed) as well as marketing material for the overall BOA community (formal name, logo, messaging strategies, marketing materials, website).

Task: Final Empowerment District Plan

Develop a draft Empowerment District Master Plan with all supporting materials for the BOA Empowerment District. The Plan shall incorporate all previous tasks and findings and make clear recommendations toward the further advancement of the Village of Hempstead BOA Strategic Sites. The draft Empowerment District Plan shall be provided to the DOS and the Public for review.

The undersigned hereby certifies his or her compliance with the following:

“NON-COLLUSIVE PROPOSAL CERTIFICATION”

By submission of this Proposal, each Proposer and each person signing on behalf of any other Proposers certifies, and in the case of a joint Proposal, each party thereto certifies as to its own organization, under penalty of perjury, that to the best of his or her knowledge and belief:

- A. The prices of this Proposal have been arrived at independently without collusion, consultation, communication, or agreement for the purpose of restricting competition, as to any matter relating to such prices with any other Proposer or with any competitor; and
- B. Unless otherwise required by law, the prices which have been quoted in this Proposal have not been knowingly disclosed by the Proposer and will not knowingly be disclosed by the Proposer prior to opening, directly or indirectly, to any other Proposer or to any competitor; and

- C. No attempt has been made or will be made by the Proposer to induce any other person, partnership or corporation to submit or not to submit a Proposal for the purpose of restricting competition.
- D. The undersigned has carefully examined the Proposal and Contract Documents and agrees to perform this contract and to provide all services, labor, material and equipment necessary for this contract.

SUBMITTED BY: _____

(Signature)

PRINT NAME: _____

DATE: _____

Appendix B

**Scope of Work
Program Description and Staffing**

Please provide a complete written description of the Proposal, including the following information:

- a. Staffing: Bios of firm principals as well as staff expected to be assigned to this project.
- b. Detail prior experience with public sector clients (similar size and scope).
- c. Detailed cover letter on the firm’s letterhead indicating EIN number and the name of the parties authorized to discuss and/or enter into negotiations with the Village of Hempstead Community Development Agency with respect to this proposal.

(USE ADDITIONAL SHEETS IF NECESSARY)

APPROVED AND SUBMITTED BY: _____

(Signature)

PRINT NAME: _____

DATE: _____

Appendix C

Business History Form

The contract shall be awarded to the responsible Proposer who, at the discretion of the CDA, taking into consideration the reliability of the Proposer and the capacity of the Proposer to perform the services, offers the best value to the Village of Hempstead and who will best promote the public interest.

In addition to the submission of proposals, each Proposer shall complete and submit this questionnaire. The questionnaire shall be filled out by the owner of a sole proprietorship or by an authorized representative of the firm, corporation or partnership submitting the Proposal.

(USE ADDITIONAL SHEETS IF NECESSARY TO FULLY ANSWER THE FOLLOWING QUESTIONS).

Date: _____

1) Proposer's Legal Name: _____

2) Address of Place of Business: _____

List all other business addresses used within last five years:

3) Mailing Address (if different): _____

Phone: _____

Does the business own or rent its facilities? _____

4) Federal Tax I.D. Number or Social Security Number: _____

5) Dun and Bradstreet number: _____

6) The Proposer is a (check one): Sole Proprietorship Partnership Corporation
 Other (Describe) _____

7) Does this business share office space, staff, or equipment expenses with any other business?
Yes ___ No ___ If Yes, please provide details: _____

8) Does this business control one or more other businesses? Yes ___ No ___ If Yes, please provide
details: _____

9) Does this business have one or more affiliates, and/or is it a subsidiary of, or controlled by,
any other business? Yes ___ No ___ If Yes, provide details. _____

10) Has the Proposer ever had a bond or surety cancelled or forfeited, or a contract with the CDA
or any other government entity terminated? Yes ___ No ___ if yes, state the name of bonding
agency, (if a bond), date, amount of bond and reason for such cancellation or forfeiture: or
details regarding the termination (if a contract). _____

11) Has the Proposer, during the past seven years, been declared bankrupt? Yes ___ No ___ If
Yes, state date, court jurisdiction, amount of liabilities and amount of assets _____

12) In the past five years, has this business and/or any of its owners and/or officers and/or any
affiliated business, been the subject of a criminal investigation and/or a civil anti-trust
investigation by any federal, state or local prosecuting or investigative agency? And/or, in the
past 5 years, have any owner and/or officer of any affiliated business been the subject of a
criminal investigation and/or a civil anti-trust investigation by any federal, state or local
prosecuting or investigative agency, where such investigation was related to activities
performed at, for, or on behalf of an affiliated business.

