



## LOWER MANHATTAN DEVELOPMENT CORPORATION

### REQUEST FOR PROPOSALS INTEGRITY SCREENING CONSULTANT

*The Lower Manhattan Development Corporation, ("LMDC") a subsidiary of the New York State Urban Development Corporation d/b/a Empire State Development Corporation, seeks proposals and statements of qualifications to perform integrity screening of entities that seek to do business with LMDC.*

**Lower Manhattan Development Corporation**  
John C. Whitehead, Chairman  
Kevin M. Rampe, President

*April 7, 2003*

**Deadline for responses: May 5, 2003, 5:00 PM EST**

Questions must be submitted in writing no later than April 21, 2003 by facsimile (212-962-2431) to Dyana Lee, Vice President for Investigations. Addenda to this RFP, including responses to any questions, will be posted on the LMDC web site [www.renewnyc.com](http://www.renewnyc.com) by April 25, 2003. LMDC will not accept, and cannot respond to, questions via any other methods.

## I. GENERAL INFORMATION

### A. Mission and Structure of the Lower Manhattan Development Corporation

The Lower Manhattan Development Corporation (“LMDC”) was established in late 2001 to develop and revitalize Lower Manhattan in the aftermath of the September 11, 2001 terrorist attacks. As it relates to the work of LMDC, Lower Manhattan refers to all areas in Manhattan south of Houston Street.

LMDC is a subsidiary of the New York State Urban Development Corporation, doing business as Empire State Development Corporation (“ESDC”), a political subdivision and public benefit corporation of the State of New York, created by Chapter 24 of the Laws of New York, 1968, as amended. LMDC is governed by a sixteen member Board of Directors, eight of whom were nominated by the Governor of the State of New York and eight of whom were nominated by the Mayor of the City of New York.

LMDC is funded by federal appropriations administered by the United States Department of Housing and Urban Development (“HUD”) through its Community Development Block Grant (“CDBG”) program. To date, approximately \$2 billion has been allocated to LMDC under such appropriations and another \$783 million is anticipated through a second grant. (See Defense Appropriations Act of 2002, Public Law 107-117 and Supplemental Appropriations Act of 2002 for Further Recovery from and Response to Terrorist Attacks on the United States, Public Law 107-206).

### B. Overview of Services Requested and the Submission Process

In fulfilling its responsibility of planning and coordinating the development and revitalization of Lower Manhattan, LMDC enters into contracts with consultants, architects, engineers, and other businesses. The LMDC also develops and sponsors programs and resources to enhance the short-term and long-term quality-of-life in Lower Manhattan and provides funding for those initiatives through sub recipients with whom it contracts. LMDC will be entertaining proposals and will need to obtain the services of one or more firms to provide integrity screening of these entities seeking to do business with the LMDC. LMDC may select one or more firms to provide some of the requested services, or LMDC may select a single firm to provide all services requested. Firms interested in submitting proposals to provide such services are required to follow the recommended guidelines and instructions contained in this Request for Proposals (“RFP”). In the event it becomes necessary to revise any part of this RFP, revisions will be provided by addenda posted on the LMDC web site: <http://www.renewnyc.com>.

Proposals should provide a straightforward, complete and concise description of the firm’s capabilities to satisfy the requirements of the RFP. Please prepare eight (8) copies of your proposal and work samples. Each copy of the proposal should be bound in a single volume and include any documentation you may wish to submit.

Firms submitting a proposal in response to this RFP may be required to give an oral presentation of their proposal to LMDC. This oral presentation may provide an opportunity for the firms to clarify or elaborate on the proposal but will in no way change the original submission. Engagement staff should be present at the oral presentation. LMDC's request for an oral presentation shall not constitute acceptance of a proposal.

