



# Property Ownership Readiness Program

Issued: December 10, 2021  
Proposals Due: January 27, 2022



## City of Rochester, New York

Department of Neighborhood & Business Development  
City Hall, 30 Church Street, Rm. 005-A, Rochester, NY

# **City of Rochester**

## **Request for Proposals**

### **Property Ownership Readiness Program**

**December 10, 2021**

**Proposals to be received by 4:00 PM EST on January 27, 2022**

#### **Submit Proposals Electronically to:**

Lia Anselm, Senior Community Housing Planner  
[Lia.Anselm@cityofrochester.gov](mailto:Lia.Anselm@cityofrochester.gov)

# REQUEST FOR PROPOSALS

The City of Rochester is seeking proposals from qualified Respondent(s) to administer a Property Ownership Readiness Program to assist Rochester residents at risk of displacement and to fill a gap in existing homeownership programs. The City seeks to do so by promoting local ownership and operation of small rental or resident landlord properties (1-4 family) by lower-income households, primarily women of color (the "Project"). The program will stabilize housing by providing tenants with opportunities to purchase and the ability to build assets, while increasing the number of affordable rental units in good condition owned and maintained by local landlords/housing providers.

Professional services are needed to review applications from households living in the city whose housing stability is or has been at risk, as well as to provide financial assistance and access to education and financial coaching for those households to prepare them for ownership and property management. In addition, assistance should be included to assist successful participants in their process of locating an acceptable property to purchase.

The City seeks to retain a Consultant or Consultant(s) with experience working with households experiencing housing instability and/or ownership/property management concerns.

## BACKGROUND

In January 2021, the City of Rochester furthered its commitment to equitable development by accepting a grant award from the statewide Anti-Displacement Learning Network (ADLN). The ADLN is a partnership between Enterprise Community Partners and the New York State Attorney General that provides peer learning and technical assistance to ten city and county teams across New York State to gather information about the drivers of housing instability and learn about best practice tools that could help to address them. Throughout the year the ADLN team pursued several strategies, both short-and long-term, to combat displacement.

Rochester's ADLN team includes representation from the City's Housing Division, Planning Office, and City Council, as well as the Catholic Family Center, City-Wide Tenants Union, Jordan Health Center, and Love Fellowship Worship Center. There are approximately 56,000 renter households in Rochester and there are about 8,000 evictions filed in the city each year. Legal assistance partners indicated that low-income women of color renters with children represent approximately  $\frac{3}{4}$  of the people that they represent regarding eviction/housing court. Therefore, the team identified them as a target population for its learning and assistance.

Per the 2019 5-Year American Community Survey, the current rate of homeownership in the City of Rochester is less than 37%. Viewed through an equity lens, the rate for Black and Brown households is even

lower. Additionally, a primary concern for tenants is finding an affordable rental unit in good condition, and tenants often have better experiences with landlords who are local, familiar with Rochester's culture and legal system, and reasonable to work with and rent from. In particular, there is a lack of local female property owners, especially those who are not white. This program aims to increase property ownership by people of color while also improving, and in some cases increasing, the housing options for tenants.

## **TIMELINE**

<b>Activity</b>	<b>Time</b>	<b>Date</b>
RFP release		December 10, 2021
Deadline for Pre-Proposal Meeting Questions		<b>December 16, 2021</b>
Virtual Pre-Proposal Information Meeting: visit <a href="https://cityofrochester.zoom.us/j/2737472849">https://cityofrochester.zoom.us/j/2737472849</a> for Zoom link to attend meeting	<b>3:00pm</b>	<b>December 20, 2021</b>
Responses to Pre-Proposal Meeting Questions Posted Online		<b>December 23, 2021</b>
<b>Proposals due</b>	<b>4:00 p.m. EST</b>	<b>January 27, 2022</b>
Respondents notified of recommendation to City Council		February 16, 2022
City Council authorization of Professional Services Agreement		March 15, 2022
Professional Services Agreement start date		April 1, 2022

The dates shown above may be subject to change within the City of Rochester's sole discretion and upon written notification as set forth herein.