Yes ___ No ___ If Yes, provide details for each such investigation. _____

13) In the past 5 years, has this business and/or any of its owners and/or officers and/or any affiliated business been the subject of an investigation by any government agency, including but not limited to federal, state and local regulatory agencies? And/or, in the past 5 years, has any owner and/or officer of an affiliated business been the subject of an investigation by any government agency, including but not limited to federal, state and local regulatory agencies, for matters pertaining to that individual's position at or relationship to an affiliated business. Yes ___ No ___ If Yes, provide details for each such investigation. _____

14) Has any current or former director, owner or officer or managerial employee of this business had, either before or during such person's employment, or since such employment if the charges pertained to events that allegedly occurred during the time of employment by the submitting business, and allegedly related to the conduct of that business:

a) Any felony charge pending? No ___ Yes ___ If Yes, provide details for each such charge. _____

b) Any misdemeanor charge pending? No ___ Yes ___ If Yes, provide details for each such charge. _____

c) In the past 10 years, you been convicted, after trial or by plea, of any felony and/or any other crime, an element of which relates to truthfulness or the underlying facts of which related to the conduct of business? No ___ Yes ___ If Yes, provide details for each such conviction _____

d) In the past 5 years, been convicted, after trial or by plea, of a misdemeanor?

No ___ Yes ___ If Yes, provide details for each such conviction. _____

e) In the past 5 years, been found in violation of any administrative, statutory, or regulatory provisions? No ___ Yes ___ If Yes, provide details for each such occurrence. _____

15) In the past (5) years, has this business or any of its owners or officers, or any other affiliated business had any sanction imposed as a result of judicial or administrative proceedings with respect to any professional license held? No ___ Yes ___; If Yes, provide details for each such instance. _____

16) For the past (5) tax years, has this business failed to file any required tax returns or failed to pay any applicable federal, state or local taxes or other assessed charges, including but not limited to water and sewer charges? No ___ Yes ___ If Yes, provide details for each such year. Provide a detailed response to all questions checked 'YES'. If you need more space, photocopy the appropriate page and attach it to the questionnaire. _____

Provide a detailed response to all questions checked "YES". If you need more space, photocopy the appropriate page and attach it to the questionnaire.

17) Conflict of Interest:

a) Please disclose:

(i) Any material financial relationships that your firm or any firm employee has that may create a conflict of interest or the appearance of a conflict of interest in acting as collection agent on behalf of the CDA.

(ii) Any family relationship that any employee of your firm has with any Village of Hempstead public servant that may create a conflict of interest or the appearance of a conflict of interest in acting as collection agent on behalf of the CDA.

(iii) Any other matter that your firm believes may create a conflict of interest or the appearance of a conflict of interest in acting as a collection agent on behalf of CDA.

- b) Please describe any procedures your firm has, or would adopt, to assure the CDA that a conflict of interest would not exist for your firm in the future.

Attachments to Business History Form

Please provide any other information which would be appropriate and helpful in determining the Proposer's capacity and reliability to perform these services.

- A. Include a resume or detailed description of the Proposer's professional qualifications, demonstrating extensive experience in your profession. Any prior similar experiences, and the results of these experiences, must be identified.

If the Proposer is other than an individual, the Proposal should include:

- i) Date of formation;
- ii) Name, addresses, and position of all persons having a financial interest in the company, including shareholders, members, general or limited partner;
- iii) Name, address and position of all officers and directors of the company;
- iv) State of incorporation (if applicable);
- v) The number of employees in the firm;
- vi) Annual revenue of firm;
- vii) Summary of relevant accomplishments
- viii) Copies of all state and local licenses and permits.

- B. Indicate number of years in business.

- C. Provide any other information which would be appropriate and helpful in determining the Proposer's capacity and reliability to perform these services.

- D. Provide names and addresses for no fewer than three references for whom the Proposer has provided similar services or who are qualified to evaluate the Proposer's capability to perform this work.

