



# West Harlem Development Corporation

## Solutions through collaborations™

### Request for Proposal (RFP)

**Released: Friday, September 15, 2017**

#### Category:

**Affordable Housing**

#### Key Dates:

RFP Release

***Friday, September 15, 2017***

Deadline to Submit Proposal

***Monday, October 23, 2016 5:30pm EST***

Notification of Awards

***by Friday, December 29, 2017***

Project Expected Start Date

***February 1, 2018***

Project Expected Completion Date

***December 31, 2018***

### Executive Summary

West Harlem Development Corporation (WHDC) is a New York City-based nonprofit 501 (c) (3) organization incorporated in 2011 whose mission is to promote increased economic opportunities and quality of life to sustain a vibrant West Harlem. WHDC's core program areas are education, workforce and economic development, and affordable housing. With its slogan "solutions through collaborations", WHDC achieves its mission through grantmaking to nonprofit organizations providing services that benefit the residents of New York City's Manhattan Community District 9 (MCD9), more commonly referred to as West Harlem. The boundaries of MCD9 are defined as: South to North from 110<sup>th</sup> Street to 155<sup>th</sup> Street; East to West from Manhattan, Morningside, St. Nicholas, Bradhurst, Edgecombe Avenues to the Hudson River.

WHDC announces the availability of approximately \$150,000 (one hundred fifty thousand dollars) in grant funds for affordable housing initiatives that will start and complete in 2018. Approximately 3 (three) to 6 (six) grants will be awarded in the range of \$25,000 to \$50,000 each and are intended to provide a catalyst to support the preservation and expansion of affordable housing for West Harlem residents. Partnering with community-based organizations, WHDC seeks to support services that complement rather than duplicate New York City initiatives that protect renters such as the \$12.3 million in additional funding that will provide free legal aide to assist low income tenants facing harassment and eviction that was announced by Mayor de Blasio on September 25, 2015; and the \$4 million that Columbia University is committed to pay for housing advocacy and legal services for tenants in West Harlem and other areas defined as "Local Community" in the Community Benefits Agreement of May 18, 2009 (CBA). Similarly WHDC's funds should not be viewed as substituting for available resources from government housing agencies such as Housing Preservation and Development (HPD).

The vision of this Request for Proposal is best captured by citing the CBA: “*A portion of the Benefits Fund may be used to provide grant funding to create, provide and maintain an accessible bi-lingual HDFC Resource Center that shall be established to support and preserve the HDFC community and other properties. The center would provide education, advocacy, information and technical assistance to CD9’s HDFC cooperatives and other properties*” (CBA, Section III (O)).

WHDC seeks to create such a “virtual” resource center by achieving the following objectives:

- Identify the chronic issues facing buildings in MCD9 classified by HPD as Tenant Interim Lease (TIL) and Third Party Transfer (TPT) buildings; and work with the management to successfully navigate the processes of conversion to Housing Development Finance Corporation (HDFC), or the Affordable Neighborhood Cooperative Program (ANCP) buildings. Ensure that outreach efforts and materials are designed to reach both Spanish and English speaking beneficiaries.
- Provide services that identify the financial and general management challenges facing HDFCs and work collaboratively with the owners, co-op boards, professional management companies, and government agencies to guide their path towards significantly improved financial and general building management health. All materials and outreach activities should be available in both Spanish and English.
- Provide services to HDFC’s and other non-profit, low-income buildings that include the development of “greening measures”, economy of scale programs for bulk purchasing in areas such as fuel, building supplies, and materials.
- Provide services to MCD9 seniors with fixed incomes that help to stabilize them in housing that is affordable.

This RFP is for affordable housing initiatives that benefit MCD9 residents. For the first year the activities should focus on TIL, ANCP, TPT, and HDFC buildings and their owners and residents. The grants will be made to only duly qualified nonprofit organizations and their duration will be one year. Successful applicants will have the option to apply for renewal grants on an annual basis depending on prior documented success and the availability of funds for grants to WHDC.