## COMMUNICATIONS

All communications by parties who have indicated an intent to submit or have submitted a Proposal in response to this RFP, including any questions or requests for clarifications, submission of the Proposal, requests for status updates about the Proposal selection process and any other inquiries whatsoever concerning this RFP shall be sent, in writing by e-mail, to the following City staff person ("City Contact"):

Lia Anselm, Senior Community Housing Planner  
[Lia.Anselm@cityofrochester.gov](mailto:Lia.Anselm@cityofrochester.gov)

No contact is permitted with any other City staff member with regard to this RFP during the RFP process unless specifically authorized in writing. Prohibited contact may be grounds for disqualification.

The City will make every reasonable effort to keep respondents informed about the RFP process. Notifications about Timeline date changes, amendments to the RFP, and other information about the RFP will be sent by e-mail to respondents who have provided an e-mail address to the City Contact and will be posted on the City's website for this RFP. The City's failure to provide such information shall not delay or invalidate the City's right to make a decision to award an agreement pursuant to this RFP.

## PRE-PROPOSAL CONFERENCE

In order to provide the City with an opportunity to discuss the RFP and Respondents with an opportunity to ask questions and clarify the RFP, a pre-proposal conference will be held via Zoom on December 15, 2021 at 3:00pm. Applicants are strongly encouraged to attend, but there is no requirement to attend the pre-proposal conference and no obligation by the City to provide information from the conference to parties who fail to attend.

## SCOPE OF SERVICES

The Consultant will gather and facilitate training of a small cohort of tenants or households who own a property not currently rented out to participate in Pre- and Post-purchase training and Operating Rental Property training, as well as one-on-one sessions where necessary. This cohort will comprise 10-12 individuals, prioritizing Black and Brown female-headed households. Optimally all Pre- and Post-purchase and Operating Rental Property trainings would be scheduled at a time when the cohort could attend separately from the normally scheduled class sessions available to the general public. In most cases, after successful class completion, participants would be encouraged to purchase or rehabilitate a 2-4 family property, but in

the case of a tenant residing in a property they would like to purchase, an exception would be given for them to buy the property, even if it is only a single-family home.

The Consultant(s) will be required to:

- Conduct outreach to the community about the program and assist in recruiting the participating members
- Receive and process applications for participation
- Maintain financial records
- Maintain data on recipients of funds
- Provide an Ambassador/Outreach coordinator to manage the program, recruit participants, and assist participants with issues that arise during and after their training and purchase.
- Ensure that each participant also participates in at least one one-on-one meeting with the Ambassador/Outreach coordinator to talk through their particular situation and goals. Ambassador assistance would be available throughout the process, including after a successful purchase.
- Where feasible, facilitate sessions for participants with the Financial Empowerment Center (FEC) as an additional component. The FEC is part of the City's Community Wealth Building division, and works to give residents a path to reach their goals.
- Work with participants to enroll them in pre- /post-purchase and operating rental property trainings offered by community partners if the Consultant's agency does not already provide those trainings.
- After successful completion of both trainings noted above, assist the participants in accessing set-aside ADLN funds to purchase and/or improve the condition of a 1-4 unit property in which they would be expected to live, while renting out the other unit(s) at rents affordable to households at or below 80% MFI (Median Family Income).
  - Properties could be purchased on the private market, through the City of Rochester's available Real Estate holdings, or through the Land Bank's holdings after the next Tax Foreclosure Auction.
  - If the participant is currently renting a unit in a property that they wish to purchase, that is acceptable as long as the owner is willing to sell at or below market value.
  - For those properties on the private market that require taking out a mortgage, participants can also choose to be reviewed for City Homebuyer Assistance for additional closing cost assistance.
- Provide accessory activities: successful completion of the program and purchase of a property will include any/all of these opportunities:
  - Facilitated meeting between new owner and new/existing tenants to review lease agreement, discuss prospective/desired updates or repairs.
    - The longest-lasting tenancies typically include a good relationship between the tenant and owner, and the Consultant will be expected to work towards creating a solid foundation for the relationship.