Company _____

Contact Person _____

Address _____

City/State _____

Telephone _____

Fax # _____

E-Mail Address _____
██

Company _____

Contact Person _____

Address _____

City/State _____

Telephone _____

Fax # _____

E-Mail Address _____
██

Company _____

Contact Person _____

Address _____

City/State _____

Telephone _____

Fax # _____

E-Mail Address _____

Appendix D

Principle Questionnaire Form

All questions on these questionnaires must be answered and the answers typewritten or printed in ink. If you need more space to answer any question, make as many photocopies of the appropriate page(s) as necessary and attach them to the questionnaire.

COMPLETE THIS QUESTIONNAIRE CAREFULLY AND COMPLETELY. FAILURE TO SUBMIT A COMPLETE QUESTIONNAIRE MAY MEAN THAT YOUR BID OR PROPOSAL WILL BE REJECTED AS NON-RESPONSIVE AND IT WILL NOT BE CONSIDERED FOR AWARD

1. Principal Name _____
SSN _____
Date of birth ____ / ____ / ____
Home address _____
City/state/zip _____
Business address _____
City/state/zip _____
Telephone _____
Other present address (es) _____
City/state/zip _____
Telephone _____

List of other addresses and telephone numbers attached

2. Positions held in submitting business and starting date of each (check all applicable)
President ____ / ____ / ____ Treasurer ____ / ____ / ____
Chairman of Board ____ / ____ / ____ Shareholder ____ / ____ / ____
Chief Exec. Officer ____ / ____ / ____ Secretary ____ / ____ / ____
Chief Financial Officer ____ / ____ / ____ Partner ____ / ____ / ____

Vice President ____ / ____ / ____ _____ / ____ / ____

(Other)

3. Do you have an equity interest in the business submitting the questionnaire? NO ___ YES ___ If Yes, provide details.
4. Are there any outstanding loans, guarantees or any other form of security or lease or any other type of contribution made in whole or in part between you and the business submitting the questionnaire? NO ___ YES ___ If Yes, provide details.
5. Within the past 3 years, have you been a principal owner or officer of any business or not-for-profit organization other than the one submitting the questionnaire? NO ___ YES ___; If Yes, provide details.
6. Has any governmental entity awarded any contracts to a business or organization listed in Section 5 in the past 3 years while you were a principal owner or officer? NO ___ YES ___ If Yes, provide details.

NOTE: An affirmative answer is required below whether the sanction arose automatically, by operation of law, or as a result of any action taken by a government agency.

Provide a detailed response to all questions checked "YES". If you need more space, photocopy the appropriate page and attach it to the questionnaire.

7. In the past (5) years, have you and/or any affiliated businesses or not-for-profit organizations listed in Section 5 in which you have been a principal owner or officer:
 - a. Been debarred by any government agency from entering into contracts with that agency? NO _____ YES ___ If Yes, provide details for each such instance.
 - b. Been declared in default and/or terminated for cause on any contract, and/or had any contract cancelled for cause? NO ___ YES ___ If Yes, provide details for each such instance.

- c. Been denied the award of a contract and/or the opportunity to bid on a contract, including, but not limited to, failure to meet pre-qualification standards? NO ___ YES ___ If Yes, provide details for each such instance.
- d. Been suspended by any government agency from entering into any contract with it; and/or is any action pending that could formally debar or otherwise affect such business's ability to bid or propose on contract? NO ___ YES ___ If Yes, provide details for each such instance.
8. Have any of the businesses or organizations listed in response to Question 5 filed a bankruptcy petition and/or been the subject of involuntary bankruptcy proceedings during the past 7 years, and/or for any portion of the last 7 year period, been in a state of bankruptcy as a result of bankruptcy proceedings initiated more than 7 years ago and/or is any such business now the subject of any pending bankruptcy proceedings, whenever initiated? If 'Yes', provide details for each such instance. (Provide a detailed response to all questions checked "YES". If you need more space, photocopy the appropriate page and attach it to the questionnaire.)
- a) Is there any felony charge pending against you? NO ___ YES ___ If Yes, provide details for each such charge.
- b) Is there any misdemeanor charge pending against you? NO ___ YES ___ If Yes, provide details for each such charge.
- c) Is there any administrative charge pending against you? NO ___ YES ___ If Yes, provide details for each such charge.
- d) In the past 10 years, have you been convicted, after trial or by plea, of any felony, or of any other crime, an element of which relates to truthfulness or the underlying facts of which related to the conduct of business? NO ___ YES ___ If Yes, provide details for each such conviction.
- e) In the past 5 years, have you been convicted, after trial or by plea, of a misdemeanor? NO ___ YES ___ If Yes, provide details for each such conviction.
- f) In the past 5 years, have you been found in violation of any administrative or statutory charges? NO ___ YES ___ If Yes, provide details for each such occurrence.
9. In addition to the information provided in response to the previous questions, in the past 5 years, have you been the subject of a criminal investigation and/or a civil anti-trust

