

RFP-2023-030
Request for Proposals
Art Installation for West Dominick Street Art Walk



Department of Community & Economic Development
Issue Date: August 15, 2023

This document was prepared with funding provided by the New York State Department of State under the Brownfield Opportunity Areas Program

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Full RFP & Appendices will be available electronically at the following location:
<https://www.romerises.com/rfp-2023-030>

Proposal Advertisement

Sealed proposals will be received by the City Clerk of the City of Rome, New York, until 11:00 a.m. local time September 14, 2023, for the following project:

RFP-2023-030

Art Installation for West Dominick Street Art Walk

PROJECT DESCRIPTION

The City of Rome is seeking an artist or team of artists to create permanent artwork to be installed in up to two (2) locations along West Dominick Street.

Project Location: West Dominick Street, Rome, NY 13440

Owner: City of Rome

Owner's Representative: Matthew Andrews
Deputy Director, Department of Community
and Economic Development
198 Washington St., Rome NY, 13440
315-339-7628

Consultant: CLA Site
58 Church Street, Suite 200
Saratoga Springs, New York 12866

Consultant's Representative: Peter Loyola, RLA, ASLA

PROPOSAL OPENING

Proposals will be publicly opened and read aloud at 11:00 a.m., local time, September 14, 2023 at 198 North Washington St., Rome, NY, 13440, Rome City Hall, 2nd Floor, Council Chambers.

PROPOSAL SUBMITTAL & FORMS

All proposals must be received no later than submission deadline listed above. The City of Rome will not accept late submissions. All proposals shall be made along with any required forms. Submittals shall include 8 hard copies and 1 electronic file which shall be enclosed in a sealed envelope marked to the attention of the City Clerk as follows:

RFP-2023-030
Art Installation for West Dominick Street Art Walk
(Bidders Name)

EXAMINATION OF DOCUMENTS

Proposal materials can be inspected at the following locations:

- Department of Community & Economic Development
Rome City Hall
198 North Washington Street, Rome, NY, 13440

PROPOSAL MATERIALS

RFP documents will be advertised electronically at the following locations:

- <http://www.romenewyork.com/treasurer-purchasing/>
- <https://www.bidnetdirect.com/new-york/city-of-rome>
- <https://www.nyscr.ny.gov/>

OFFICIAL RFP HOLDERS LIST

Proposers who intend to submit a proposal must call or email to be placed on the official plan holders list. Proposers that obtain RFP documents from a source other than the issuing office must notify the City of Rome in order to be placed on the official plan holders list to receive addenda and other correspondences. Proposals received from developers other than those on the official plan holders list will not be accepted. To be placed on the plan holder's list you must contact the Department of Community & Economic Development at (315) 838-1726 or dsalisbury@romecitygov.com.

ADDENDA

All questions must be submitted by September 4, 2023.

PRE-PROPOSAL CONFERENCE, & PROJECT QUESTIONS

There will be no formal pre-proposal conference for this project. All questions should be directed towards Danielle Salisbury, at (315) 838-1726 dsalisbury@romecitygov.com.

PROPOSAL SECURITY

None

SPECIAL PROPOSAL LANGUAGE

This project is funded through the New York State Department of State Brownfield Opportunity Areas Program.

MWBE Business Participation

All components of this project are subject to Article 15-A of the New York State Executive Law and New York Code of Rules & Regulations, Title 5 (NYCRR) Parts 140-145, concerning criteria for contractor MBE/WBE Participation.

MINORITY & WOMEN OWNED BUSINESS ENTERPRISE (MWBE) PARTICIPATION REQUIREMENT OF 30% FOR THE PROJECT.

Service-Disabled Veteran-Owned Businesses Participation

Article 17-B of the Executive Law, enacted in 2014, authorized the creation of the Division of Service-Disabled Veterans' Business Development to promote participation of Service-Disabled Veteran-Owned Businesses (SDVOBs) in New York State contracting. The Service-Disabled Veteran-Owned Business Act recognizes the veterans' service to and sacrifice for our nation, declares that it is New York State's public policy to promote and encourage the continuing economic development of service-disabled veteran-owned businesses, and allows eligible Veteran business owners to become certified as a New York State Service-Disabled Veteran-Owned Business (SDVOB), in order to increase their participation in New York State's contracting opportunities. To this effect, the Department of State (DOS) has implemented a Veteran- Owned Businesses (SDVOB) Program, as mandated by Article 17-B.

Empire State Development strongly encourages grantees to make every effort, to the maximum extent possible, to engage certified SDVOBs in the purchasing of commodities, services and technology in the performance of their contracts with the Department.

SERVICE-DISABLED VETERAN-OWNED BUSINESS (SDVOB) PARTICIPATION

REQUIREMENT OF 6% FOR THE PROJECT.

PROPOSAL ADVERTISEMENT NOTES

It is the policy of the City of Rome to encourage the greatest possible participation of minority and women- owned business enterprises (MWBEs). All qualified MWBE suppliers, contractors, and/or businesses will be afforded equal opportunity without discrimination because of race, color, religion, national origin, sex, age, disability, or sexual preference.

The City of Rome reserves the right to reject any or all proposals or to accept any proposals deemed to be in its best interest.

Eric Seelig, Rome
City Clerk

Board of Estimate & Contract Legal Date: 8/15/2023

International Call for Artists: Public Sculpture or Installation

Project Summary

“Honoring the Past, Envisioning the Future”

The City of Rome is requesting proposals from any professional artist or artist teams for a Sculpture or Installation for the West Dominick Street Art District. West Dominick Street is a major commercial corridor that is home to a number of small businesses and a vibrant art community within downtown Rome. This roadway provides residents and visitors access to the Capitol Theatre Complex, restaurants, cafes and art studios. Due to the large presence of the arts and cultural district, the Erie Boulevard BOA recommended public art installations be sited along West Dominick Street as a way to promote the art community and rich history within the City of Rome.

After successfully receiving funding from the New York State Department of State under the Brownfield Opportunity Areas Program, the City is now able to implement this portion of the Erie Boulevard BOA and will site additional art installations to enhance the Art Walk Corridor in the West Dominick Street Arts District. The project seeks to use strategic placemaking via art as a way to strengthen the downtown district, ultimately attracting more visitors and residents. See RomeRises.com/w-dominick-art-walk for more details.

