

**Lower East Side Conservancy**

**Lower East Side Visitor/Cultural Center at Beth Hamedrash Hagadol**

**REQUEST FOR PROPOSAL – Architectural Firms**

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## **Lower East Side Conservancy**

### **Lower East Side Visitor/Cultural Center at Beth Hamedrash Hagadol**

#### **REQUEST FOR PROPOSALS – Architectural Firms**

##### **I. Overview of Services Requested**

The Lower East Side Conservancy (LESC) is seeking the services of an Architectural firm (Firm) in connection with the **Phase I – Feasibility Study, Exterior Building Stabilization & Restoration** for the Beth Hamedrash Hagadol Synagogue. The intent of the project is to explore options and prepare schematic designs for the adaptive-use of the synagogue. The firm will also prepare design and construction documents and provide construction administrative services for the stabilization and restoration of the building exterior. (Please see **Section III** for a more detailed description of the anticipated **Scope of Work**.)

##### **Submission Process**

Firms interested in submitting proposals must follow the recommended guidelines and instructions contained in this section as well in the **Submission Requirement** guidelines of the this RFP (see **Section IV**)

By submitting a written proposal, each firm will be deemed to agree that the LESO shall thereby be assigned ownership of the drawings and other documents and materials prepared for the RFP and submitted with the proposal and any design concepts expressed therein (and all copyright or other pertaining thereto) excluding of course the firm's brochures, and any designs or materials relation to other projects included as examples or for reference to the firm's work for other clients.

The LESO may conduct interviews with responding firms to explore further or clarify information provided in their proposals. Respondents responsible for the preparation of the proposal should be present at the interview. Request for an interview shall not constitute acceptance of a proposal.

The LESO reserves the right to reject any or all proposals submitted if such election is deemed to be in the best interest of the LESO. The LESO assumes no obligation, no responsibility, and no liability for costs incurred by the responding firms prior to the issuance of a contract. The LESO reserves the right to negotiate with one or more firms submitting proposals and to accept any bid or negotiated proposal which the LESO deems best or most appropriate for purposes of the project and the public interest, whether or not lower in the aggregate or in any detail than any other proposal.

Proposals must be received no later than 6:00 PM May 1, 2009. Deliver all hard copy proposals to:

##### **Lower East Side Conservancy**

Attn: Joseph Cunin, Project Manager  
235 East Broadway, New York, NY 10002  
Email: josephcunin@nycjewishtours.org

The current schedule for the posting and selection of architectural firms is as follows:

May 6, 2009 - RFP Issued/Posted

May 18, 2009 - Deadline for submitting questions \*\*

May 25, 2009 - Response to Questions

June 1, 2009 Proposals Due

June 15, 2009 Firm Selected

\*\*Please submit copies of all questions via email to:

Joseph Cunin, Project Manager – josephcunin@nycjewishtours.org

## **II. Project Overview**

### **Organization Background**

The mission of the LESC is to celebrate, preserve and share the Jewish heritage of the Lower East Side of New York City. Programming seeks to support, enhance and activate the Lower East Side's community of living synagogues and other historic structures and to raise public awareness of the Lower East Side's distinct cultural identity.

Major program efforts have concentrated on heritage tourism, historic preservation, and local economic development. Rapid change in the community has been accompanied by a loss of both the traditional physical and cultural fabric and what remains has become less visible within a new multi-cultural mix. To preserve and share this precious heritage, the Conservancy conducts tours of the neighborhood and hosts heritage events in historic spaces for thousands of visitors annually. The response to these programs by the public has been enthusiastic; resulting in a significant expansion in our educational and cultural programming

### **Populations Served**

The LESC's core audience consists of visitors from New York City, the tri-state area, throughout the United States, and tourists from around the world. In addition, a large number of our visitors are families with a connection to the Lower East Side and an interest in modern Jewish history and heritage, and a range of adult groups from a range of organizations. The LESC serves thousands of school children and teachers from a range of cultural and socioeconomic backgrounds, as well as university students and scholars.

### **Project Background**

In order to respond effectively to the demand for our programs, the Conservancy now requires an organizational home: a starting point for all tours, for exhibits and arts workshops, to conduct our interactive educational curriculum and children's programs, and enough space to grow our wide range of cultural, educational and historic initiatives. In addition, the restored space at Beth Hamedrash Hagadol will serve as a Lower East Side Visitors Center, serving the visiting public and showcasing all that the rich tapestry of our multi-dimensional community has to offer. Creation of a central venue for visitor orientation is part of the infrastructure building which is necessary to further the Conservancy's efforts. Finally, there are few large spaces on the Lower East Side for large-scale public meetings. Once restored, this space will also serve as a community gathering place – open and available when large numbers of people need to congregate.

The work to be provided under this portion of the program has been funded by a grant from by the Lower Manhattan Development Corporation (LMDC) which is re-granting funds provided by the United States Department of Housing and Urban Development (HUD) as part of the Community Development Block Grant (CDBG) intended to mitigate the impact of the September 11 attack.