investigation by any federal, state or local prosecuting or investigative agency and/or the subject of an investigation where such investigation was related to activities performed at, for, or on behalf of the submitting business entity and/or an affiliated business listed in response to Question 5? NO ___ YES ___ If Yes, provide details for each such investigation.

10. In addition to the information provided, in the past 5 years has any business or organization listed in response to Question 5, been the subject of a criminal investigation and/or a civil anti-trust investigation and/or any other type of investigation by any government agency, including but not limited to federal, state, and local regulatory agencies while you were a principal owner or officer? NO ___ YES ___ If yes; provide details for each such investigation.

11. In the past 5 years, have you or this business, or any other affiliated business listed in response to Question 5 had any sanction imposed as a result of judicial or administrative proceedings with respect to any professional license held? NO ___ YES ___ If yes; provide details for each such instance.

12. For the past 5 tax years, have you failed to file any required tax returns or failed to pay any applicable federal, state or local taxes or other assessed charges, including but not limited to water and sewer charges? NO ___ YES ___ If Yes, provide details for each such year.

Attachment 1

WORK PLAN - Hempstead BOA Innovation District

1. Project Description

The Village of Hempstead is requesting funding through the BOA Program to undertake Pre-Development Activities to establish an innovation/ empowerment district plan and marketing strategy (the “Plan”), which will assist in encouraging investment in several strategic sites as identified in the Village’s BOA Step 2 Nomination Report. More specifically, the Village intends to:

- 4) Prepare conceptual plan(s), environmental review(s) and financial feasibility analyse(s) for establishing an incubator and educational center and/or other community anchor at 100 Main Street and a maximum of two other strategic locations identified in the BOA Step 2 Nomination;
- 5) Identify physical linkages that can help connect downtown Hempstead with the industrial corridor along Peninsula Boulevard; and
- 6) Market individual strategic development sites by promoting individual site characteristics as well as the Village’s overall assets and strengths.

The Empowerment District Plan will identify key steps needed to establish physical linkages between the downtown and Peninsula Boulevard, economic connections through new light and high-tech manufacturing spaces, expansion of economic opportunities for Village residents, all while facilitating the revitalization of Hempstead’s downtown. Physical linkages will expand Hempstead’s downtown and enhance connections of retail, restaurants, and other commercial services to the large daytime worker population found within the industrial district. The Plan will also consider a number of scenarios for developing an incubator and educational center, which could provide space for apprenticeships and educational programming and be supported by local educational institutions.

The Village of Hempstead (“Contractor”) will advance the Village of Hempstead Brownfield Opportunity Area (BOA) through the following pre-development activities as part of the Plan:

Component 1: Development of Incubator Assessments for Strategic Sites that analyzes up to three strategic sites that could host a new Incubator and Education Center.

Component 2: Development of Conceptual Plans and Financial Pro-Formats for Strategic Site best suited to establish an Incubator and Education Center.

Component 3: Development of Connection Improvements Measures for Linking Downtown with the Industrial Corridor including reviewing infrastructure needs to support business development and developing design standards that promote economic development, sense of place and public safety (i.e., locations for enhanced street lighting, wayfinding, and signage); and

Component 4: Development a Branding and Marketing Strategy, including an on-page sheet for the selected anchor site to promote economic investment and development, and which can be shared with potential incubator tenants and supporting retail businesses.