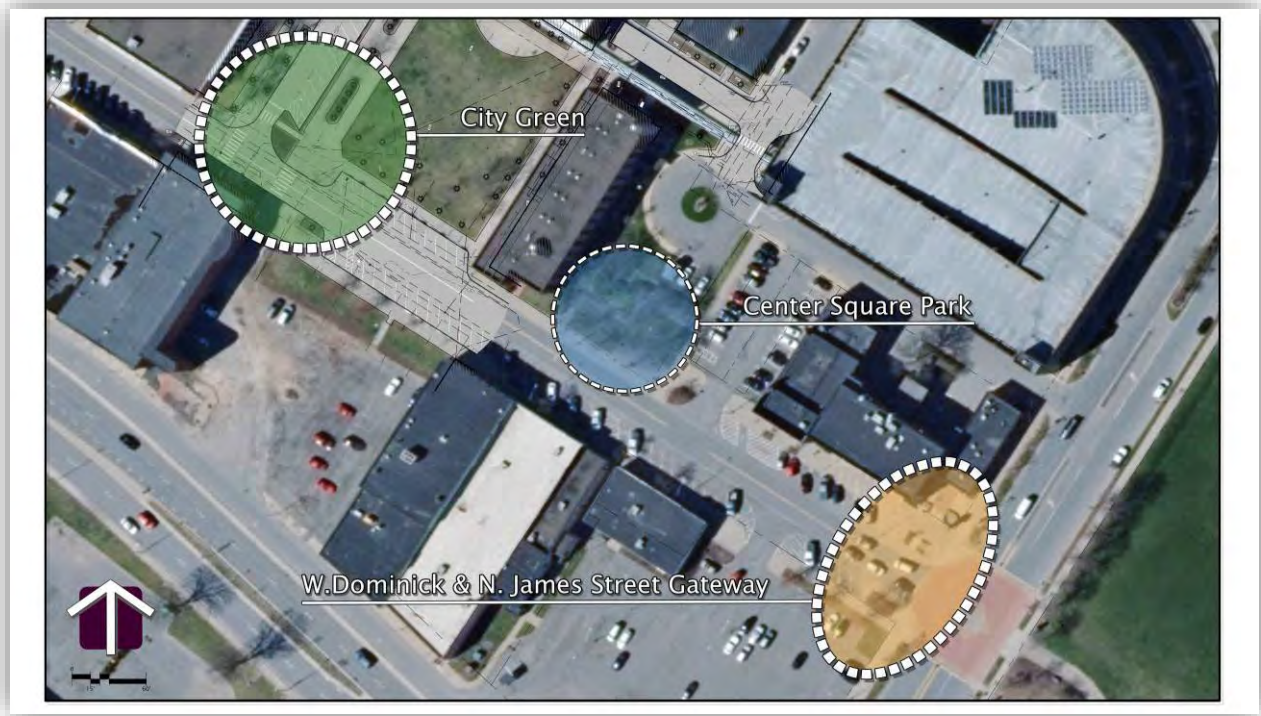
Timeline

- RFP released August 15, 2023
- Proposal Deadline: September 14, 2023
- Installation Complete: April 30, 2024

Project Description

The City of Rome is seeking an artist or team of artists to create permanent artwork to be installed in up to two (2) locations along West Dominick Street. Artists may choose the City Green Site indicated below, and/or the W. Dominick & N. James Street Gateway site. The Center Square Park site may be incorporated into the Art Walk in the future, but is not currently a site to consider for this RFP.

The first site, City Green, artwork must be located in the western corner of the green and/or within the public Right of Way (ROW) adjacent to that area. For the second site, Gateway, the artwork must be located within the public ROW and not impede traffic flow.



The proposed work may be a **sculpture, statue, installation, monument, earthwork or landscape-oriented artwork**. The artwork should meet the following criteria:

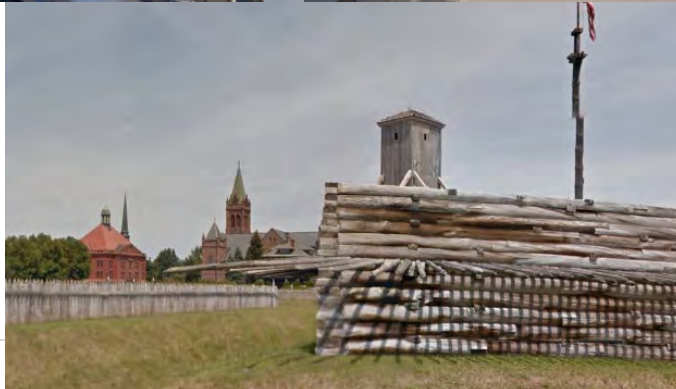
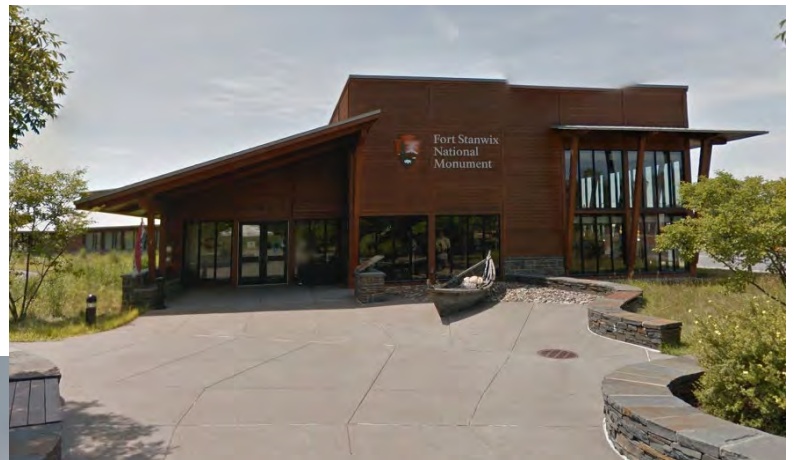
- Durable and visible through four seasons
- Prominent dimensions and features visible to pedestrians on the street-side sidewalk
- Cohesive with the existing Streetscape
- Safe and easily maintained.

The theme of the project as proposed is “Honoring the past, Envisioning the future”. The proposed artwork is encouraged to reflect the identity, history and/or culture of Rome, however, is not required. Proposed sites are used by the public, including children, and subject matter should be appropriate.

Hands-on, interactive, or kinetic aspects are also encouraged but are not required. All public artworks in Rome, NY are exposed to extreme weather variables and physical stresses and could be subject to vandalism. Artwork cannot impede the sidewalk bordering West Dominick Street and North James Street. The artwork should be fabricated of durable, low-maintenance materials.

Contextual Considerations

West Dominick Street and the surrounding area contain elements that should be considered when designing artwork for the site(s). Considerations of note include the Capitol Theatre, the Carrying Place Sculpture, murals, and proximity to local and national historic resources, namely the local Historic District, Bellamy/Gansevoort Historic District, and the Fort Stanwix National Monument.



Submission Requirements and Details

Proposal Requirements: Applicants must submit the following:

1. **Artist Information.** Artist name, email, and phone number. If a team of artists is submitting, submit the name, email, and phone number of the Primary Point of Contact.
 - Teams of artists must include the names and roles of each team member
2. **Curriculum Vitae (CV).** Provide a CV for each artist involved in the project.
3. **Highlighted completed artworks.** Submit up to 20 digital images of at least 1200 pixels on the shortest side, of up to six completed artworks (different views or construction drawings may be submitted)
4. **Statement of Interest.** Provide a statement of interest with narrative description of the proposed project no longer than 5,000 characters. Identify which of the two City sites the artwork will be located- City Green Site or W. Dominick & N. James Street Gateway site or both sites. State the location the artwork will be created and how it will be transported to its final location.
5. **Visual representation.** Visual representation of the proposed artwork is required, either as an image, concept image, or work-in-progress image.
6. **Project Fee.** Fee for the entire project including artist fees, materials, fabrication, delivery, etc.
7. **Timeline for Project Delivery.** Submit a timeline for the project. Artwork must be completed, delivered, and installed by April 30, 2024.

If all the above information is not included in your submission, your proposal is at risk of not being considered at the sole discretion of the City of Rome.

Budget: The budget for the artwork is \$70,000 total all-inclusive for artist's fees, materials, fabrication, delivery, transportation, liability insurance and any other costs associated with producing and installing the artwork.

Foundation: CLA Site is under contract with the City of Rome to design support foundations for the artwork. Installation assistance and/or equipment needs should be stated in the proposal.

Sites: There are two approved sites on the West Dominic Street Corridor. See map on page 7. This proposal seeks proposals for sites 1 and 3 only. Specific dimensions of each site are attached. The artist may propose work at both available locations or a single site.

Eligibility: This call is open to national and international artists and teams. Applicants should have a record of successfully completed projects at larger dimensions; however, emerging public artists will be considered if their demonstrated work and proposal are strong. Applicants should be 18+.

Participation by Minority Group Members, Women and Service Disabled Veterans with Respect to State Contracts: Requirements and Procedures

I. General Provisions

- A. The Housing Trust Fund Corporation (HTFC) is required to implement the provisions of New York State Executive Law Article 15-A and 5 NYCRR Parts 142-144 ("MWBE Regulations"), and New York State Executive Article 17-B and 9 NYCRR Section 252 ("SDVOB Regulations") for all State contracts as defined therein, with a value (1) in excess of \$25,000 for labor, services, equipment, materials, or any combination of the foregoing or (2) in excess of \$100,000 for real property renovations and construction.
- B. Recipient agrees, in addition to any other nondiscrimination provision of this agreement and at no additional cost to the HTFC, to fully comply and cooperate with the HTFC in the implementation of New York State Executive Laws Article 15-A and 17-B. These requirements include equal employment opportunities for minority group members and women ("EEO"), and contracting opportunities for certified minority and women-owned business enterprises ("MWBEs") and Service-Disabled Veteran-Owned Businesses ("SDVOBs"). Recipient's demonstration of "good faith efforts" pursuant to 5 NYC RR § 142.8 shall be a part of these requirements. These provisions shall be deemed supplementary to, and not in lieu of, the nondiscrimination provisions required by New York State Executive Law Article 15 (the "Human Rights Law") or other applicable federal, state or local laws.
- C. Failure to comply with all of the requirements herein may result in a finding of non-responsiveness, non-responsibility and/or a breach of contract, leading to the withholding of funds or such other actions, liquidated damages pursuant to Section VI of this Schedule or enforcement proceedings as allowed by this Agreement.