Proposals must be received no later than 5:00 PM, May 5, 2003. Deliver all proposals to:

RFP/RFQ Processor  
Lower Manhattan Development Corporation  
One Liberty Plaza, 20<sup>th</sup> Floor  
New York, NY 10006  
Attn: Integrity Screening RFP

LMDC reserves the right to reject any or all proposals submitted if such election is deemed to be in the best interest of LMDC. LMDC assumes no obligation, no responsibility and no liability for costs incurred by the responding firms prior to the issuance of a contract.

The current schedule for this effort is as follows:

- April 7, 2003 – RFP Issued
- May 5, 2003 – Responses Due
- May 12-May 16, 2003 – Oral presentations (if necessary)
- May 21, 2003 – Firm Selected

Subject to annual review and approval by the LMDC Board of Directors, the selected firms will be retained for one (1) year with an option for LMDC to renew.

## II. ANTICIPATED SCOPE OF SERVICES

LMDC is seeking one or more firms to assist LMDC in its planning, development and revitalization work in Lower Manhattan. Specifically, LMDC seeks services in connection with the integrity screening of those entities seeking to do business with, or receive grants from, the LMDC. LMDC requests proposals for one or more firms to provide services including but not limited to:

### A. Purpose and Project Area

In an effort to insure that the LMDC makes informed and reasoned decisions when selecting entities to assist it in its planning, development and revitalization work in Lower Manhattan, the LMDC requires those entities to submit a Standard Background Questionnaire (“SBQ”). A proposed recipient of LMDC funds also must submit to a background search. The LMDC will only award a contract to, or enter into a sub recipient agreement with, those businesses that are qualified and responsible. The LMDC seeks the services of a company (the “Integrity Screening Consultant”) who will conduct a comprehensive review and analysis of the accuracy of the responses submitted in the SBQ and the integrity of the entity and its principals. It is anticipated that the LMDC may require one hundred (100) integrity checks to be performed yearly. The Integrity Screening Consultant will thereafter provide reports to the LMDC of the results of its screening.

### B. Scope of Project

It is anticipated that the Integrity Screening Consultant will be required to perform the following services:

- (1) Work with LMDC staff on the development and implementation of the SBQ.
- (2) Conduct a review and analysis of the responses provided on SBQs submitted to the LMDC by among other things, searching available databases, reviewing documents and conducting interviews. The searches should include, but are not limited to, media searches, federal, state and local debarment database searches, federal and state criminal history checks on the entity and its principals; searches for lawsuits, liens, judgments, and bankruptcy filings.
- (3) Consult with LMDC staff on any findings and prepare reports as necessary.

### C. Project Schedule

It is anticipated that in order for the LMDC to accomplish its mission, preliminary reports from the Integrity Screening Consultant, which may be provided orally to the LMDC, will be required five (5) business days from the date of the request by LMDC. At the discretion of the LMDC, written reports may also be required.

### III. SUBMISSION REQUIREMENTS

Please letter your responses exactly as the questions are presented herein, and limit to ten (10) one-sided pages, except work samples, which must be included in a separate, bound, appendix. Interested firms are invited to submit proposals that contain the following information:

#### A. Experience, Structure, and Personnel

1. A history of the firm's experience in providing integrity screening to economic development organizations, municipalities, other governmental entities, private developers, not-for-profits and civic organizations.
2. A description of the firm's organizational structure, including resumes of the principals, project manager(s) and professional staff who would work directly with LMDC.
3. Samples of up to five (5) major projects that the firm has completed in the areas of integrity screening. Include the client, the name of a contact person who is able to provide a reference, a description of the nature of the work, the size and complexity of the project, a sample redacted report, and the amount and the agreed fee arrangements.
4. Any other information that you believe would make the firm's work on behalf of LMDC superior to that of other firms or information about your firm's specialty or particular skill to perform a specific requested service.

#### B. Methodological Approach

1. A description of how the firm intends to address the anticipated scope of services set forth in "Anticipated Scope of Services" detailed in Section II of this RFP, including developing a baseline, an action plan and projected benefits.
2. A statement explaining the firm's approach to integrity screening, including methods employed, analytical techniques and/or models used, etc. The identity of the commercial and public electronic and hard copy databases and other sources the firm intends to use to provide the services required.
3. If the firm is not proposing to provide all requested services, please include a statement of which specific services the firm proposes to provide.