### **III. Anticipated Scope of Work**

#### **A. Feasibility Study – Market Study**

1. Meeting with Client representative to establish project objectives
2. Economic and Demographic Overview
3. Market Analysis Overview by Real Estate Use
4. Market Position and Demand Forecast
5. Progress meeting with Client representative
6. Final Recommendations in coordination with the Architect
7. Preparation of Report summarizing the results of the Market Study
8. Presentation meeting with Client representatives

#### **B. Feasibility Study -Program Development and Conceptual Designs**

1. Meeting with Client representatives to establish project objectives
2. Preparation of CAD base drawings including plans, sections and interior elevations as required.
3. Survey and analysis of existing conditions
4. Coordination with designated Owner's representatives and Market Feasibility Study Consultants regarding their recommendations for two (2) alternative development scenarios
5. Meeting with Client representatives to establish program requirements from the two (2) recommended development scenarios
6. Review of program requirements for each of the two development scenarios, including related code, zoning and barrier-free requirements
7. Preparation of a conceptual design for each of the two development scenarios.
8. Preparation of conceptual design recommendations for structural, MEP and fire safety systems, related to the recommended development scenarios and design schemes
9. Preparation of budget cost estimates for each of the two schemes
10. Preparation of brief report outlining development schemes
11. Presentation meeting with Client representatives

#### **C. Feasibility Study - Schematic Design for Adaptive-Use**

1. Based on the development scheme selected and approved by the Client, preparation of schematic design, including plans, elevations, and sections. Selection of major material palette, including finishes. The proposal will allow for a maximum of two (2) design schemes.
2. Recommendations for probes and tests, such as paint analysis
3. Schematic design of structural, MEP, and fire protection systems
4. Design recommendations for exterior restoration
5. Preparation of preliminary budget cost estimates
6. Informal review with the Landmarks Preservation Commission staff and the State Historic Preservation Office
7. Presentation meetings with the Owner's representatives.

#### **D. Existing Exterior Condition Survey**

1. Preparation of CAD base drawings, i.e., roof plan and exterior elevations
2. Survey and analysis of existing exterior conditions
3. If required, Identification of probe locations to expose hidden conditions  
Note: Probes shall be done by a contractor retained by the Owner
4. Based on an analysis of the information obtained through the survey and probes, preparation of recommendations for exterior stabilization and restoration work.
5. Preparation of budget cost estimates

6. Preparation of brief written report summarizing the results of the exterior condition survey and recommendations with annotated drawings and photographs
  7. Meeting with the Client representatives to present the results of the survey
- E. Preparation of Contract Documents for Exterior Stabilization and Restoration**
1. Based on the scope of exterior work approved by the Owner, design and preparation of contract documents for Exterior Stabilization and Restoration, i.e. drawings, specifications and general conditions
  2. If required, signing and sealing of drawings for filing with the NYC Department of Buildings (DOB)
  3. Filing with the New York State Historic Preservation Office and New York City Landmarks Preservation Commission
- F. Bidding Phase for Exterior Stabilization and Restoration**
1. Assistance in soliciting bids from qualified contractors.
  2. Attendance at a Contractor's pre-bid meeting
  3. Issue bid clarifications as required.
  4. Review and analysis of Contractors' bid proposals
  5. Assistance to the Owner in the award of the contract
  6. Preparation of AIA Agreement between Contractor and Owner
  7. Coordination with State Historic Preservation Office regarding grant submission requirements
- G. Construction Phase for Exterior Restoration and Restoration**
1. Coordination with Owner's Representative
  2. Review of shop drawings, field samples and other submittals
  3. Periodic site observations to determine general conformity of work with Contract Documents
  4. Review Contractor's Applications for Payment
  5. Preparation of punch list
  6. Coordination with State Historic Preservation Office
  7. Project sign-off for the Department of Buildings, Landmarks Preservation Commission and State Historic Preservation Office.

Note: Bidders may choose to exclude the **Feasibility Study – Market Study** portion of the Scope of Work from their proposals. The owner retains the right to separately bid this portion of the project. If the bidder includes the Feasibility Study – Market Study, the price for this portion of the project must be clearly indicated.

### **III. Submission Requirements**

Proposals should provide a straightforward, complete and concise description of the firm's capabilities to satisfy the requirements of the RFP. Please prepare: one (1) hard copies and one (1) electronic copy of your proposal and work samples. The hard copy of the proposal should be bound in a single volume and include any documentation you may wish to submit. Submissions should not exceed twenty (20) one-sided pages not including supporting documentation. Proposals will be evaluated based on qualifications, experience, proposed staffing, methodology, and proposed fee.

Please note, all information and documentation requested below must be included or addressed for submissions to be deemed complete and eligible for consideration.