2. Project Attribution and Required Products

The Contractor must ensure that all materials printed, constructed, and/or produced acknowledge the contributions of the Department to the project. All final and public facing materials must include the Department of State logo and the following acknowledgment:

"This [document, report, map, etc.] was prepared with funding provided by the New York State Department of State under Title 11 of the Environmental Protection Fund."

The contributions of the Department must also be acknowledged in community press releases and other notices issued for the project, including web site postings and other forms of digital distribution. Project press releases and other notices shall be submitted to the Department for review and approval prior to release, to ensure appropriate attribution.

The Contractor must submit to the Department all required products, clearly labeled with the NYS Comptroller's contract number as indicated on the Face Page of this Contract and where applicable, the related task number from this Work Plan.

Unless otherwise specified in the Work Plan tasks, the Contractor shall submit products in the following formats:

- Draft products: one electronic copy of each product must be submitted in Adobe® Acrobat® Portable Document Format (PDF), created using 300 dpi scanning resolution and Microsoft Word, if applicable.
- Final products: one electronic copy of each product must be submitted in PDF, created using 300 dpi scanning resolution and Microsoft Word, if applicable. In addition, one paper copy of each final product (including reports, designs, maps, drawings, and plans) must be submitted.
- Electronic data for all Geographic Information System-based mapping products must be submitted in either ArcGIS format, or similar product acceptable to the Department, and comply with the requirements for Contract GIS Products. Formal metadata must be provided with all digital GIS data which includes, at minimum, a file summary/abstract, intended use, data, source data, and author information.
- Electronic data for all designs, drawings, and plans must be submitted in the original software that they were created (such as CAD format or other similar product acceptable to the Department), as well as in JPG format.
- Photographs and images must be submitted in JPG format with a minimum resolution of 300 dpi and must be dated and captioned with the location and a brief description of the activity being documented and include any associated metadata (including the photo's GPS location where available).

3. Compliance with Procurement Requirements

The municipal attorney, chief legal officer, or financial administrator for the municipality (contractor) shall certify to the Department of State that the procedures of the municipality, established pursuant to General Municipal Law, Section 104-b, were fully complied with for all contracts for professional services.

4. Project Tasks

The following tasks are required for the project and its components resulting in the **Preparation of an Innovation/ Empowerment District Plan and Marketing Strategy for the Village of Hempstead BOA**.

Products identified for each task must be submitted to the Department for review and approval.

Task 1: Project Initiation Meeting

The Contractor, the Department, and any partners responsible for managing the project, shall hold an initial meeting to review and agree upon the project scope and schedule, project requirements, roles and responsibilities, the selection process for procuring consultants, State Environmental Quality Review Act (SEQRA) compliance requirements, MWBE requirements, ADA requirements, the number of public meetings and techniques for public involvement proposed for the project, and any other information which would assist in project completion. In addition, the composition of a project advisory committee shall be discussed during the project initiation meeting. The Contractor, or a designated project partner, shall prepare and distribute to all project partners a brief meeting summary clearly indicating the agreements reached at the meeting. Work on subsequent tasks shall not proceed prior to Department approval of the proposed approach as outlined in the meeting summary.

Products:

- Project initiation meeting held with appropriate parties. Written meeting summary outlining agreements reached.

Task 2: Project Advisory Committee

The Contractor shall establish a project advisory committee to oversee all aspects of the project in cooperation with municipal officials and the project consultant(s), if applicable. The committee shall be representative of project stakeholders, including representatives of state, county, and municipal agencies with jurisdiction over project activities or the project area, and non-governmental and community-based organizations (the “Public”). A draft list of proposed members shall be provided to the Department for review and approval prior to establishment of the committee.

Products:

- Draft and final list of proposed members of project advisory committee. Project advisory committee established.

Task 3: Consultant Selection and Compliance with Procurement Requirements

Consultant selection is subject to approval by the DOS.

The municipal attorney, chief legal officer, or financial administrator for the municipality (contractor) shall certify to the Department of State that the procedures of the municipality, established pursuant to General Municipal Law, Section 104-b, were fully complied with for all contracts for professional services.

For preparation/certification of final designs and construction documents, a licensed professional engineer, architect or landscape architect licensed to practice in New York State is required.

The Contractor shall prepare the draft subcontract(s) to conduct project work with the selected consultant(s).