II. Contract Goals

- A. For purposes of this Agreement, the HTFC hereby establishes a goal of, 20% for Minority-Owned Business Enterprises ("MBE") participation and 10% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs).
- B. For purposes of providing meaningful participation by MWBEs and SDVOBs on this Agreement and achieving the Contract Goals established in Section II-A, Recipient should reference the directory of New York State Certified MBWEs found online, here: <https://ny.newnycontracts.com/FrontEndNendorSearchPublic.asp?TN=ny&XID=4687> and certified SDVOBs found online, here: https://ogs.ny.gov/Neterans/Docs/CertifiedNYS_SDVOB.pdf
- C. Additionally, Recipient is encouraged to contact the Division of Minority and Woman Business Development's assigned Compliance Officer to discuss additional methods of maximizing participation by MWBEs on this Agreement.
- D. Where MWBE goals have been established herein, pursuant to 5 NYCRR §142.8, Recipient must document "good faith efforts" to provide meaningful participation by MWBEs as subcontractors or suppliers in the performance of this Agreement. In accordance with section

316-a of Article 15-A and 5 NYCRR § 142.13, Recipient acknowledges that if Recipient is found to have willfully and intentionally failed to comply with the MWBE participation goals set forth in this Agreement, such a finding constitutes a breach of contract and Recipient shall be liable to the HTFC for liquidated or other appropriate damages, as set forth herein.

III. Equal Employment Opportunity (EEO)

- A. Recipient agrees to be bound by the provisions of Article 15-A and the MWBE Regulations promulgated by the Division of Minority and Women's Business Development of the Department of Economic Development. If any of these terms or provisions conflict with applicable law or regulations, such laws and regulations shall supersede these requirements.
- B. Recipient shall comply with the following provisions of Article 15-A:
1. Recipient and its subcontractors shall undertake or continue existing EEO 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.
 2. The Recipient and its subcontractors shall submit an EEO policy statement (form available) to the HTFC with its Bid Solicitation Plan in accordance with the NYS Homes and Community Renewal (HCR)'s Office of Economic Opportunity and Partnership Development procedures. If Recipient or its subcontractors do not have an existing EEO policy statement, a sample form can be found on the HCR website.
 3. Recipient's EEO policy statement shall include the following language:
 - i. The Recipient or its subcontractors will not discriminate against any employee or applicant for employment because of race, creed, color, national origin, sex, age, disability or marital status, will undertake or continue existing EEO programs to ensure that minority group members and women are afforded equal employment opportunities without discrimination, and shall make and document its conscientious and active efforts to employ and utilize minority group members and women in its work force.
 - ii. The Recipient shall state in all solicitations or advertisements for employees that, in the performance of the contract, all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status.
 - iii. The Recipient shall request each employment agency, labor union, or authorized representative of workers with which it has a collective bargaining or other agreement or understanding, to furnish a written statement that such employment agency, labor union, or representative will not discriminate on the basis of race, creed, color, national origin, sex, age, disability or marital status and that such union or representative will affirmatively cooperate in the implementation of the Recipient's obligations herein.
 - iv. The Recipient will include the provisions of sections (a) through (c) of this subsection, which provides for relevant provisions of the Human Rights Law, in every subcontract in such a manner that the requirements of the subdivisions will be binding upon each subcontractor as to work in connection with this Agreement.

4. Recipient or its subcontractors will comply with both Executive Law Article 15A and Executive Law Article 15, including, but not limited to Section 296.

IV. Request for Waiver

- A. If the Recipient, after making good faith efforts, is unable to comply with the MWBE goals, the Recipient may submit a Request for Waiver (Form PROC-3) documenting good faith efforts by the Recipient to meet such goals. If the documentation included with the waiver request is complete, the Agency(ies) shall evaluate the request and issue a written notice of acceptance or denial within twenty (20) days of receipt.
- B. If HTFC, upon review of the Bid Solicitation Plan, and other supporting documentation including the Bid Solicitation Log and Certification of Good Faith Efforts Utilization Plan 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, the Agency(ies) may issue a notice of deficiency to the Contractor. The Contractor must respond to the notice of deficiency within seven (7) business days of receipt. Such response may include a request for partial or total waiver of MWBE Contract Goals.

Selection Process

A selection panel consisting of the City of Rome and local stakeholders will review proposals and select a finalist based on how well they meet the following criteria:

- Timelessness
- Cohesion with existing streetscape and surrounding area
- Appropriateness (content, sizing, feasibility, etc.)
- Relevance to Rome identity, culture, and/or history
- Durability/visibility
- Safety and Maintenance
- Hands-on, interactive, or kinetic

The selection panel will choose up to three semifinalists and may seek public input after narrowing down proposals. The selected artist or artist team for the project will confer with and get approval from the Selection Panel on final design issues and placement.

Sealed proposals will be received by the City Clerk of the City of Rome, New York, until 11:00 a.m. local time September 14, 2023 and be marked as follows:

West Dominick Street Art Walk (Applicant's Name)

All questions should be directed to Danielle Salisbury at the Department of Community and Economic Development at dsalisbury@romecitygov.com or (315) 838-1726.

Appendices

APPENDIX A- Inspirational concepts

Honoring the Past, Envisioning the Future



WEST DOMINICK STREET ART WALK PROJECT

This presentation was prepared with funding provided by the New York State Department of State under the Brownfield Opportunity Areas Program