Please respond to the following:

#### **Qualifications, Experience, and Staffing**

- Provide a history of the Consultant's experience working with projects of similar size and scope, specifically the adaptive use of historic religious structures.
- Provide a history of the firm's experience working with economic development corporations, municipalities, state and federal government agencies, private developers and civic organizations.
- Provide an overview of the firm's work. Please include in the appendix, at least, three (3) examples of significant projects complete in preferably involving historic preservation and adaptive use components, where the firm acted in the capacity of lead Architect overseeing and coordinating the work of other firms and professional experts in their field. Please include budget size of projects, name of clients and sub-consultants with contact information, your scope of work, and your fees for services.
- Describe your organizational structure, specifically identifying those individuals who would be assigned to work directly on the project with the LESC. Please include resumes of key staff in the appendix.
- Describe the unique qualifications and relevant work experience of staff that would be designated to work with the LESC on this project.
- Demonstrate capacity of the Consultant to designate appropriate principal and support staffing for the duration of a project of the size and scope described in the RFP.
- Demonstrate ability of the Consultant to comply with the selection criteria as outlined in Section V - Selection Criteria.
- Provide at least three (3) references for each of clients and sub-consultants. Include the projects worked on and contact information, including name, title, address, telephone number, and email address.
- Provide a list of recommended sub-consultants you would submit to the LESC for approval to work on this project based on the scope of work described in this RFP. The LESC recognizes that this list may not be all-inclusive at this point of the development phase.

#### **Methodology**

- Describe the firm's philosophy in working with clients, in general, and how it would envision working with the LESC team.
- Describe how the firm will address the scope of work set forth in this RFP.
- Describe the firm's general practice in identifying and working with sub-consultants. Of particular interest are levels of oversight and coordination, and how findings are concluded and incorporated into a comprehensive plan.

- Describe how the firm will promote the participation of minorities and women on this project. If appropriate, please identify Minority and Women-owned business Enterprises (M/WBE) subcontractor business participation outlining the responsibilities, key staff, and qualifications.

#### **Fee**

- Please provide a proposed Fee for all services based on the scope of work described in this RFP, inclusive of all sub-consultants' costs.
- Provide a fee schedule that corresponds to each section of the Anticipated Scope of Work.
- Provide the hourly rate for all principals and staff used in the calculation of the fee for the proposed project.
- List anticipated reimbursable expenses and the rate charged for each without markup.
- Please indicate any reduced fees offered to organizations as not-for-profit under Section 501(c)(3) of the Internal Revenue Service, and if these fees were incorporated into the Consultant's proposed fee.
- If any, indicate other fees or charges not included in the Consultant's proposed fee.

#### **Contact Information**

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

- The lead firm or individual name;
- The lead firm's contact person;
- License of certification information of lead firm principal or individuals working on the project;
- Telephone, fax, and wireless numbers for principals or staff working on the project;
- Email address of firm principals and staff who would work on the project;
- The street address of the firm;
- The firm's founding year;
- The M/WBE status of the firms, if applicable;
- The type of work or specialty and the size of the firm; and
- The dated signature of the firm's principal.

#### **Conflict of Interest**

- Submit a statement describing any potential conflict of interest or appearance of impropriety, relating to other clients of the Consultant, or officers, directors, and employees of the LESC or other groups involved in the rebuilding of Lower Manhattan, that could be created by providing services to the LESC. If no conflict of interest exists, provide a letter stating that no conflict exists.
- Indicate what procedures will be followed to detect and notify the LESC to resolve any conflicts of interest.
- Provide a list of projects the Firm would be engaged in simultaneous to the Lower East Side Visitor Center. Describe what resources the Firm has to support these endeavors.
- Indicate any pending litigation and/or regulatory action by any oversight body or entity that could have and adverse material impact on the firm's ability to meet its obligations to the LESC.

#### **Nondiscrimination Policy**

- Firms with 50 or more employees shall submit a copy of their nondiscrimination or affirmative action plan.
- Firms with fewer than 50 employees shall submit a statement of their commitment to equal opportunity and affirmative action from their chief executive officer.

#### **IV. Selection Criteria**

The LESC requires the firm to meet and document the following minimum qualifications to be eligible for consideration.

- 5 years experience providing architectural services for projects of similar scope and size specifically adaptive use of historic structures.
- Experience as the lead architect on three (3) projects similar in nature and scale, including one where firm has done substantial architectural design for a leading cultural institution with a construction budget of at least \$2 million.
- Approaches in methodology with respect to the anticipated scope of services that demonstrate maximum comprehension of and ability to provide such services to the LESC.
- Experience working on at least three (3) projects in urban environments.
- Experience working with multiple institutions.
- Experience managing multiple subcontractors on a single project.