- A program through the City of Rochester many years ago called the ‘Doubles Program’ found that the most successful owner-occupant landlord situations were those in which the landlord rented to an extended family member; this option will be reviewed but not required by these participants.
  - Review for City of Rochester rehab programs, along with a meeting with the Ambassador to ensure things are going smoothly and receive guidance on any issues that have arisen.
  - Assistance navigating NYS energy efficiency and sustainability assistance programs to see if the property is eligible could be enrolled.
- Preference may be given for assistance that can be provided in both English and Spanish or other languages.

**Budget:** The available funding is \$200,000. It is anticipated that up to \$20,000 will be available for administrative costs, including any costs associated with enrollment in the education courses, and the other \$180,000 will be provided on behalf of the participants towards the purchase or repair of a property they purchase, or one that they own that is not currently in use for residential purposes.

**Term:** It is anticipated that the selected Consultant/Consultants will begin April 1, 2022, with a contract term of 1 year. All services must be completed and invoices submitted prior to March 31, 2023.

**Applicant Qualifications:** Respondent shall address each of the following areas, with details on how it expects to provide results.

1. **Service Area and Reach:** Please describe the service area and current programs provided by the organization, including the types of households typically served and the types of services available. Please describe the methods you use to serve eligible households.
2. **Proposed Approach and Qualifications:** Please describe how the organization is best suited to assist these households, the process for administering the program, as well as the activities that the organization is able to provide alongside or in addition to administering this Project. Please describe prior work that is similar and/or current administrative/financial capacity. List the names and resumes of all staff who will be involved this Project, including staff for any proposed sub-contractors. The Project role and any relevant experience that each staff has on prior work that is similar to this Project should be noted. The Respondent’s lead person for the Project should be clearly identified.
3. **Partnerships:** Please describe how the organization works with other community service providers, such as those providing legal services, emergency support, homelessness prevention, and/or financial assistance or rehabilitation/repair assistance.

4. **Rochester Presence** – Provide the Respondent’s office address, as well as the office addresses of any subcontractors proposed to assist with the Project. Summarize any information about the Respondent’s or proposed subcontractors’ experience working in the City of Rochester that is relevant to this Project.

Respondents are encouraged to offer other activities, methods, and data sources for how to address the areas above in their proposals. If, based on their experience, Respondents believe there are additional or alternate services, areas of work, or deliverables needed to help the City and Rochester ADLN Team to effectively administer this Project, they are encouraged to describe them in their Proposals.

## PROPOSAL PREPARATION AND SUBMISSION PROCESS

Proposals must be received by the City through email no later than 4:00pm pm EST on Thursday, January 27, 2022. Email should be directed to:

Lia Anselm, Senior Community Housing Planner  
[Lia.Anselm@cityofrochester.gov](mailto:Lia.Anselm@cityofrochester.gov)

This RFP is designed to facilitate the evaluation and selection of a Consultant or team of Consultants that is best able to achieve the City’s objectives. The Proposal shall contain a table of contents. All pages shall be numbered and major sections and any attachments shall be referenced in the proposal body. The response to each section shall be clearly indicated and addressed. If a response is not submitted, an explanation should be provided for why the Respondent is not submitting a Proposal for a specific section or requirement of the RFP.

Each Proposal shall be signed by an individual authorized to enter into and execute contracts on the Respondent’s behalf. Unless otherwise specified in its Proposal, the Respondent represents that it is capable of meeting or exceeding all requirements specified in this RFP.

Evaluation of Proposals will be conducted by the City based on information provided in the Respondent’s proposals and on such other available information that the City determines to be relevant. The evaluation of Proposals may include an interview or meetings with authorized personnel, and may involve the use of a third-party consultant.

The Consultant selected by the City will be required to enter into a Professional Services Agreement (PSA) with the City (see Attachment A, the City’s standard PSA form). The establishment of a PSA is contingent upon approval by City Council for all Agreements in excess of \$10,000 or for a period of more than one year and upon the availability of funds for such an agreement. Unless otherwise stated in the Proposal, the Respondent’s



response to this RFP shall be deemed its acceptance of the terms of this PSA. (Note: Attention is directed to the City's Living Wage requirements and MWBE and Workforce Utilization Goals.)