Rome Downtown Revitalization Initiative

VISION

WELCOMING

WALKABLE

ARTS, CULTURE, ENTREPRENEURISM

BUSINESS

THRIVE & GROW

LIVE, WORK, PLAY & STAY

Check it Out! <https://www.romerises.com/downtown-revitalization-initiative>

Art Walk District

NORTH & SOUTH MADISON STREET TO N. JAMES STREET



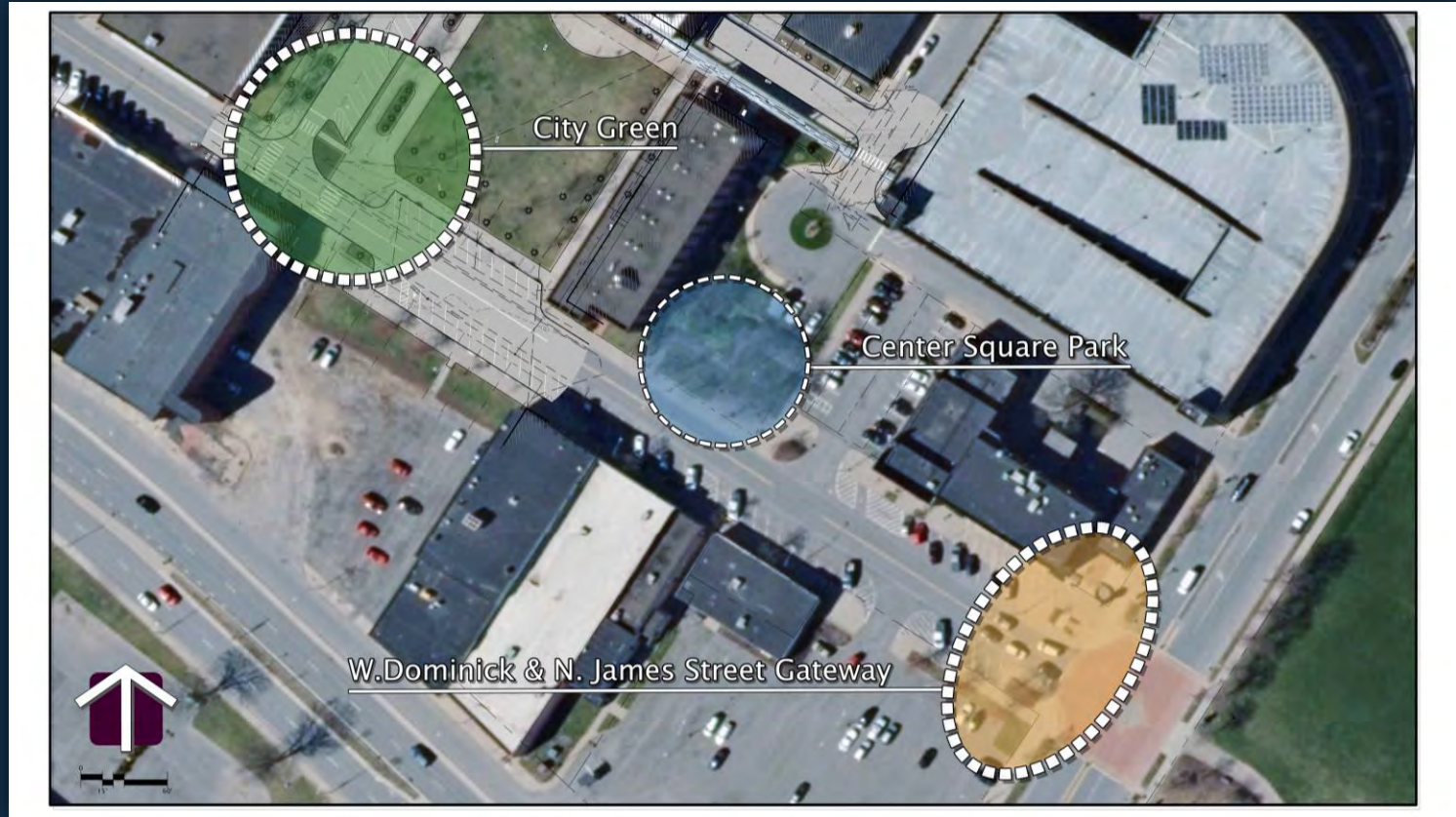
“The Great Carry” Art Plaza

300 BLOCK – WEST DOMINICK STREET ANCHOR



Potential Designated Art Areas

CITY GREEN – CENTER SQUARE PARK – INTERSECTION N. JAMES & W. DOMINICK



PUBLIC ART

PUBLIC ART HAS THE CAPACITY TO INVOKE A GREAT VARIETY OF MEANINGS AND EXPERIENCES



Adding cultural, aesthetic and economic value to the community.

An opportunity to strengthen the community's identity and foster engagement and interactive activities while creating a sense of place.

1. IDENTITY & SYMBOLISM



Work hand and hand to Represent place.

Identity is a key defining factor in what makes a place or a person who they are. It's how they choose to be seen by an outside source, how that person or place presents itself to the world.

Symbolism is a physical code in the landscape that marks or represents a person or place.

Statue of Liberty, NY, NY

"Anonymous Pedestrians" –one of numerous such installations in Wroclaw, Poland.



Identity and Symbolism can take many forms in the landscape and community.



2. NARRATIVE / COMMUNICATION



Unknown artists- Various installations created from car parts involved in fatal accidents. Bogota, Columbia



Illustrate well-known historical, religious, legendary, or mythic stories. Sometimes artists invent their own stories, leaving the viewer to imagine the narrative. Narrative can indicate personal, political and social issues.



Franklin Delano Roosevelt Memorial, Washington D.C.
Lawrence Halprin- installation laid out with four “rooms” that represent each of his four terms as president.

Union Canal,
Fountainbridge,
Scotland



Fort Stanwix –
Battle Scene

3. LANDMARKS

“An object or feature of a landscape or Town that is easily seen and recognized from a distance, especially one that enables someone to establish their location.”



Spirit of Belfast, Dan George. Corn Market, Arthur Square, Belfast

Flamingo, Alexander Calder's 53-foot-tall Sculpture, Federal Plaza, Chicago



4. WAYFINDING

“The process or activity of ascertaining one’s position and planning and following a route.”
Public art can include details and insights into the surrounding landscape, guiding users while displaying cultural, social or political aspects along the way.

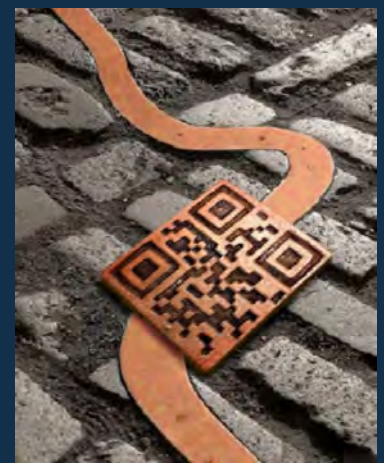
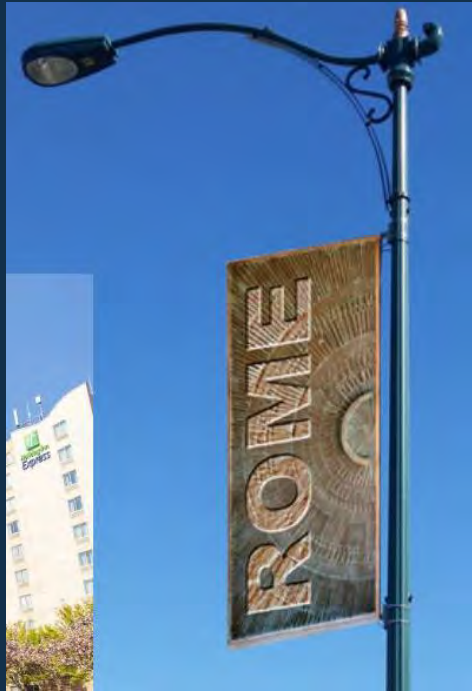


Freedom Trail, Boston, MA-
Physical line in the landscape leads visitors to historic landmarks.

Pamlico Wayfinding, Baltimore, MD-
Butterfly art connects students to a recreation center and arboretum.



Tie the neighborhood together with strategic placement of secondary installations, such as pavement inserts, hanging sculptures and banners.



Embedded QR codes to link to maps and community information for virtual wayfinding resources

5. INTERACTIVE ART

Aims to engage viewers in multiple ways, whether it be physically, mentally, or both. This category of art inherently offers an invitation for the public to become involved in a discussion that can have varying levels of depth and intensity.



Lighted art installations, Seaport, Boston, MA



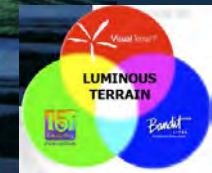
The Crown Fountain, Chicago. Two large screens show 75 different faces collected from people of different races while people interact with fountain.



Highly interactive, universally designed, inclusive art pieces that are kid-friendly and create a sense of community pride. Creates a space that is visual, audible, hands-on and functional for everyday visitors.



River's Edge Park, Council Bluff, Iowa- Interactive lighting games



6. FUNCTIONAL ART

Can replace typical functional items in the landscape, offering a new take on traditional solutions.



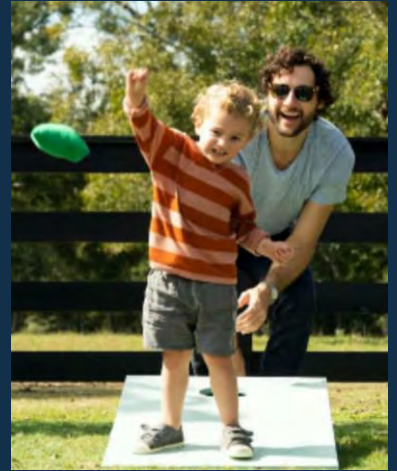
Public Bench, Alberta, CA



Examples
of bike racks
as public art.