#### **A. The Funding Opportunity Description**

##### **1. Program Purpose**

This Request for Proposal from WHDC focuses on seeking evidence based and proven interventions that will address some of the identified needs in MCD9 with respect to affordable housing with the goal of increasing their stock and maintaining affordability.

A 2013 study conducted by the Association for Neighborhood and Housing Development, revealed that between 2008 and 2011, the Morningside/Hamilton Heights community alone lost around 10,000 rent-stabilized apartments. According to Community Board 9, residents of West Harlem spend nearly 50% of their incomes on rent and are rent-overburdened. Add the effects of displacement accelerated by the expansion of Columbia University, and the issue of available and affordable housing for low income and working class people takes on severely increasing concern.

WHDC is, therefore, soliciting grant proposals to increase West Harlem residents' access to affordable housing and homeownership opportunities. We seek proposals that help distressed individuals and families stay in their home, and facilitate the creation of future homeowners through enhancing the rate of successful conversion of TIL/TPT/ANCP buildings, and preserve HDFCs through steering them towards the successful acquisition of operational and capital support.

## 2. Allowable Activities

Respondents to the Affordable Housing RFP are free to propose evidence based and proven interventions that will measurably achieve any of the objectives listed above. WHDC's funding is not for start-ups nor for trying out new ideas that are not supported by proven evidence of success elsewhere. WHDC has three categories for evidence.

***Applicant's Own Evidence - Strong:*** What is proposed to WHDC is supported by evidence of success from applicant's own programs and has consistently proven to be successful for at least three years. An example of strong evidence is a project that is supported by data that presents pre and post program intervention outcomes. In addition, strong evidence has outcomes that are validated by third-party program evaluation. WHDC will give such strong evidence projects priority.

***Applicant's Own Evidence – Medium:*** Similar to the Strong Evidence except that programs lack third party evaluation. WHDC considers such organizational evidence as medium and will give it high consideration.

***Evidence from Other Organizations - Preliminary:*** The evidence of success is presented as those from other organizations who have had hands-on experience in running a similar proposed program in the past, and not the applicant's. WHDC considers such second party organizational evidence as preliminary and will consider the application for other merits.

WHDC will fund activities that demonstrate innovation, utilize tested systems, contain evaluations, and have measurable outcomes.

**B. Award Information**

**1. Award Type and Amount**

WHDC will provide funding in the form of grants totaling \$150,000. One to two applications will be funded for year one. The grant may be renewed for additional one or two years as WHDC's funds are available and approved by its board. Applicants may apply in this cycle for amounts ranging from \$25,000 to \$50,000. WHDC's Board of Directors reserves the right to amend the minimum and maximum amounts, and also the number of awards. Please note that project proposal narratives may be posted publicly on our website to reflect our value of transparency and encourage learning among grantees, future applicants and the community.

**2. Period of Performance**

Successful applicants will have eleven months in the first year to complete the proposed activities under this grant. WHDC anticipates that award decisions will be made and grantees will be notified before December 29, 2017. Thus applicants should plan a February - December 2018 program implementation.

**3. Renewals**

WHDC recognizes that the needs of MCD9 in the area of affordable housing will take more than one year to have significant, measurable, and positive impact. Thus, WHDC intends to select the best in class partners and fund them for more than one year, based on the availability of WHDC's funds and board decisions. Based on performance, grantees will be renewed for at least one additional year. Grantees will submit quarterly reports with the last quarter comprehensively reporting on the program activities, challenges, successes, and outcomes.

**4. Payment Schedule**

Grant awards will be paid in two equal installments with the first paid in advance upon WHDC's receipt of a signed grant agreement letter and the formal receipt of award letter. The second installment will be made upon WHDC's receipt and approval of satisfactory interim report.