Respondents shall provide sufficient information in their written Proposals to enable the City review team to make a recommendation to the Mayor. The City reserves the right to invite any or all Respondents to an interview to discuss their Proposal. Any expenses resulting from such an interview will be the sole responsibility of the Respondent. The City is under no obligation to select any of the responding Respondents or to conduct the Project described herein. The City may amend or withdraw the RFP at any time, within its sole discretion. The City shall have no liability for any costs incurred in preparing a Proposal or responding to the City's requests with respect to the Proposal.

## **EVALUATION CRITERIA**

The following is a summary of the proposal evaluation criteria. It is within the City's sole discretion to determine the value assigned to each of these criteria.

1. **Proposal (40%):** The Respondent's comprehension of the needs of the City as demonstrated by its description of its approach to the elements listed in the Scope of Services section of this RFP.
2. **Experience, Capacity, and Credentials (40%):** The Respondent's relevant experience in providing the same or similar services.
3. **References and Resources (5%):** Evaluation of the Respondent's work for previous clients receiving similar services to those proposed in this RFP, as well as other resources available for clients through the organization and its network.
4. **Timeliness (10%):** The ability and method of the organization to provide timely billing, including and especially for attendees who do not close or take their post-purchase class until after the contract expires.
5. **Commitment of key principals to the Project (5%):** Demonstration of availability of senior-level staff or associates to be assigned to this Project to ensure depth, accountability, and diversity of perspective.

### **Bonus Weighting**

**Location Preference Goals (bonus weighting):** The City favors contracting with firms located in the City of Rochester. Therefore, additional weighting of 10% will be given to Respondents with offices located

in the City. Non-local firms may wish to consider partnerships or other collaborative arrangements with local firms as a strategy to address this criterion.

**MWBE and Workforce Goals (bonus weighting):** The City of Rochester desires to encourage minority and women owned (MWBE) businesses to participate in opportunities to enter into PSAs with the City and to encourage minorities and women in the workforce. Pursuant to Ordinance No. 2018-54, the City has a goal that 30% of the aggregate annual contract awards for professional service contracts over \$10,000 be awarded to minorities (M) (15%) and women (W) (15%). The City has also established workforce goals of 20% M and 6.9% W for professional services consulting contracts. For more information please see <http://www.cityofrochester.gov/mwbe>.

Respondents shall be awarded M/WBE bonus weighting as follows:

1. The City will give preference to Consultants who are New York State certified MWBEs. Consultants who meet this requirement shall receive **an additional weighting of 10%**.
2. The City will give preference to Consultants who utilize state certified MWBE subcontractors with bona fide offices and operations in the Empire State Development Finger Lakes Region, which includes the following counties: Genesee, Livingston, Monroe, Ontario, Orleans, Seneca, Wayne, Wyoming and Yates. State-certified MWBEs from outside the Region may be counted if there are insufficient businesses in the Region to perform the specialized work or consulting services required. If one or more MWBE subcontractors will perform 10% to 20% of the work of the contract – measured as either a percent of the total contract amount or as a percent of the total full-time-equivalent labor hours budgeted for this project, the consultant shall receive **an additional weighting of 5%**. If MWBE subcontractors will perform more than 20% of the work of the contract, the Consultant shall receive an **additional weighting of 10%**.
3. Consultants shall provide sufficient documentation with their proposal to support the additional preference weighting as an MWBE Consultant or for use of MWBE subcontractors. If one or more MWBE subcontractors are proposed, they must be named and the size of the subcontract identified. If selected, the Consultant shall submit an MWBE Utilization Plan on the City's form for approval by the City's MWBE Officer. Once approved, the Utilization Plan shall be incorporated into the PSA.
  - a. If the total amount of a PSA is increased by 5% or more at any time during the term of the PSA, the Consultant shall submit a revised MWBE Utilization Plan for approval by the MWBE Officer. The MWBE Officer may also issue a revised MWBE Utilization Plan for unforeseen changes in the availability of MWBE subcontractors during the term of the PSA.