#### C. Fee

1. Total estimated firm fee for completion of the project, and whether the firm would be willing to agree to a cap.
2. The normal hourly rate of each principal and staff member whose resume is provided or whose job category may be required, and the rate used in the proposal.
3. A list of anticipated reimbursable expenses and the rate charged for each.
4. Any reduced fees offered to other municipalities, governmental entities, economic development or nonprofit organizations, and civic organizations.
5. Any other fees or charges.

NOTE: The fee proposal must be submitted in a separate, clearly marked, sealed envelope. The fees will not be opened until all proposals have been initially evaluated. Although proposed fees will be taken into account, LMDC reserves the right to negotiate a lower or different fee structure with any firm that is selected.

D. Contact Information (NOTE: does not count toward ten (10) page limit)

On a single cover sheet in your proposal, please provide:

1. The lead firm or individual name;
2. The lead firm's contact person;
3. License or certification information of lead firm principal or individuals working on the LMDC project;
4. Telephone, fax, and wireless numbers for firm principals or individuals working on the LMDC project;
5. E-mail address for firm principals or individuals working on the LMDC project;
6. The Street address of lead firm or individual;
7. The year the firm or individual practice established;
8. The MBE/WBE status of the firms (Minority-owned Business Enterprise or Women-owned Business Enterprise, as certified by New York State);
9. The type of work or specialty and size of firm; and
10. The signature of the lead individual, and the date of the signature.

E. Conflicts of Interest (NOTE: does not count toward ten (10) page limit)

1. Submit a statement describing any potential conflict of interest or appearance of impropriety, relating to other clients of the firm, or officers, directors, and employees of LMDC, that could be created by providing services to LMDC.
2. Indicate what procedures will be followed to detect and notify LMDC and to resolve any conflicts of interest.
3. Indicate any pending litigation and/or regulatory action by any oversight body or entity that could have an adverse material impact on the firm's ability to serve LMDC.
4. Indicate if the firm has ever had a prior contract with any governmental entity terminated for any reason, and provide an explanation.
5. Submit a completed Standard Background Questionnaire (Attachment 3).

- F. Non-discrimination Policy (NOTE: Does not count toward ten (10) page limit)
1. Firms with 50 or more employees shall submit a copy of their nondiscrimination or affirmative action plan.
  2. Firms with less than 50 employees shall submit a statement of their commitment to equal opportunity and affirmative action from their chief executive officer.
  3. Each responding firm must also complete and submit both
    - (a) Attachment 1 relating to the anticipated workforce to be utilized on the contract, and
    - (b) Attachment 2 relating to the anticipated participation of minority and women-owned business enterprises as subcontractors, if any.

#### IV. CRITERIA FOR SELECTION

In evaluating proposals submitted pursuant to this request, LMDC places high value on the following factors, not necessarily in order of importance:

- Approaches in methodology with respect to the anticipated scope of services that demonstrate maximum comprehension of and ability to provide such services to LMDC.
- Experience of the firm and the employees to be assigned to the project in general, and in particular, providing vendor integrity screening to municipalities, economic development organizations, or other governmental entities.
- Quality of work product as demonstrated in submitted work samples.
- Demonstrated knowledge of unethical or integrity issues that may be uncovered during the course of a background investigation.
- Experience of the firm with comparable projects.
- Innovative or outstanding work by the firm that demonstrates the firm's unique qualifications to provide integrity screening.
- Number, complexity, and nature of integrity screening projects handled by the firm.
- Selected firm's staff ability, availability and facility for working with LMDC directors, officers, staff and consultants.
- Availability to the firm of proprietary information that may be used for integrity screening.
- Technical expertise of the firm in conducting database research, surveillances, interviewing witnesses, and other investigative steps as may be required.
- Projected cost of services.