In addition to the aforementioned criteria for eligibility, the LESC will consider the following in evaluating proposals:

- Level of excellence as demonstrated by submitted examples of past projects of similar scope and size.
- Level of excellence as demonstrated by the experience of past clients and subcontractors of the design firm.
- The ability of the firm to complete projects with fast-track schedules and to maintain project budget.
- Experience working on complex projects involving numerous stakeholders including government agencies, civic organizations, private developers, and the public.
- Experience working with nonprofit cultural organizations, especially those in the museum field.
- Past experience of working on projects in New York City.
- Innovative or outstanding work by firm that demonstrates the firm's unique qualifications to provide services.
- Projected cost of services.
- Selected firm's staff ability, availability and facility for working with the MJH directors, officers, staff, and consultants.
- Experience of firm and employees to be assigned to the project in general and in particular, providing consulting services to non-profit entities, municipalities, economic development organizations, or other governmental entities.

#### **Contract Terms and Requirements**

The LESC reserves the right to incorporate the contents of the proposal, and any corresponding addendum approved by the LESC, of the selected design firm into the signed contract agreement at its discretion.

The selected firm will be required to:

- Maintain accurate accounting records and other evidence pertaining to costs incurred in providing services and provide to the LESC a copy of all such records and evidence.

Additionally upon request, make such records available to LMDC, or any applicable auditing agency at all reasonable times during the contract



period and for four (4) 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 the LESC.
- Comply with applicable laws governing projects initiated or supported by the LESC, including all applicable HUD requirements and regulations. (See Schedule A)

The LESC 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.

## SCHEDULE "A"

### VII. GENERAL CONDITIONS

#### A. General Compliance

Subrecipient agrees to comply with the requirements of the HUD regulations concerning CDBG, 24 CFR Part 570, as modified by the waivers and alternative requirements applicable to LMDC and its subrecipients that are published at 67 FR 12042 and 67 FR 36017. Subrecipient also agrees to comply with all other applicable Federal, state and local laws, regulations, and policies governing the funds provided under this Agreement. Subrecipient further agrees to utilize funds available under this Agreement to supplement rather than supplant funds otherwise available.

#### C. Hold Harmless

Subrecipient shall hold harmless, defend and indemnify Grantee from any and all claims, actions, suits, charges and judgments whatsoever that arise out of Subrecipient's performance or nonperformance of the services or subject matter called for in this Agreement.

#### D. Workers' Compensation

Subrecipient shall provide Workers' Compensation Insurance coverage for all of its employees involved in the performance of this Agreement.

#### E. Insurance and Bonding

Subrecipient shall carry sufficient insurance coverage to protect contract assets from loss due to theft, fraud, or undue physical damage, and as a minimum shall purchase a blanket fidelity bond covering all employees in an amount equal to cash advances from Grantee.

Subrecipient shall comply with the bonding and insurance requirements of 24 CFR §§ Part 84.31 and 84.48, including but not limited to the following insurance to the extent stated:

1. Commercial General Liability Insurance providing both bodily injury (including death) and property damage insurance in a limit not less than Two Million Dollars (\$2,000,000) aggregate and One Million Dollars (\$1,000,000) per occurrence. Such insurance is to be written on an occurrence basis. LMDC shall be named as an additional insured.
2. Automobile Liability and Property Damage Insurance, if applicable, in an amount not less than \$1,000,000 combined single limit for both bodily injury and property damage.
3. Workers' Compensation coverage for employer liability and disability benefits as required by the State of New York.

4. Excess Liability Insurance in an amount not less than \$10,000,000.

5. Certificates of Insurance for all of the aforementioned coverages shall be provided to LMDC prior to the commencement of work under this Agreement. LMDC shall be named as an additional insured on each such certificate.

F. Grantor and Grantee Recognition

Subrecipient shall insure recognition of the role of HUD and of LMDC in providing services through this Agreement. All activities, facilities and items utilized pursuant to this Agreement shall be prominently labeled, where practicable, as to the role of HUD and of the LMDC. In addition, Subrecipient will include a reference to the support provided herein in all publications made possible with funds made available under this Agreement. See Exhibit A-3 for general guidance in recognizing HUD as Grantor and LMDC as Grantee.

H. Suspension or Termination

Either party may terminate this Agreement at any time by giving written notice to the other party of such termination and specifying the effective date thereof at least thirty (30) days before the effective date of such termination. Partial terminations of the Scope of Service in Section I.A above may only be undertaken with the prior approval of Grantee. In the event of any termination for convenience, all finished or unfinished documents, data, studies, surveys, maps, models, photographs, reports or other materials prepared by Subrecipient under this Agreement shall, at the option of Grantee, become the property of Grantee, and Subrecipient shall be entitled to receive just and equitable compensation for any satisfactory work completed on such documents or materials prior to the termination.