The subcontract(s) shall contain a detailed work plan with adequate opportunity for review at appropriate stages of product completion, a payment schedule with payments tied to receipt of products, and project costs.

The Contractor shall submit the draft subcontract(s) to the Department for review of the subcontract work plan for alignment with the appropriate tasks of the work plan as set forth in this contract. The Contractor shall incorporate the Department’s comments on the subcontract work plan, or scope of services, prior to execution of the final subcontract(s). The Contractor remains responsible for the legal sufficiency of the subcontract in accordance with the requirements in the Master Grant Contract and Attachment A-1.

Products:

- Consultant(s) selected and approved by the Department
- Written certification of compliance with procurement procedures
- Draft and final, executed consultant subcontracts

Task 4: Community and Stakeholder Participation

The Contractor shall prepare a Community and Stakeholder Participation Plan of agreed upon public outreach and techniques to ensure meaningful public participation in the planning process. This includes an anticipated schedule of public meetings, other outreach methods and techniques that will be used to ensure public participation throughout the course of preparing the Empowerment District Plan. This shall be completed in coordination with the Advisory Committee, DOS and other key participants.

Products:

- Community and Stakeholder Participation Plan

Task 5: Review Relevant Reports

The Contractor or its consultant(s) shall review any existing conditions and infrastructure reports, detailing the physical, structural, and infrastructure-related challenges on key strategic sites, including 100 Main Street. The Contractor or its consultant(s) shall summarize all relevant information in a concise document.

Products:

- Existing Conditions Summary

Task 6: Incubator Development Assessments for Strategic Sites

The Contractor or its consultant(s) shall complete a high-level assessment, based on existing local code and individual site features, for an incubator and education center. This Development Assessment shall be conducted for up to three sites including, 100 Main Street and two other Brownfield Opportunity Area Strategic Sites. The Development Assessment shall outline factors including land use, ownership, infrastructure, square footage, parking, and other relevant factors. The Contractor shall identify critical infrastructure needs, including utility and transportation. The Contractor shall prepare a draft Incubator Development Assessment document in narrative format with appropriate plans and figures and share such with the Department and the public for review. Comments from the Department and the Public must be addressed to the satisfaction of the Department in subsequent revisions of the documents and before the final Assessment is completed.

Products:

- Draft and Final Development Assessments

Task 7: Development of Conceptual Plans and Financial Pro-Formas for 100 Main Street Site and up to Two additional Brownfield Opportunity Area Strategic Site(s).

The Contractor or its consultant(s) shall prepare a draft program, conceptual plan, and financial feasibility analysis for the proposed anchor site at 100 Main Street, or another strategic site as identified within Task 6. The proposed incubator and education facility on the selected site shall be designed for workforce development and a business incubator center with supporting businesses that create culturally diverse retail opportunities to support the incubator space. The draft plans and pro-forma documents shall be provided to the Department and the Public for review. Based upon input from the Department and the Public, financial feasibility and economic impact, the Contractor or its consultant(s) shall refine its analysis and conceptual designs. Comments from the Department and the Public must be addressed to the satisfaction of the Department in subsequent revisions of the products and before the final Conceptual Plans and Financial Pro-Formas are completed.

Products:

- Draft and Final Development Proposals, including Conceptual Plans and Financial Pro-Forms, for up to three strategic sites including 100 Main Street

Task 8: Identification of Connection Improvement Measures

The Contractor or its consultant(s) shall review the existing constraints and opportunities for physically connecting the downtown with the industrial corridor along Peninsula Boulevard. An assessment of key design and implementation measures shall be considered as well as cost and necessary approvals. The evaluation shall include measures to improve walkability, pedestrian pathways, increased lighting, tree plantings, street furniture and signage to promote economic development, sense of place, and public safety. The proposed improvements shall be provided to the Department and the public for review. Comments from the Department and the Public must be addressed to the satisfaction of the Department in subsequent revisions of the products and prior to the final design established.

Products:

- Draft and Final recommended connection improvements and supporting materials

Task 9: Branding and Marketing Strategy

The Contractor or its consultant(s) shall develop a draft Branding and Marketing Strategy with supporting materials, which shall include an electronic one-page marketing flyer to be included on the BOA website. The Strategy shall cover a minimum of three key Strategic Sites within the BOA. The Branding and Marketing Strategy may include specific site marketing (conceptual site images, proposed uses, site approvals needed) as well as marketing material for the overall BOA community (formal name, logo, messaging strategies, marketing materials, website). The Branding and Marketing Strategy shall be provided to the Department and the Public for review. Comments from the Department and the Public must be addressed to the satisfaction of the Department prior to the final Branding and Marketing Strategy submission.