## V. CONTRACT TERMS AND REQUIREMENTS

The contents of the proposal prepared by the successful firms, with any amendments approved by LMDC, will become a part of the contract awarded as a result of this RFP Process. [The terms outlined throughout this RFP should be considered all inclusive.]

The selected firms will be required to:

- Work with LMDC staff and its consultants to provide integrity screening services to LMDC on matters that may arise in connection with the planning, development, and revitalization of Lower Manhattan.
- Maintain accurate accounting records and other evidence pertaining to costs incurred in providing services, and on LMDC request, to make such records available to LMDC at all reasonable times during the contract period and for six (6) years after the date of the final payment to the firms under the contract.
- Assume sole responsibility for the complete effort as required by this RFP, and be the sole point of contact with regard to contractual matters.
- Refrain from assigning, transferring, conveying, subletting or otherwise disposing of the contract or its rights, titles or interest therein or its power to execute such agreement to any other person, firm, partnership, company, or corporation without the prior consent and approval in writing of LMDC.
- Comply with applicable law governing projects initiated or supported by LMDC, including all applicable HUD requirements and regulations.

LMDC may hire more than one firm that responds to this RFP. LMDC has no preference that all services be provided by the same firm and firms may choose to submit qualifications to provide less than all of the anticipated scope of services. Responding firms must specify which services they are proposing to provide. LMDC will review all proposals without prejudice regarding which services are proposed.

LMDC reserves the right to terminate any contract entered into as a result of this RFP at any time, provided that written notice has been given to the firm at least thirty (30) days prior to such proposed termination date.

## VI. MISCELLANEOUS CONDITIONS

### A. Obligation Only on Formal Contract

The issuance of this RFP and the submission of a response by any proposing firms or the acceptance of such response by LMDC do not obligate LMDC in any manner. Legal obligations will only arise on the execution of a formal contract by LMDC and the firms selected by LMDC. Responses to this RFP will be prepared at the sole cost and expense of the proposing firms. No materials submitted in response to this RFP will be returned.

### B. LMDC Reservation of Rights

LMDC may (i) amend, modify, or withdraw this RFP, (ii) revise requirements of this RFP, (iii) require supplemental statements or information from any firm, (iv) accept or reject any or all responses hereto, (v) extend the deadline for submission of responses thereto, (vi) negotiate or hold discussions with any respondent and to waive defects and allow corrections of deficient responses which do not completely conform to the instructions contained herein, and (vii) cancel this RFP, in whole or in part, if LMDC deems it in its best interest to do so. LMDC may exercise the foregoing rights at any time without notice and without liability to any proposing firm or any other party for their expenses incurred in the preparation of the responses hereto or otherwise.

### C. Nondiscrimination and Affirmative Action Policies

It is the policy of the State of New York, and the LMDC, to comply with all federal, State and local laws, policies, orders, rules and regulations which prohibit unlawful discrimination because of race, creed, color, national origin, sex, sexual orientation, age, disability or marital status, and to take affirmative action in working with contracting parties to ensure that Minority and Women-owned Business Enterprises (M/WBEs), Minority Group Members and women share in the economic opportunities generated by LMDC's participation in projects or initiatives, and/or the use of LMDC funds. LMDC is a subsidiary of the Empire State Development Corporation (ESDC) and its non-discrimination and affirmative action policy will apply to this contract. LMDC has established a 20% M/WBE participation goal for the entire redevelopment project. The selected firm shall be required to use its best efforts to provide for the meaningful participation of United States M/WBE's, Minority Group Members and women in the execution of this contract. A copy of each responding firm's equal employment opportunity policy statement, Attachment 1 relating to the anticipated workforce to be utilized on the contract and Attachment 2 relating to the anticipated participation as subcontractors of M/WBEs, shall be included as part of the response to the RFP. The ESDC Affirmative Action Unit (AAU) is available to assist you in identifying M/WBEs certified by the State of New York that can provide goods and services in connection with the contract. If you require M/WBE listings, please call the AAU at (212) 803-3224.