Incorporate key elements into everyday functional objects to display Rome's architectural heritage for the enjoyment and celebration of today's residents.



6. RECLAMATION / REVITALIZATION

The transformation of a space from current conditions to new or enhanced. This refers to materials, space, or something symbolic being replaced or reimagined, reclaimed and revitalized space generally have some form of symbolism in reference to their surrounding spaces. Can be a reference towards some historical aspect, celebrating the past, or symbolizing growth and progress from the past.

Rail Park, Philadelphia, PA



World Trade Center Memorial, NY, NY



7. MEMORIALS

Memorials are a Powerful entity that invokes a great deal of emotions to viewers. Memorials can also be utilized for the remembrance of celebratory historical happenings.

9/11 Pentagon Memorial



WWII Memorial, Washington D.C.



7. TEMPORARY / CHANGING ART

Temporary public art is vital to placemaking and civic identity. Its impermanence lends the flexibility to address topical, timely issues, promote diverse artists & styles, spark debate & engagement, and initiate community bonding. It also frees a community to host art in unexpected places, experiment with media, encourage greater collaboration, and spend less money.



Interactive
entertainment art,
NYC



Vancouver, BC

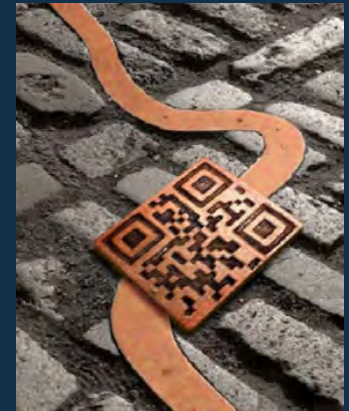


Blood Swept Lands of Seas of Red,
Tower of London, England- temporary
art fundraiser

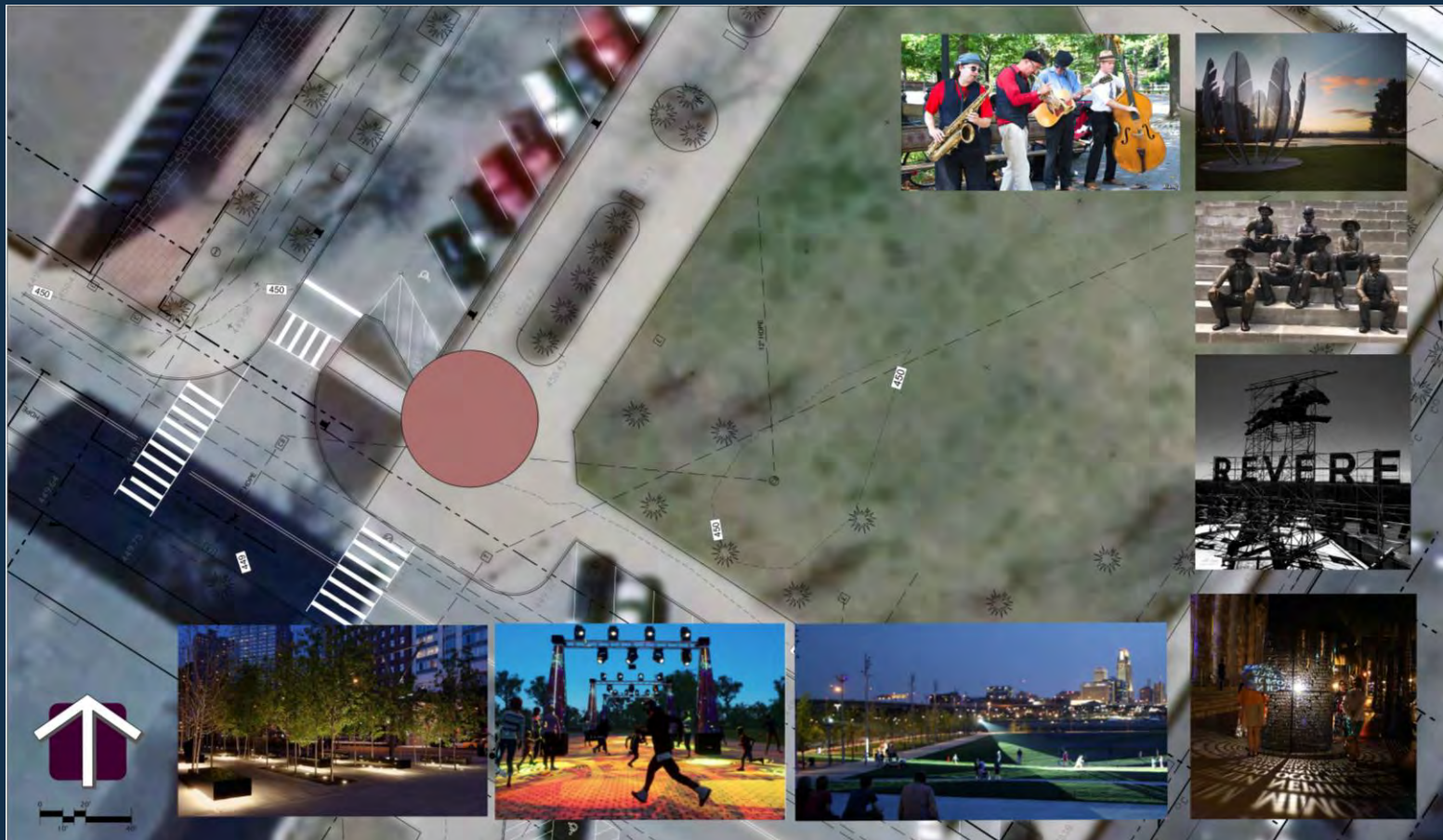


Long Island City,
ever-changing graffiti
walls

Changing virtual displays are less costly and encourage active involvement and use. Embedded QR codes can link to community calendars, local businesses, virtual art galleries, information, etc.