Grantee may suspend or terminate this Agreement, in whole or in part, if Subrecipient materially fails to comply with any term of this Agreement, or with any of the rules, regulations or provisions referred to herein; and Grantee may declare Subrecipient ineligible for any further participation in Grantee's contracts, in addition to other remedies as provided by law. In the event there is probable cause to believe Subrecipient is in noncompliance with any applicable rules or regulations, Grantee may withhold up to fifteen (15) percent of said contract funds until such time as Subrecipient is found to be in compliance by Grantee, or is otherwise adjudicated to be in compliance.

2. Retention

Subrecipient shall retain all records pertinent to expenditures incurred under this Agreement for a period of four (4) years after the completion or termination of all activities funded under this Agreement. Records for non-expendable property acquired with funds under this Agreement shall be retained for four (4) years after final disposition of such property. Records for any displaced person must be kept for four (4) years after he/she has received final payment or for a reasonable period of time as requested by Grantee. Notwithstanding the above, if there is a litigation, claim, audit,

negotiation or other action that involves any of the records cited and that has started before the expiration of the four-year period, such records must be retained until completion of the action and resolution of all issues, or the expiration of the four-year period, whichever occurs later.

Subrecipient shall index the records that must be maintained and retained in this subparagraph B. At the end of the four-year period following the completion or termination of all activities funded under this Agreement, or on earlier request by LMDC, Subrecipient shall produce to LMDC the index and all records maintained in accordance with this subparagraph B.

3. Personal Data

Subrecipient shall maintain personal data demonstrating eligibility for individual services provided. Such data shall include, but not be limited to, name, address, income level or other basis for determining eligibility, and description of service provided. Such information shall be made available to Grantee monitors or their designees for review upon request.

4. Disclosure

Subrecipient understands that personal information collected under this Agreement is private and the use or disclosure of such information, when not directly connected with the administration of Grantee's or Subrecipient's responsibilities with respect to services provided under this Agreement, is prohibited by the Privacy Act, 5 U.S.C. § 552a, unless written consent is obtained from such person receiving service and, in the case of a minor, that of a responsible parent or guardian.

5. Property Records

Subrecipient shall maintain real property inventory records that clearly identify properties purchased, improved or sold. Properties retained shall continue to meet eligibility criteria and shall conform with the "changes in use" restrictions specified in 24 CFR § 570.503(b)(7), where applicable, and the Useful Life Period restrictions set forth in Section VI above.

6. Close-Outs

Subrecipient's obligation to Grantee shall not end until all close-out requirements are completed and the Close-Out Agreement has been signed and delivered and become effective. Activities during this close-out period shall include, but are not limited to making final payments, disposing of program assets (including the return of all unused materials, equipment, unspent cash advances, program income balances, and accounts receivable to Grantee), and determining the custodianship of records.

7. Audits and Inspections

All Subrecipient records with respect to any matters covered by this Agreement shall be made available to Grantee, HUD, their respective auditors, and their designees or the Federal Government, at any time during normal business hours, as often as Grantee or HUD deems necessary, to audit, examine, and make excerpts or transcripts of all relevant data. Subrecipient shall provide office support services necessary to ensure timely production of records, including but not limited to (i) availability of office space, telephones, computers, telephone, and data lines, (ii) personnel to provide such services and (iii) access to records in electronic format. Any deficiencies noted in audit reports must be fully cleared by Subrecipient within 30 days after receipt by Subrecipient. Failure of Subrecipient to comply with the above audit requirements will constitute a violation of this Agreement and may result in the withholding of future payments. Subrecipient hereby agrees to have an annual agency audit, commonly referred to as a Single Audit, conducted in accordance with current Grantee policy concerning subrecipient audits and OMB Circular A-133.

IX. RELOCATION, REAL PROPERTY ACQUISITION AND ONE-FOR-ONE HOUSING REPLACEMENT

Subrecipient agrees to comply with (a) the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 ("URA"), as amended, and implementing regulations at 49 CFR Part 24 and 24 CFR § 570.606(b); (b) the requirements of 24 CFR § 570.606(c) governing the Residential Antidisplacement and Relocation Assistance Plan under section 104(d) of the HCD Act; and (c) the requirements of 24 CFR § 570.606(d) governing optional relocation policies. Subrecipient shall provide relocation assistance to persons (families, individuals, businesses, nonprofit organizations and farms) that are displaced as a direct result of acquisition, rehabilitation, demolition or conversion for a CDBG-assisted project. Subrecipient also agrees to comply with applicable Grantee ordinances, resolutions and policies concerning the displacement of persons from their residences.

X. PERSONNEL AND PARTICIPANT CONDITIONS

A. Civil Rights

1. Compliance

Subrecipient agrees to comply with all applicable civil rights laws, rules, and ordinances of the City of New York and the State of New York and with Title VI of the Civil Rights Act of 1964, as amended, Title VIII of the Civil Rights Act of 1968 as amended, Section 104(b) and Section 109 of Title I of the Housing and Community Development Act of 1974 as amended, Section 504 of the Rehabilitation Act of 1973, the Americans with Disabilities Act of 1990, the Age Discrimination Act of 1975, Executive Order 11063, and with Executive Order 11246 as amended by Executive Orders 11375, 11478, 12106 and 12086.