4. The City will give preference to Consultants who meet or exceed the City's workforce goals, which are: 20% M and 6.9% W. Consultants who demonstrate that their workforce and/or their subcontractors' workforce on this Project meets or exceeds these goals shall receive an **additional weighting of 10%**. If selected, the Consultant shall submit a Workforce Staffing Plan on the City's Form for review by the MWBE Officer. Once reviewed, the Workforce Staffing Plan shall be incorporated into the PSA. The calculated percentages of workforce utilization shall be based on actual hours worked and billed over the term of the project. The final determination of a workforce goals accomplished during the contract shall be based on hours reported in the workforce utilization reports.
5. If selected, the Consultant shall provide MWBE utilization and subcontractor/supplier payment certification and/or workforce utilization reports on the City's forms. These reports shall be submitted with each invoice or as otherwise requested by the MWBE Officer.
6. A failure to submit the required subcontractor/supplier payment certification and/or workforce utilization reports shall constitute a default in the performance of the Agreement subject to potential termination for default by the City. In addition, if the selected Consultant fails to meet the most recent MWBE Utilization Plan and/or Workforce Staffing Plan, for which additional weight was awarded by the end of the PSA, such failure may result in disqualification from award of future contracts with the City.
7. Summary of additional evaluation weighting points for MWBE and Workforce Goals:

Category of Additional Evaluation Points	Additional Weight Awarded
Consultant is New York State Certified MWBE	10%
Utilize MWBE Subcontractors for 10-20% of work	5%
Utilize MWBE Subcontractors for more than 20% of work	10%
Meet or exceed workforce goals of 20% M and 6.9% W	10%

Non-NYS certified MWBE firms may wish to consider partnerships or other collaborative arrangements with local NYS certified MWBE firms as a strategy to address this criterion. The City of Rochester compiles and periodically updates a list of NYS certified MWBE firms as a service to anyone looking to do business with M/WBE firms in our city and region. The most recent update of the list (May 1, 2020) can be found under the Business Directories section of the City's MWBE webpage: <https://www.cityofrochester.gov/WorkArea/DownloadAsset.aspx?id=21474844265>

**Other Criteria:** Other criteria may be considered and evaluated by the City if it is determined to be in the best interest of the City and the success of the Project to do so.

The selection of a Consultant is within the City's sole discretion and no reasons for rejection or acceptance of a Proposal are required to be given. Although costs are an important consideration, the decision will be based on qualifications and compliance with the requirements of this RFP and not solely on cost. The City reserves the right to reject any or all Proposals or to accept a Proposal that does not conform to the terms set forth herein. The City further reserves the right to waive or modify minor irregularities in the Proposals and negotiate with Consultants to serve the City's best interest.

## MISCELLANEOUS

The City reserves the right to amend or withdraw this RFP in the City's sole discretion, including any timeframes herein, upon notification of all Respondents as set forth above, and in such case, the City shall have no liability for any costs incurred by any Respondent.

The City may request additional information from any Respondent to assist the City in making its evaluation.

The Proposal and all materials submitted with the Proposal shall become property of the City and will be subject to NYS Freedom of Information Law. If any proprietary information is submitted with the Proposal, it must be clearly identified and a request to keep such information confidential must be submitted.

Submission of a Proposal shall constitute a binding offer by Respondent to provide the services at the prices described therein until such time as the parties enter into a PSA.

**Attachment A**  
**The City's standard Professional Services Agreement**

**AGREEMENT FOR  
PROFESSIONAL SERVICES**

**THIS AGREEMENT**, is made this \_\_, day of \_\_\_\_\_, 20\_\_, by and between the **CITY OF ROCHESTER**, a municipal corporation having its principal office located at City Hall, 30 Church Street, Rochester, New York 14614, hereinafter referred to as the "City" and \_\_\_\_\_, with offices located at \_\_\_\_\_, Rochester, N.Y. 14 \_\_, hereinafter referred to as the "Consultant".