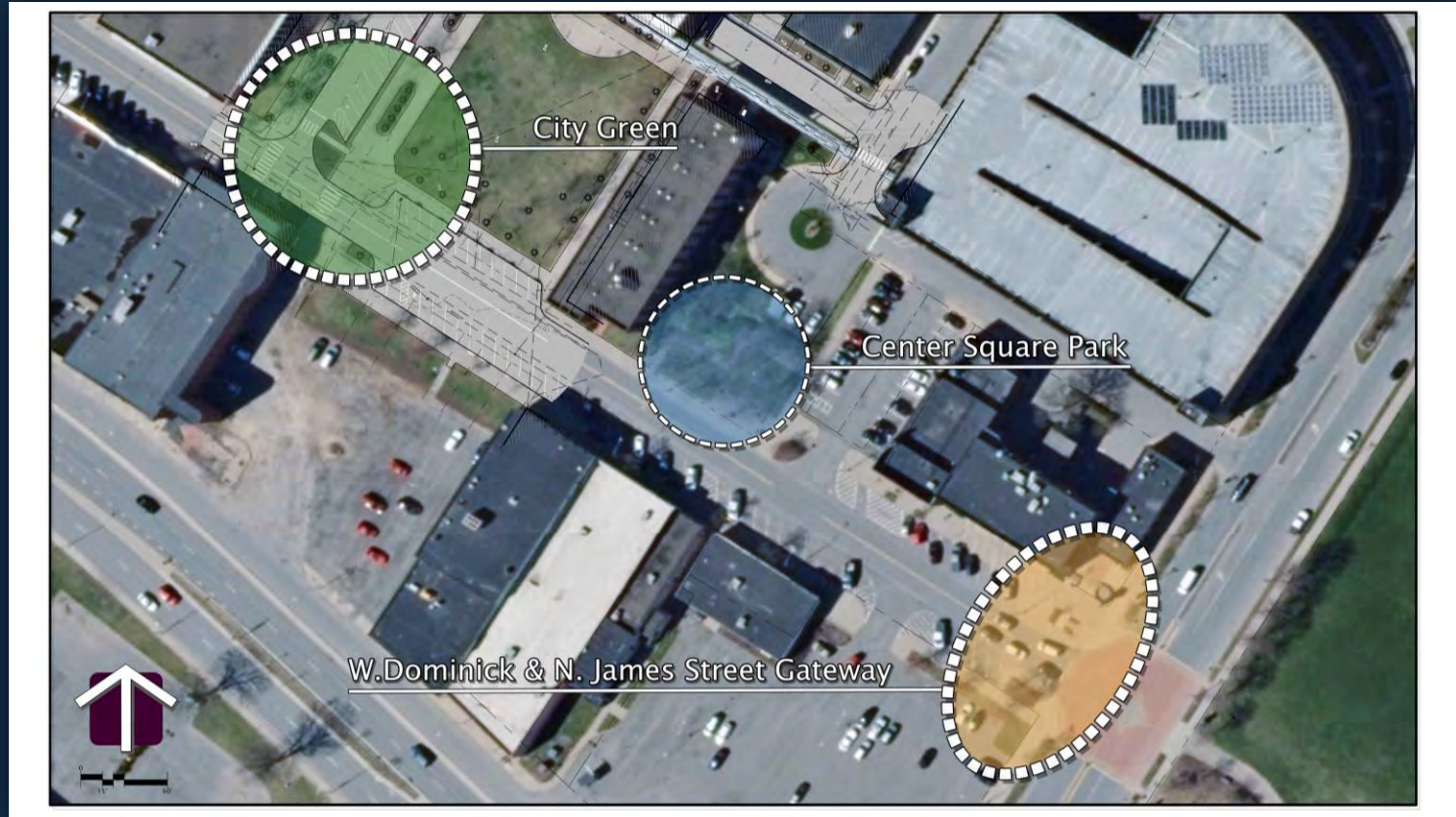


CITY GREEN



Potential Designated Art Areas

CITY GREEN – CENTER SQUARE PARK – INTERSECTION N. JAMES & W. DOMINICK



CENTER SQUARE PARK



W. DOMINICK AND N. JAMES GATEWAY





QUESTIONS,
COMMENTS
and
YOUR INPUT!



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Honoring the Past, Envisioning the Future

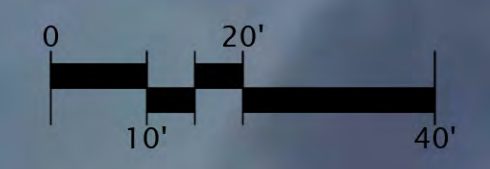
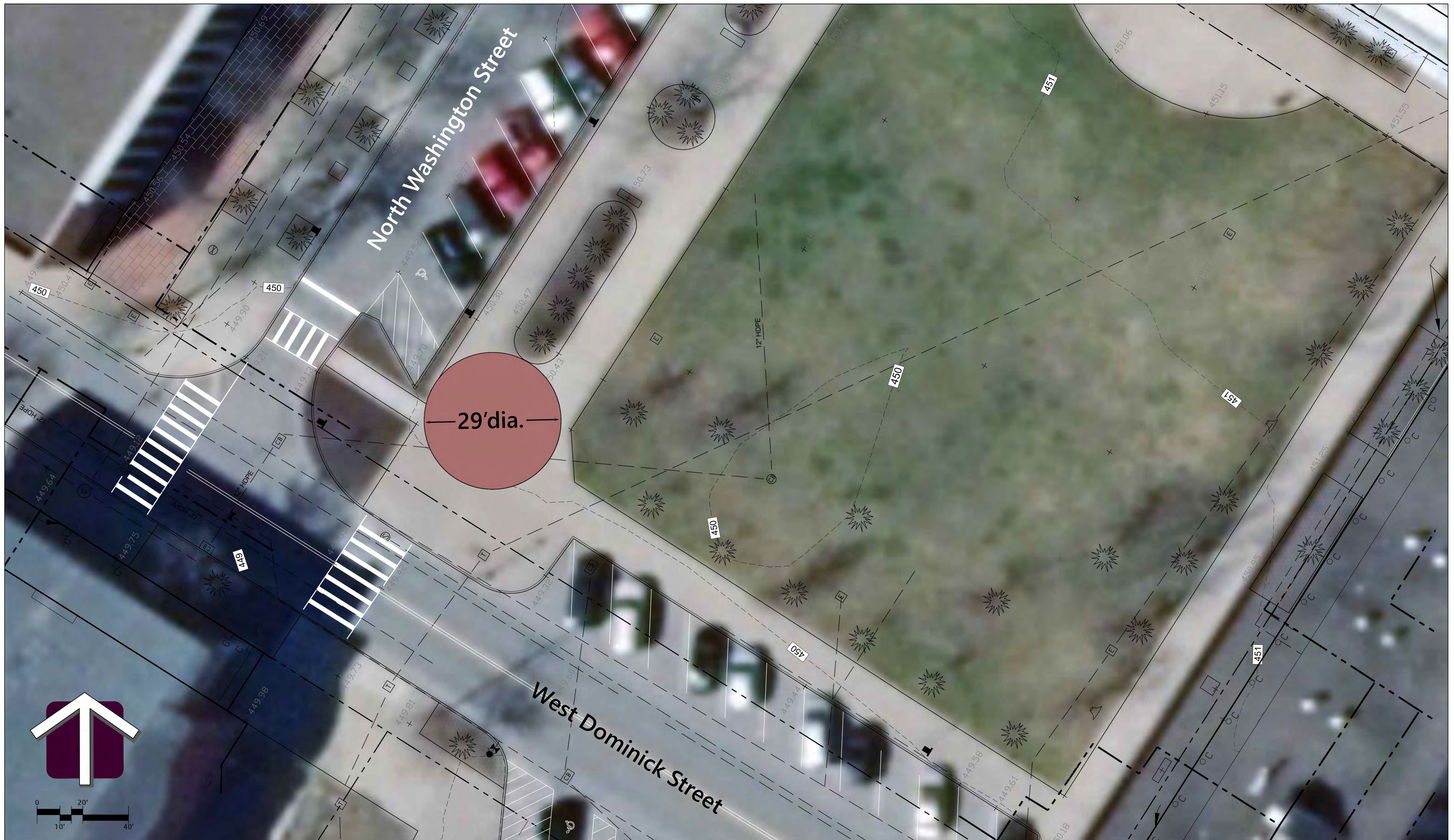
**THANK YOU FOR YOUR
PARTICIPATION AND SUPPORT**