**C. Eligibility Information**

**1. Nonprofit organizations**

The grants under this RFP will be awarded to only:

- I. Organizations that are duly incorporated as nonprofit organizations at the state levels. If not incorporated in New York State, applicant must include

documentation to show authorization to do business in New York. Please do not apply if you are not incorporated as a nonprofit, and have the documentation to prove it.

- II. Organizations that have current US Internal Revenue Service 501 (c) 3 status. Please do not apply if your status has been revoked, or in process.

Applicant organizations do not have to be based in MCD9. In the case of TIL/ANCP/TPT and HDFC buildings, they must all be located in MCD9. The grantee has the responsibility to maintain the records to validate resident participation and building enrollment. WHDC discourages the use of fiscal sponsors and will sparingly approve proposals that use fiscal sponsors as intermediaries.

## 2. Cost Sharing and Matching

There is no matching requirement for this grant. However, WHDC encourages applicants to indicate the amount of additional resources that will be added to the WHDC grant amount to accomplish the planned activities. In the case of publicly supported housing and funds available elsewhere for the protection of tenant rights, proposals that demonstrate evidence of comprehensive linkages and resources would be given priority.

## 3. Manhattan Community District 9

WHDC's mandate is MCD9, as described in section 1 (a). Thus the participants for which the applicant is submitting a proposal must constitute 100% residents of MCD9. WHDC expects the applicant organization to track and record the demographic validation of the MCD9 residents. The proposal should indicate how many residents of MCD9 are planned to be served. All participants must be served directly, meaning that applicant must be able to identify them by name, address, services provided, and outcomes.

## 4. Technology Requirements

WHDC has technology system requirements with which the successful applicants must comply. At a minimum, grantees must have the following: Internet connectivity; Individual email accounts for staff working on the proposed project; and computer workstations capable of running the latest version of Chrome or Internet Explorer web browser with at least a 56K modem.

## 5. Number of Proposals to be Submitted

WHDC will consider only one proposal from the same applicant organization. Organizations cannot submit more than one application in response to the other categories in WHDC's RFPs.

## **D. Monitoring and Evaluation**

Applicants should propose the metrics with which they will measure their outcomes and outputs (See descriptions in Section V(ii)). Successful applicants will be required to utilize WHDC's data management system.

This includes the entry of individual participant data such as demographics, activities, case notes and outcomes data. It also includes building management data that demonstrate the improvements being made towards the goals set by management.

## **E. Reporting**

Successful applicants need to input the data for outreach and recruitment as early as possible and update them in subsequent reports with the outcomes achieved. Successful applicants will be required to submit progress reports according to the following schedule:

Interim	<i>July 15, 2018</i>
Final	<i>January 15, 2019</i>

## **F. Proposal and Submission Information**

### **1. Executive Summary**

### **2. Statement of Need**

In this section the applicant, (henceforth referred to as “you”), must describe the compelling direct and indirect education induced social problems that you have identified in West Harlem for which you propose solutions. Your statement of need must be supported by researched data that is specific to West Harlem. The identified needs must be aligned with the category(ies) you have chosen to fit your program and the interventions you will propose.

### **3. Project Narrative**

#### **Project Objective and Design**

In this section, you must describe the overall project objective, the strategies you will employ to implement your project, how the objective and design contributes to your organization’s overall mission and addresses the needs that you have identified in your needs statement. WHDC’s funds cannot be used for capital build-out. Funds must be committed to programming. If you are making any assumptions that are critical to your planned success, such as continued and larger funding from WHDC from year to year, so state. The specific activities within a one year time line that would bring about the planned outputs, milestones and outcomes must be clearly noted and explained. The project design should include your timeline and implementation plan. In this section, you must also describe the outputs, milestones and outcomes the project will achieve. Outputs, milestones and outcomes must be an outgrowth of the strategic approach described in the Project Design section.

**Project objectives** are overarching achievements that you will pursue.

**Outputs** measure production resulting from grant activities such as curriculum developed, new initiatives created, and new leveraged and partnership opportunities, etc. Basic numbers of participants recruited (irrespective of whether they experienced outcomes or not), is another example of an output. Outputs should not be confused with outcomes.