**WITNESSETH:**

**WHEREAS**, the City desires to secure the professional services of a Consultant to provide services required for \_\_\_\_\_, hereinafter referred to as the "Project", and,

**WHEREAS**, the Consultant has the necessary equipment, personnel and expertise to perform the Project.

**NOW THEREFORE**, in consideration of the terms and conditions contained herein, the parties do covenant and agree as follows:

**SECTION 1.     DESCRIPTION OF SERVICES**

**A.**       The Consultant shall, upon the commencement date specified in Section 2 hereof, perform in a professional and workmanlike manner to the reasonable satisfaction of the City, the following services:

**B.**       Except as otherwise specified in this Agreement, all equipment, materials and supplies required to carry out the provisions of this Agreement and to perform the services described above shall be furnished by the Consultant and shall be fit for their purpose to the reasonable satisfaction of the City.

**SECTION 2.     TERM**

The services required of the Consultant pursuant to this Agreement shall commence on \_\_\_\_ and shall terminate on \_\_\_\_\_.

**SECTION 3.     FEE**

**A.**       The City agrees to pay and the Consultant agrees to accept as full payment for the work and services performed pursuant to this Agreement, the following payable in the following manner:

B. The total fee payable by the City pursuant to this Agreement, including all costs and disbursements whatsoever shall not exceed the sum of \_\_\_\_\_ Dollars (\$\_\_\_\_\_).

**SECTION 4. AUTHORIZED AGENT FOR THE CITY AND THE CONSULTANT**

A. The City hereby designates:

B. The Consultant hereby designates:

or their authorized representatives, as Authorized Agents of the City and of the Consultant for receipt of all notices, demands, vouchers and other communications pursuant to this Agreement,. The parties reserve the right to designate other or additional agents upon written notice to the other party. In no event shall the City's Authorized Agent be authorized to amend or extend this Agreement or to accept service for the commencement of any legal actions or proceedings related to the Agreement.

**SECTION 5. TERMINATION FOR DEFAULT**

The performance of work under this Agreement may be terminated by the City in accordance with this clause in whole, or in part, whenever the Consultant shall default in the performance of this Agreement in accordance with its terms. Upon termination, the City may take over the work to be performed and complete the same by contract or otherwise, in the City's discretion and the Consultant shall be liable to the City for any excess cost occasioned thereby. The total fee payable to the Consultant under this Agreement upon such termination shall be such proportionate part of the total fee as the value of the work satisfactorily completed and delivered to the City bears to the value of the work contemplated by this Agreement.

**SECTION 6. INDEMNIFICATION**

The Consultant hereby agrees to defend, indemnify and save harmless the City of Rochester against any and all liability, loss, damage, suit, charge, attorney's fees and expenses of whatever kind or nature which the City may directly or indirectly incur, or be required to pay by reason or in consequence of the intentionally wrongful or negligent act or omission of the Consultant, its agents, employees or contractors. If a claim or action is made or brought against the City and for which the Consultant may be responsible hereunder in whole or in part, then the Consultant shall be notified and shall handle or participate in the handling of the defense of such matter.

**SECTION 7. INSURANCE**

A. Workers' Compensation and Disability Benefits Insurance

This Agreement shall be void and of no effect unless the Consultant shall secure compensation for the benefit of, and keep insured during the life of this Agreement, any and all employees as are required to be insured

under the provisions of the Workers' Compensation Law of the State of New York or the state of the Consultant's residence, whichever may apply. The Consultant shall provide proof to the City, duly subscribed by an insurance carrier, that such Workers' Compensation and Disability Benefits coverage have been secured. In the alternative, Consultant shall provide proof of self-insurance or shall establish that Worker' Compensation and/or Disability Benefits coverage is not required by submitting the current and required New York State Workers' Compensation Board's form.