2. Nondiscrimination

Subrecipient will not discriminate against any employee or applicant for employment because of race, color, creed, religion, ancestry, national origin, sex, disability or other handicap, age, marital/familial status, or status with regard to public assistance. Subrecipient will take affirmative action to insure that all employment practices are free from such discrimination. Such employment practices include but are not limited to the following: hiring, upgrading, demotion, transfer, recruitment or recruitment advertising, layoff, termination, rates of pay or other forms of compensation, and selection for training, including apprenticeship. Subrecipient agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided by the contracting agency setting forth the provisions of this nondiscrimination clause.

3. Land Covenants

This Agreement is subject to the requirements of Title VI of the Civil Rights Act of 1964 (Public Law 88-352) and 24 CFR §§ 670.601 and 670.602. In regard to the sale, lease, or other transfer of land acquired, cleared or improved with assistance provided under this Agreement, Subrecipient shall cause or require a covenant running with the land to be inserted in the deed or lease for such transfer, prohibiting discrimination as herein defined, in the sale, lease or rental, or in the use or occupancy of such land, or in any improvements erected or to be erected thereon, providing that Grantee and the United States are beneficiaries of and entitled to enforce such covenants. Subrecipient, in undertaking its obligation to carry out the program assisted hereunder, agrees to take such measures as are necessary to enforce such covenant, and will not itself so discriminate.

4. Section 504

Subrecipient agrees to comply with any Federal regulations issued pursuant to compliance with Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. § 794), which prohibits discrimination against the handicapped in any Federally assisted program. The Grantee shall provide Subrecipient with any guidelines necessary for compliance with that portion of the regulations in force during the term of this Agreement.

B. Affirmative Action

1. Compliance with E.O. 11246

Subrecipient agrees that it shall be committed to carry out, pursuant to Grantee's specifications, an Affirmative Action Program to provide equal opportunity in employment in keeping with the principles as provided in President's Executive Order 11246 of September 24, 1966.

## 2. M/WBE

Subrecipient will use its best efforts to afford small and minority-owned and women-owned business enterprises the maximum practicable opportunity to participate in the performance of this Agreement. As used in this Agreement, the term "minority and woman-owned business enterprise" ("M/WBE") means a business at least fifty-one percent (51%) owned and controlled by minority group members or women. For the purpose of this definition, 'minority group members' are Afro-Americans, Spanish-speaking, Spanish surnamed or Spanish-heritage Americans, Asian-Americans, and American Indians. To qualify as an M/WBE, business enterprises must be a Certified Minority/ Women Business as determined and listed by the State of New York. Subrecipient may rely on its own certification program if it is submitted to LMDC and such designation is approved in writing by LMDC in advance.

Subrecipient shall provide written or electronic notification to Grantee no later than five days prior to posting notification of procurement for goods, services, and or construction related activities contemplated by this Agreement. This notification shall include type of procurement and information on how to obtain bid documents. Subrecipient shall provide Grantee written or electronic notification to Grantee no later than five days after award of contract for goods, services, or construction related activities contemplated by this Agreement. This notification shall include name of contractor, contact name and phone number for contractor, type of services, and contract size. Grantee may publish notification of procurement and award of contract on website of Grantee and in regular mailings to small businesses, minority and women owned organizations, government agencies, and interested individuals. LMDC may facilitate meetings between contractors and the above groups for contracts awarded over \$1 million using HUD CDBG funds granted to the subrecipient by LMDC. Contractors shall be required to attend these meetings.

Subrecipient shall comply with and cause each of its subcontractors to comply with the provisions of Schedule C, attached to and made a part of this Agreement, relating to non-discrimination. Subrecipient shall make best efforts to comply with the provisions of Schedule C relating to affirmative action.

## 3. Access to Records

Subrecipient shall furnish and cause each of its subcontractors or subcontractors to furnish all information and reports required hereunder and will permit access to its books, records and accounts by Grantee, HUD or its agent, or other authorized Federal officials for purposes of a compliance review, audit or investigation to ascertain compliance with the rules, regulations and provisions stated herein.

## 4. Notifications

Subrecipient will send to each labor union or representative of workers with which it has a collective bargaining agreement or other contract or understanding, a

notice, to be provided by the Subrecipient, advising the labor union or worker's representative of Subrecipient's commitments hereunder, and shall post copies of the notice in conspicuous places available to employees and applicants for employment.

5. EEO/AA Statement

Subrecipient will, in all solicitations or advertisements for employees placed by or on behalf of Subrecipient, state that it is an Equal Opportunity or Affirmative Action employer.

6. Subcontract Provisions

Subrecipient will include the provisions of Sections X.A (Civil Rights) and X.B (Affirmative Action) in every subcontract or purchase order, specifically or by reference, so that such provisions will be binding upon each of its subcontractors.