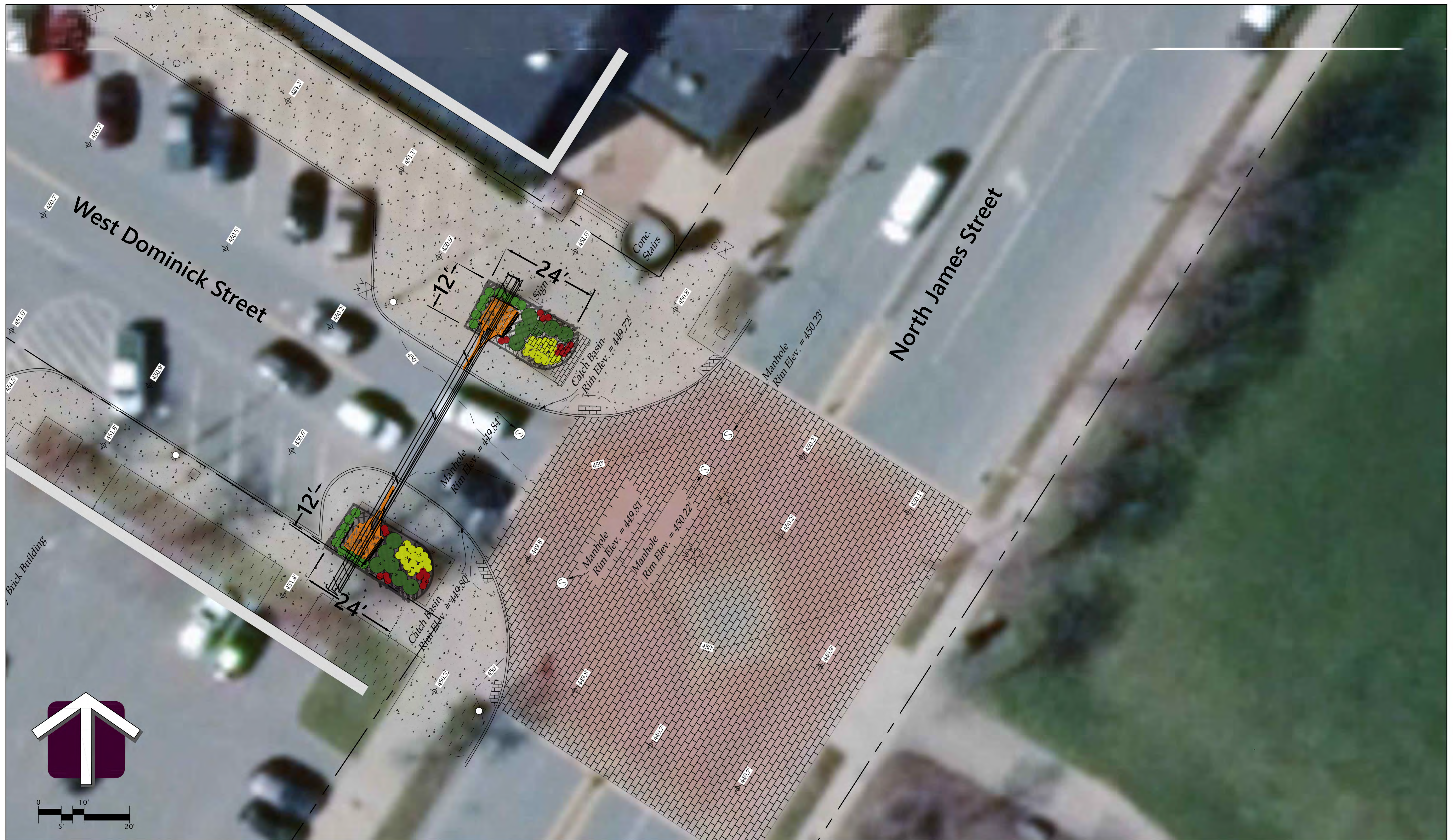


WEST DOMINICK STREET ART WALK PROJECT

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APPENDIX B- Site Specifications





Appendix C- M/WBE and SDVOB Participation Documentation



KATHY HOCHUL
Governor

RUTHANNE VISNAUSKAS
Commissioner/CEO

Contractor Bid Solicitation Plan

Under Articles 15-A and 17-B of the New York Executive Law, all recipients and their contractors are required to make affirmative efforts to ensure that New York State Certified Minority- and Women-Owned Business Enterprises ("M/WBEs") and Service-Disabled Veteran-Owned Businesses ("SDVOBs") are afforded opportunities for meaningful participation in Program activities. Prepare this Bid Solicitation Plan to begin this process.

Form with fields: SHARS ID, LPA Name, Program, Contract Amount, County, Primary Contact Name, Address, Email, Phone, Municipality

I. Goals/Dollar Amount

Table with 2 columns: Amount, Description (Total Contract Amount, Subtract Admin, Amount used to calculate M/WBE goals)

Form with 2 rows: MBE ___ % = \$ _____, WBE ___ % = \$ _____

II. Marketing and Outreach Plan

Outline the planned marketing and outreach efforts for bid solicitations for renovation or professional service contracts to be reimbursed with program funds. Specifically describe plans including pre-bid meetings, methods of bid distribution including direct outreach techniques and names of publications. Provide the names of community or professional organizations available to provide assistance.

Large empty rectangular box for writing the Marketing and Outreach Plan.

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III. List of Firms/Contractors

Visit Empire State Development’s Division of Minority & Women’s Business Development website for a Directory of Certified Firms at <https://ny.newnycontracts.com/> . Provide a list of firms with relevant capabilities that will be included in the bid solicitation process once a procurement process for professional services or renovation activities begins.

Name and Address of Firm	NYS Certified (Check one)			Trade / Capabilities
	MBE	WBE	SDVOB	
1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
9	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
10	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

IV. Certification

The Recipient organization proposes to follow this Contractor Bid Solicitation Plan to ensure that New York State Certified Minority- and Women-Owned Business Enterprises (“M/WBEs”) and Service-Disabled Veteran-Owned Businesses (“SDVOBs”) are afforded opportunities for meaningful participation in Program activities.

Printed Name:	_____
Title:	_____
Date:	_____
Signature:	_____

**MINORITY AND WOMEN-OWNED BUSINESS ENTERPRISES – EQUAL
EMPLOYMENT OPPORTUNITY POLICY STATEMENT**

M/WBE AND EEO POLICY STATEMENT

I, _____ (full name), the _____ (title) agree to adopt the following policies with respect to the project being developed or services rendered for _____ (awardee organization name - LPA)

MWBE

This organization will and will cause its contractors and subcontractors to take good faith actions to achieve the M/WBE contract participations goals set by the State for that area in which the State-funded project is located, by taking the following steps:

- (1) Actively and affirmatively solicit bids for contracts and subcontracts from qualified State certified MBEs or WBEs, including solicitations to M/WBE contractor associations.
- (2) Request a list of State-certified M/WBEs from Agency(ies) and solicit bids from them directly.
- (3) Ensure that plans, specifications, request for proposals and other documents used to secure bids will be made available in sufficient time for review by prospective M/WBEs.
- (4) Where feasible, divide the work into smaller portions to enhanced participations by M/WBEs and encourage the formation of joint venture and other partnerships among M/WBE contractors to enhance their participation.
- (5) Document and maintain records of bid solicitation, including those to M/WBEs and the results thereof. Contractor will also maintain records of actions that its subcontractors have taken toward meeting M/WBE contract participation goals.
- (6) Ensure that progress payments to M/WBEs are made on a timely basis so that undue financial hardship is avoided, and that bonding and other credit requirements are waived or appropriate alternatives developed to encourage M/WBE participation.

EEO

(a) This organization will not discriminate against any employee or applicant for employment because of race, creed, color, national origin, sex, age, disability or marital status, will undertake or continue existing programs of affirmative action to ensure that minority group members are afforded equal employment opportunities without discrimination, and shall make and document its conscientious and active efforts to employ and utilize minority group members and women in its work force on State contracts.

(b) This organization shall state in all solicitation or advertisements for employees that in the performance of the State contract all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex disability or marital status.

(c) At the request of the contracting agency, this organization shall request each employment agency, labor union, or authorized representative for a statement that it will not discriminate on the basis of race, creed, color, national origin, sex, age, disability or marital status and that such union or representative will affirmatively cooperate in the implementation of this organization's obligations herein.

(d) Contractor shall comply with the provisions of the Human Rights Law, all other State and Federal statutory and constitutional non-discrimination provisions. Contractor and subcontractors shall 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.

(e) This organization will include the provisions of sections (a) through (d) of this agreement in every subcontract in such a manner that the requirements of the subdivisions will be binding upon each subcontractor as to work in connection with the State contract.

Agreed to this _____ day of _____, 20____

By _____

Print: _____ Title: _____

_____ is designated as the Minority Business Enterprise Liaison

He/she is responsible for administering the Minority and Women-Owned Business Enterprises-Equal Employment Opportunity (M/WBE-EEO) program.

M/WBE Contract Goals

___% Minority and Women's Business Enterprise Participation

___% Minority Business Enterprise Participation

___% Women's Business Enterprise Participation

Bid Solicitation Log

Under Article 15-A and 17-B of the New York Executive Law, all recipients and their contractors are required to make affirmative efforts to ensure that New York State Certified Minority- and Women-Owned Business Enterprises (“M/WBEs”) and Service-Disabled Veteran-Owned Businesses (“SDVOBs”) are afforded opportunities for meaningful participation in Program activities. Prepare a bid solicitation log to identify all contractors or firms invited to bid on a contract expected to be reimbursed with program funds. Identify the NYS Certified M/WBE or SDVOB firms in the “Certification Type” column.