**B. General Liability Insurance (IF APPLICABLE)**

The Consultant shall obtain at its own expense general liability insurance for protection against claims of personal injury, including death, or damage to property, arising out of the Project. The amount of said insurance coverage shall be in the amount of Two Million Dollars if said insurance is a "Defense within Limits" policy under which all claim expenses are included within both the applicable limit of liability and self-insured retention. Otherwise, the insurance coverage shall be in the amount of One Million Dollars. Said insurance shall be issued by a reputable insurance company, authorized to do business in the State of New York. Said insurance shall also name the City of Rochester as an insured and copies of the policy endorsements reflecting the same shall be provided. The Consultant shall provide the City with a certificate of insurance from an authorized representative of a financially responsible insurance company evidencing that such an insurance policy is in force. Furthermore, the Consultant shall provide a listing of any and all exclusions under said policy. The insurance shall stipulate that, in the event of cancellation or modification the insurer shall provide the City with at least thirty (30) days written notice of such cancellation or modification. In no event shall such liability insurance exclude from coverage any municipal operations or municipal property related to this Agreement.

**SECTION 8. EQUAL OPPORTUNITY AND MWBE AND WORKFORCE UTILIZATION GOALS**

**A. General Policy**

The City of Rochester, New York reaffirms its policy of Equal Opportunity and its commitment to require all contractors, lessors, vendors and suppliers doing business with the City to follow a policy of Equal Opportunity, in accordance with the requirements set forth herein. The City further does not discriminate on the basis of disability, in admission or access to, or treatment or employment in its programs and activities. The City is including these policy statements in all bid documents, contracts, and leases. Contractors, lessors, vendors and suppliers shall comply with all State and Federal Equal Opportunity laws and regulations and shall submit documentation regarding Equal Opportunity upon the City's request.

**B. Definitions**

MINORITY GROUP PERSONS - shall mean a person of Black, Hispanic, Asian, Pacific Islander, American Indian, or Alaskan Native ethnic or racial origin and identity.

**C. Compliance**

The Consultant shall comply with all of the following provisions of this Equal Opportunity Requirement:

1. The Consultant agrees that he will not discriminate against any employee for employment because of age, race, creed, color, national origin, sex, sexual orientation, gender identity or



expression, disability, or marital status in the performance of services or programs pursuant to this Agreement, or in employment for the performance of such services or programs, against any person who is qualified and available to perform the work in which the employment relates. The Consultant agrees that in hiring employees and treating employees performing work under this Agreement or any subcontract hereunder, the Consultant, and its subcontractors, if any, shall not, by reason of age, race, creed, color, national origin, sex, sexual orientation, gender identity or expression, disability or marital status discriminate against any person who is qualified and available to perform the work to which the employment relates. The Consultant agrees to take affirmative action to ensure that applicants are employed, and that applicants are hired and that employees are treated during their employment, without regard to their of age, race, creed, color, national origin, sex, sexual orientation, gender identity or expression, disability, or marital status. Such actions shall include, but not be limited to the following: employment, upgrading, demotions or transfers, recruitment and recruitment advertising, layoffs, terminations, rates of pay and other forms of compensation, and selection for training, including apprenticeship.

2. The Consultant agrees that its employment practices shall comply with the provisions of Chapter 63 of the Rochester Municipal Code, which restricts inquiries regarding or pertaining to an applicant's prior criminal conviction in any initial employment application.
3. If the Consultant is found guilty of discrimination in employment on the grounds of age, race, creed, color, national origin, sex, sexual orientation, gender identity or expression, disability, or marital status by any court or administrative agency that has jurisdiction pursuant to any State or Federal Equal Opportunity Laws or regulations, such determination will be deemed to be a breach of contract, and this Agreement will be terminated in whole or part without any penalty or damages to the City on account of such cancellation or termination, and the Consultant shall be disqualified from thereafter selling to, submitting bids to, or receiving awards of contract with the City of Rochester for goods, work, or services until such time as the Consultant can demonstrate its compliance with this policy and all applicable Federal and State Equal Opportunity laws and regulations.
4. The Consultant shall cause the foregoing provisions to be inserted in all subcontracts, if any, for any work covered by this Agreement so that such provisions will be binding upon each subcontractor, provided that the foregoing provisions shall not apply to subcontracts for standard commercial supplies or raw materials.