Products:

- Draft and Final Branding and Marketing Strategy and supporting materials with marketing flyer

Task 10: Final Empowerment District Plan

The Contractor or its consultant(s) shall develop a draft Empowerment District Master Plan with all supporting materials for the BOA Empowerment District. The Plan shall incorporate all previous tasks and findings and make clear recommendations toward the further advancement of the Village of Hempstead BOA Strategic Sites. The draft Empowerment District Plan shall be provided to the Department and the Public for review. Comments from the Department and the Public must be addressed to the satisfaction of the Department in subsequent revisions of the products and prior to the final Empowerment District Plan.

Products:

- Draft Empowerment District Plan
- Final Empowerment District Plan with supporting materials

5. Project Reporting and Close-out

Task 11: MWBE Reporting

Comply with MWBE Reporting Requirements by completing the following actions:

- Submit Form C - Workforce Employment Utilization to report the actual work force utilized for this contract broken down by specified categories (every March 31, June 30, September 30, and December 31).
- Submit Form D - MWBE Utilization Plan to indicate any state-certified MWBE firms selected to work on this contract. Form D must be updated and submitted to the Department whenever changes to the selected MWBE firms occur (addition or removal).
- Record payments to MWBE subcontractors using DOS funds through the New York State Contract System (NYSCS).

Technical assistance for use of the NYSCS system can be obtained through the NYSCS website at <https://ny.newnycontracts.com> by clicking on the “Contact Us & Support” link.

Product:

- Ongoing reporting through NYSCS during the life of the contract

Task 12: Project Status Reports

The Contractor shall submit project status reports semi-annually (every June 30 and December 31) on the form provided, including a description of the work accomplished, the status of all tasks in this work plan, schedule of completion of remaining tasks, and an explanation of any problems encountered.

Product:

- Completed project status reports during the life of the contract.

Task 13: Final Project Summary Report

The Contractor shall work with the DOS project manager to complete the Final Project Summary Report.

Product:

- Completed Final Project Summary Report.

6. Project Responsibilities

The Contractor shall administer the grant, execute a contract with the Department, and ensure the completion of work in accordance with the approved Work Plan and budget.

The Contractor:

- will be responsible for conducting all project work in conformance with the Work Plan included in the executed contract with the Department.
- will be responsible for all project activities including drafting request for proposals and managing subcontracts with consultants and subconsultants.
- will certify to the Department that the procurement record for project consultants and subcontractors complies with the applicable provisions of General Municipal Law.
- will receive approval from the Department for any and all consultant subcontracts before beginning project work.
- will be responsible for submission of all products and payment requests.
- will be responsible for coordinating participation and soliciting comments from local government personnel, project volunteers, and the public.
- will keep the Department informed of all important meetings for the duration of this contract.
- will receive approval from the Department before purchase of any equipment.
- will secure all necessary permits and perform all required environmental reviews.
- will ensure that all materials printed, constructed, and/or produced acknowledge the contributions of the Department to the project.
- will ensure that all products prepared as a part of this contract shall include the NYS Comptroller's contract number as indicated on the Face Page of this contract.
- will ensure the project objectives are being achieved.
- will ensure that comments received from the Department, or other advisory group, are satisfactorily responded to and reflected in subsequent work.
- will recognize that payments made to consultants or subcontractors covering work carried out or products produced prior to receiving approval from the Department will not be reimbursed unless and until the Department finds the work or products to be acceptable.
- will participate, if requested by the Department, in a training session or sessions focused on developing and implementing revitalization strategies. The purpose of the training session(s) is to build knowledge and provide support to community leaders to advance revitalization efforts and complete priority projects.

The Department:

- will review and approve or disapprove of subcontracts between the Contractor and consultant(s) and any other subcontractor(s).
- will participate in initial project kick-off meeting and subsequent meetings that are important to the project.
- will review all draft and final products and provide comments as necessary to meet the objectives.