**Milestones** are key markers of grant progress- these are typically expressed in the form of an action or event marking a significant change or stage in development.

#### **4. Project Evaluation**

Quarterly progress report will be required of all grantees to demonstrate progress on key metrics as well as an accompanying narrative to describe activities and success achieved during the quarter. Applicants must describe the following specifics of the evaluation:

- **The evaluator** – Indicate whether there will be an in-house or third party evaluator.
- **Evaluation processes** – Describe the processes you expect to use during your evaluation. These processes may include the development of a logic model, the data collection tools that will be used, the methodology around data-gathering, and the types of analysis that will be conducted. Please also describe the frequency at which these activities will occur.
- **Evaluation objectives** – Describe the objectives you hope to achieve throughout your evaluation activities. The objectives should speak to what types of data you will be collecting and analyzing, how you plan to use this data, and what types of decisions this data will enable you to make.

#### **5. Organizational, Administrative, and Fiscal Capacity**

In this section, you must provide information on the current mission, structure, staffing, and relevant experience of your organization. Describe how these factors contribute to the ability of the organization to conduct the project requirements and meet your and WHDC's expectations. This is your opportunity to discuss your organization and its capacity to carry out the planned activity. This discussion should include a description of current programs and accomplishments of the recent past, an indication of both formal and informal organizational relationships, and an indication of other foundation and corporate supports.

#### **6. Budget and Budget Justification**

In this section, you must provide a budget narrative that corresponds with the project budget form that you must download and re-upload. This budget narrative must be based on all the activities outlined in the project narrative. Include:

- Description of how the proposed expenditures will support the planned project.
- Describe each cost item in the budget and how amounts were derived.
- Describe what costs will be paid in cash by others specifically for the planned project.
- Describe what cash and in-kind support your organization will provide for the project.

## **G. Proposal Submission Components**

Your proposal must be submitted through the WHDC grants portal.

- Organization Information
- Project Area & Objectives
- Executive Summary
- Project Summary
- Project Narrative
- Project Evaluation
- Organizational, Administrative, and Fiscal Capacity
- Funding Request and Budget Justification
- Submission Documents:
  - Certificate of Incorporation
  - Budget Form
  - IRS Determination Letter - 501 (c) (3) (All Applicants)
  - Copy of most recent Form 990 filed with the IRS
  - Project Site Owner's Permission Letter as applicable
  - School and Other Significant Commitment Letters as applicable to your project
  - Additional Information to demonstrate organization's past success in planned activity (Limit to one example and optional)
  - Letter of Support (Limit to one letter and optional)
  - Copy of most recent NY CHAR500 (Annual Filing for Charitable Organizations) with the NYS Dept. of Law Department
  - Authorization to do business in New York State if incorporated outside New York State.
  - Copy of Conflict of Interest Policy
  - Fiscal Sponsor Letter indicating an agreement between the applicant and the fiscal sponsor. (If applicable)
- Acknowledgement

## **H. Proposal Review Information**

Reviewers of proposals will award points on the evaluation criteria described below:

Item Number	Criterion	Maximum Points
2	<b>Statement of Need</b>	10
3	<b>Project Narrative</b>	40
4	<b>Project Evaluation</b>	20
5	<b>Organizational, Administrative, and Fiscal Capacity</b>	10
6	<b>Budget and Budget Justification</b>	10
7	<b>Overall Impression (0-5); MCD9 Location of Applicant (5)</b>	10
	<b>Total Maximum Score</b>	<b>100</b>

## **I. Award Administrative Information**

WHDC board will make recommendations of grantees and applicants will be informed of their status by December 29, 2017. We shall endeavor to make it earlier in order for the first installment payment to go out before the end of 2017 and no later than January 2018. Interim and final reporting by grantees will be made to WHDC via the WHDC/Fluxx grants management database.