C. Employment Restrictions

1. Prohibited Activity

Subrecipient is prohibited from using funds provided herein or personnel employed in the administration of the program for: political activities; sectarian or religious activities; lobbying; political patronage; and nepotism activities.

2. Labor Standards

Subrecipient agrees to comply with the requirements of the Secretary of Labor in accordance with the Davis-Bacon Act as amended, the provisions of Contract Work Hours and Safety Standards Act (40 U.S.C. § 327 et seq.) and all other applicable Federal, state and local laws and regulations pertaining to labor standards insofar as those acts apply to the performance of this Agreement. Subrecipient shall maintain documentation that demonstrates compliance with hour and wage requirements of this part. Such documentation shall be made available to Grantee for review upon request.



Subrecipient agrees that, except with respect to the rehabilitation or construction of residential property containing less than eight (8) units, all contractors engaged under contracts in excess of \$2,000 for construction, renovation or repair work financed in whole or in part with assistance provided under this Agreement, shall comply with Federal requirements adopted by HUD pertaining to such contracts and with applicable requirements of the regulations of the United States Department of Labor, under 29 CFR Parts 1, 3, 5 and 7 governing the payment of wages and ratio of apprentices and trainees to journey workers; provided that, if wage rates higher than those required under the regulations are imposed by state or local law, nothing hereunder is intended to relieve Subrecipient of its obligation, if any, to require payment of the higher wage. In all such contracts subject to such regulations, Subrecipient shall cause or require to be inserted in full provisions meeting the requirements of this paragraph.

3. "Section 3" Clause

a. Compliance

Compliance with the provisions of Section 3 of the HUD Act of 1968, as amended, and as implemented by the regulations set forth in 24 CFR Part 135, and all applicable rules and orders issued hereunder prior to the execution of this Agreement, shall be a condition of the Federal financial assistance provided under this Agreement and binding upon Grantee, Subrecipient and any of Subrecipient's subcontractors. Failure to fulfill these requirements shall subject Grantee, Subrecipient and any of Subrecipient's subcontractors, their successors and assigns, to those sanctions specified by this Agreement. Subrecipient certifies and agrees that no contractual or other disability exists which would prevent compliance with these requirements.

Subrecipient further agrees to comply with these "Section 3" requirements and to include the following language in all subcontracts executed under this Agreement:

The work to be performed under this Agreement is a project assisted under a program providing direct Federal financial assistance from HUD and is subject to the requirements of Section 3 of the Housing and Urban Development Act of 1968, as amended (12 U.S.C. § 1701).

Section 3 requires that to the greatest extent feasible opportunities for training and employment be given to low- and very low-income residents of the project area, and that contracts for work in connection with the project be awarded to business concerns that provide economic opportunities for low- and very low-income persons residing in the metropolitan area in which the project is located.

Subrecipient further agrees to ensure that opportunities for training and employment arising in connection with a housing rehabilitation (including reduction and abatement of lead-based paint hazards), housing construction, or

other public construction project are given to low- and very low-income persons residing within the metropolitan area in which the CDBG-funded project is located; where feasible, priority should be given to low- and very low-income persons within the service area of the project or the neighborhood in which the project is located, and to low- and very low-income participants in other HUD programs; and award contracts for work undertaken in connection with a housing rehabilitation (including reduction and abatement of lead-based paint hazards), housing construction, or other public construction project to business concerns that provide economic opportunities for low- and very low-income persons residing within the metropolitan area in which the CDBG-funded project is located; where feasible, priority should be given to business concerns which provide economic opportunities to low- and very low-income residents within the service area or the neighborhood in which the project is located, and to low- and very low-income participants in other HUD programs.

Subrecipient certifies and agrees that no contractual or other legal incapacity exists which would prevent compliance with these requirements.

b. Notifications. Subrecipient agrees to send to each labor organization or representative of workers with which it has a collective bargaining agreement or other contract or understanding, if any, a notice advising said labor organization or worker's representative of its commitments under this Section 3 clause and shall post copies of the notice in conspicuous places available to employees and applicants for employment or training.

c. Subcontracts. Subrecipient will include this Section 3 clause in every subcontract and will take appropriate action pursuant to the subcontract upon a finding that the subcontractor is in violation of regulations issued by the grantor agency. Subrecipient will not subcontract with any entity where it has notice or knowledge that the latter has been found in violation of regulations under 24 CFR Part 135 and will not let any subcontract unless the entity has first provided it with a preliminary statement of ability to comply with the requirements of these regulations.

d. Reporting. Subrecipient shall submit quarterly reports to Grantee, substantially in the form attached hereto as Exhibit A-7, regarding its efforts to satisfy the obligations contained in subclauses 3(a)-(c) above.