SHARS ID:	
LPA Name:	
Project Address(es):	
Estimated Project Award Amount:	

Firm Name	Certification Type MBE/WBE/SDVOB	Contact Name	Trade/Capability	Date Work Scope provided to firm	How was scope provided to firm?	Follow-up Phone Call #1	Follow-up Phone Call #2	Will Bid? Y/N	Date Bid Received	Amount of Bid	Bid Selected Y/N	Additional Information
											<input type="checkbox"/>	
											<input type="checkbox"/>	
											<input type="checkbox"/>	
											<input type="checkbox"/>	
											<input type="checkbox"/>	
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Homes and Community Renewal

KATHY HOCHUL
Governor

RUTHANNE VISNAUSKAS
Commissioner/CEO

Office of Economic Opportunity and Partnership Development
Website: hcr.ny.gov

Good Faith Efforts Guide

Program compliance with the New York State Homes & Community Renewal Minority and Women-Owned Business Enterprises (M/WBE) and Service-Disabled Veteran-Owned-Business (SDVOB) policy will be evaluated based upon the use of “good faith efforts” to achieve maximum participation results. Program efforts will be rated by applying the references in the guide and taking into account the following:

- Size of the contract
- Location of the project
- Capability and availability of M/WBE and SDVOB

Specific Recommendations:

- Utilize New York State Directory of Certified M/WBE firms and Office of General Services for SDVOB firms as resources
- Incorporate as part of all subcontracts, provisions of the General Conditions in the contract which relate to, Equal Employment Opportunity (EEO), Minority and Women-Owned Business Enterprises and Service-Disabled Veteran-Owned-Business
- Advertisements placed in periodicals and internet targeting M/WBEs and SDVOBs for recruitment purposes
- Establish contact and working relationships with M/WBE and SDVOB firms
- Ensure solicited and completed follow-ups to M/WBEs and SDVOBs in a timely manner
- Provide M/WBEs and SDVOBs adequate time to review plans/specs and respond to solicitations
- Notify and request assistance from the Office of Economic Opportunity and Partnership Development of difficulties preventing M/WBE and SDVOB participation
- Submit a complete, acceptable Utilization Plan in accordance with the applicable goal requirements for participation, of certified New York State Minority and Women-Owned Business Enterprises and Service-Disabled Veteran-Owned-Business established in the contract
- Document and maintain additional records of “good faith effort” to address project’s goals

CERTIFICATION OF GOOD FAITH EFFORTS

Applicant Name		Primary Contact Name	
Applicant Address		Telephone Number	
City, State and Zip Code		Project Name and SHARS/ID#	

INSTRUCTIONS: Please archive dates and provide a description of the actions taken, for each good faith effort listed on the attached pages. Add documentation, accounts and attach pages as needed to supplement your response. “MWBEs” means Minority and Women Business Enterprises certified by NYS Empire State Development. NYS-certified MWBEs may be found via the searchable database located at <https://ny.newnycontracts.com/> or by contacting Empire State Development Corporation at (518) 292-5250. “SDVOB” Means Service-Disabled Veteran-Owned Businesses certified by NYS Office of General Services. NYS-certified SDVOBs may be found via the list of Certified NYS SDVOBs located on OGS’ website at http://www.ogs.state.ny.us/Core/Docs/CertifiedNYS_SDVOB.pdf or by contacting OGS at (844) 579-7570.

<p><i>a) Describe the specific steps undertaken in order to reasonably structure the contract scope of work for the purpose of subcontracting with, or obtaining supplies from, NYS-certified MWBEs and/or NYS-certified SDVOBs, with specific dates and activities.</i></p>
<p>Before and during project construction the following efforts were made:</p>
<p><i>b) Provide names of publications (including general circulation, trade association or trade-oriented, Minority and Women or Service-Disabled Veterans oriented), dates of advertising, and attach copies of any advertisements.</i></p>
<p>Before and during project construction, the following efforts were made:</p>

<p><i>c) Describe and document the actual solicitations made to NYS-certified MWBEs and/or NYS-certified SDVOBs including dates of solicitation, the names of NYS-certified MWBEs and/or NYS-certified SDVOBs you solicited or, and copies or logs of written or verbal solicitations.</i></p>
<p>Before and during project construction, the following efforts were made:</p>
<p><i>d) For MWBEs and/or SDVOBs you solicited who expressed interest, provide their names and describe specific plans, specifications, requirements or contract documents provided to them.</i></p>
<p>Before and during project construction, the following efforts were made:</p>
<p><i>e) If you received responses to your solicitations but did not select the responding MWBE(s) and/or SDVOB(s) to participate in the project, describe the specific reason(s) the responding MWBE(s) and/or SDVOBs were not selected. Include copies of responses from NYS-certified MWBE bidders and/or SDVOB bidders.</i></p>
<p>Before and during project construction, the following efforts were made:</p>
<p><i>f) Describe and, to the extent permissible by law or contract, provide documentation of such good faith negotiations with NYS-certified MWBEs and/or NYS-certified SDVOBs, including discussions, about: (i) the nature of the work; (ii) scheduling; (iii) requirements for special equipment; and (iv) opportunities for dividing of work among the bidders, proposers, and various subcontractors and the bids of the NYS-certified MWBEs and/or NYS-certified SDVOBs, including sharing with them any cost estimates from the request for proposal or invitation to bid</i></p>
<p>Before and during project construction, the following efforts were made:</p>
<p><i>g) List the names, dates, and locations of pre-bid, pre-award, or other meetings scheduled by NYS HCR, the NYS Department of Economic Development or its designee, or the NYS Office of General Services or its designee to inform MWBEs and/or SDVOBs of contracting, subcontracting or supplier opportunities available that you attended in the past year.</i></p>

Before and during project construction, the following efforts were made:

h) Provide the names of all community organizations, contractor groups, state and federal business assistance offices and other organizations identified by the NYS Department of Economic Development or its designee and/or the NYS Office of General Services or its designee that provide assistance in the recruitment and placement of MWBEs and/or NYS-certified SDVOBs and the dates upon which you used their

Before and during project construction, we made the following efforts:

i) Indicate dates when this office was notified of the problems preventing MWBE and/or SDVOB participation to fulfill the goal requirements.

Before and during project construction, we made the following efforts:

j) For the Affordable Housing Corporation program (AHC), specifically Home Improvement, please describe your bidding practices and/processes when soliciting and hiring MWBE/SDVOB.

Before and during project construction, the following efforts were made:



AFFIRMATION OF INCOME PAYMENTS TO MBE/WBE and/or SDVOB

Each MWBE and/or SDVOB Firm must sign and submit this form to the Contractor. The Contractor/Vendor must submit this form to the Office of Economic Opportunity and Partnership Development by the 5th of each Quarter. Further, utilization of certified minority- and women-owned business enterprises and/or service-disabled veteran owned businesses for non-commercially useful functions may not be counted towards utilization of certified minority and women-owned business enterprises and/or service-disabled veteran owned businesses.

Contractor Information:			
1. Name and Address of Contractor:		2. Project Name or ID/SHARS#:	
		3. Reporting Period (indicate quarter and year)	
		Quarter	Year
Federal ID#:			
Subcontractor Information:			
1. Name and Address of Contractor:		2. Date Contract Started:	
		3. NYS Certified MWBE (check one, if applicable):	
		<input type="checkbox"/> MBE	<input type="checkbox"/> WBE
Federal ID#:		4. Is business a NYS Certified SDVOB?	
		<input type="checkbox"/> Yes	<input type="checkbox"/> No
5. Type of Service Provider (Check one box only)			
<input type="checkbox"/> Construction <input type="checkbox"/> Construction Consultant <input type="checkbox"/> Services <input type="checkbox"/> Commodities			
6. Date(s) Work Performed for which MWBE and/or SDVOB was Paid This Quarter:			
7. Summary of Payments			
a. Total contract amount		\$	
b. Payment received for this reporting period		\$	
c. Total payments received as of this reporting period		\$	

Subcontractor Signature

Subcontractor Printed Name

Date

Contractor Signature

Contractor Printed Name

Date