#### 4. September 11, 2001 Recovery

a. Compliance. Subrecipient will make efforts to employ on this Program individuals affected by September 11, 2001, specifically, but not limited to, individuals who (a) lost wages from their work below Houston Street due to September 11, 2001, or (b) lived below Houston Street on September 11, 2001 or currently reside there.

b. Reporting. Subrecipient shall submit quarterly reports to Grantee substantially in the form attached hereto as Exhibit A-8, regarding its efforts to satisfy the obligations as set forth in this subsection 4.

D. Conduct

3. Hatch Act

Subrecipient agrees that no funds provided, nor personnel employed under this Agreement, shall be in any way or to any extent engaged in the conduct of political activities in violation of Chapter 15 of Title V United States Code.

4. Conflict of Interest

Subrecipient agrees to abide by the provisions of 24 CFR § 570.611 with respect to conflicts of interest, and covenants that it presently has no financial interest and shall not acquire any financial interest, direct or indirect, which would conflict in any manner or degree with the performance of services required under this Agreement. Subrecipient further covenants that in the performance of this Agreement no person having such a financial interest shall be employed or retained by Subrecipient hereunder. These conflict of interest provisions apply to any person who is an employee, agent, consultant, officer, or elected official or appointed official of Subrecipient, or of any designated public agencies or subrecipients that are receiving funds from HUD under the CDBG program.

5. Lobbying

Subrecipient hereby certifies that:

a. No Federal appropriated funds have been paid or will be paid, by or on behalf of it, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement;

b. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, it will complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions; and

c. It will require that the certification language of this subparagraph 5 be included in the award documents for all sub awards at all tiers (including

subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly:

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31 U.S.C. § 1352. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

6. Copyright

If this Agreement results in any copyrightable material or inventions, Grantee and/or grantor agency reserves the right to royalty-free, non-exclusive and irrevocable license to reproduce, publish or otherwise use and to authorize others to use, the work or materials for government purposes.

7. Religious Organization

Subrecipient agrees that funds provided under this Agreement will not be utilized for religious activities, to promote religious interests, or for the benefit of a religious organization in accordance with the Federal regulations specified in 24 CFR §570.200(j).

XI. ENVIRONMENTAL CONDITIONS

A. Air and Water

Subrecipient agrees to comply with the following requirements insofar as they apply to the performance of this Agreement:

1. Clean Air Act, 42 U.S.C. § 7401, *et seq.*;
2. Federal Water Pollution Control Act, as amended, 33 U.S.C. § 1251, *et seq.*, as amended, 1318 relating to inspection, monitoring, entry, reports, and information, as well as other requirements specified in said Section 114 and Section 308, and all regulations and guidelines issued thereunder;
3. Environmental Protection Agency ("EPA") regulations pursuant to 40 CFR Part 50, as amended.

B. Flood Disaster Protection

In accordance with the requirements of the Flood Disaster Protection Act of 1973 (42 U.S.C. § 4001), Subrecipient shall assure that for activities located in an area identified by FEMA as having special flood hazards, flood insurance under the National Flood Insurance Program is

obtained and maintained as a condition of financial assistance for acquisition or construction purposes (including rehabilitation).

C. Lead-Based Paint

Subrecipient agrees that any construction or rehabilitation of residential structures with assistance provided under this Agreement shall be subject to HUD Lead-Based Paint Regulations at 24 CFR § 570.608, and 24 CFR Part 35, Subpart B. Such regulations pertain to all CDBG-assisted housing and require that all owners, prospective owners, and tenants of properties constructed prior to 1978 be properly notified that such properties may include lead-based paint. Such notification shall point out the hazards of lead-based paint and explain the symptoms, treatment and precautions that should be taken when dealing with lead-based paint poisoning and the advisability and availability of blood lead level screening for children under seven. The notice should also point out that if lead-based paint is found on the property, abatement measures may be undertaken. The regulations further require that, depending on the amount of Federal funds applied to a property, paint testing, risk assessment, treatment and/or abatement be conducted.

D. Historic Preservation

Subrecipient agrees to comply with the Historic Preservation requirements set forth in the National Historic Preservation Act of 1966, as amended (16 U.S.C. § 470) and the procedures set forth in 36 CFR Part 800, Advisory Council on Historic Preservation Procedures for Protection of Historic Properties, insofar as they apply to the performance of this Agreement.

In general, this requires concurrence from the State Historic Preservation Officer for all rehabilitation and demolition of historic properties that are fifty years old or older or that are included on a Federal, state, or local historic property list.

E. Environmental Performance Commitments

Subrecipient agrees to implement the Lower Manhattan environmental performance commitments set forth in Exhibit A-9, attached hereto. Subrecipient will identify the specific measures implemented and may include additional commitments and specific measures as part of the project-specific governmental entities coordination plan, construction environment plan, design documents, and contracts. Environmental Performance Commitments are reported in Exhibit A-5 (Monthly Progress Report).