**D. MWBE and Workforce Utilization Goals**

The City of Rochester has established a policy to promote the growth and development of Minority and Women Business Enterprises (MWBE) and to improve employment opportunities for minorities and women and has adopted MWBE goals and minority workforce participation goals that apply to professional services consulting agreements with a maximum compensation exceeding \$10,000 pursuant to Ordinance No. 2018-54.

Ordinance No. 2018-54 established the goal that MWBE's receive 30% of the total annual contract awards with aggregate minority and women award goals of 15% each. Ordinance No. 2018-54 further established annual aggregate workforce goals of 20% minority and 6.9% women.

The Consultant shall submit a workforce staffing plan, which, when reviewed by the City's MWBE Officer, shall be incorporated into this Agreement as Exhibit A, detailing the percentage of the workforce utilized to perform the work of this agreement who will be either minority or women, including both the Consultant's workforce and that of any subcontractors who will be utilized. Consultant shall submit workforce utilization reports on the City's forms with each invoice or as otherwise requested by the MWBE Officer. The Consultant understands and accepts that the calculated percentages of workforce utilization shall be based on actual hours worked and billed over the term of the project. The final determination of a workforce goals accomplished during the contract shall be based on hours reported in the workforce utilization reports.

The Consultant shall submit an MWBE utilization plan with respect to any subcontractors or suppliers used to perform the services under this Agreement, which, when approved by the City's MWBE Officer, shall be incorporated into this Agreement as Exhibit B. Consultant shall submit MWBE utilization and subcontractor/supplier payment certification on the City's forms with each invoice or as otherwise requested by the MWBE Officer.

During the term of the Agreement, the Consultant shall notify the City if a change occurs that will result in a significant (5% or more) increase or decrease in the workforce staffing plan and/or MWBE utilization plan goals incorporated as Exhibit A and/or Exhibit B of this Agreement. A revised workforce staffing plan and/or MWBE utilization plan must be approved by the MWBE Officer. Once signed by the Consultant and the MWBE Officer, such revised plan(s) shall be incorporated into this Agreement as an amendment pursuant to Section 17.

Consultant's failure to submit MWBE and subcontractor/supplier payment certification forms, if required, and the workforce utilization reports shall constitute a default in the performance of this Agreement. Failure to meet the goals stated in the most recent workforce staffing plan and/or the MWBE utilization plan incorporated into the Agreement may result in disqualification from award of future contracts with the City.

## **SECTION 9.                    TITLE VI OF THE CIVIL RIGHTS ACT OF 1964**

The City of Rochester hereby gives public notice that it is the City's policy to assure full compliance with Title VI of the Civil Rights Act of 1964, the Civil Rights Restoration Act of 1987, and related statutes and regulations in all programs and activities. Title VI requires that no person in the United States of America shall, on the grounds of race, color, gender, or national origin be excluded from the participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the City receives federal financial assistance. Any person who believes they have been aggrieved by an unlawful discriminatory practice under Title VI has a right to file a formal complaint with the City. Any such complaint shall be in writing and filed with the City Title VI Coordinator within one hundred eighty (180) days following the date of the alleged discriminatory occurrence. Title VI Discrimination Complaint Forms may be obtained from the City at no cost to the complainant, or on the City's website at [www.cityofrochester.gov](http://www.cityofrochester.gov), or by calling (585) 428-6185.

## **SECTION 10.                    FREEDOM OF INFORMATION LAW**

Disclosures required by New York's Freedom of Information Law ("FOIL") shall not be considered a breach of any confidentiality provisions in this Agreement. Should Consultant provide the City with any records it deems confidential and exempt from FOIL, Consultant shall clearly mark such portions of those records as confidential and exempt from FOIL disclosure. Upon any request for disclosure of information so marked, the City will inform Consultant of the request and give Consultant ten (10) business days to submit a written statement of necessity for exempting the records from disclosure pursuant to New York Public Officers Law 89(5). As required by the Public Officers Law, the City will issue a determination as to disclosure within seven (7) business days. If the City determines that the records shall be disclosed, Consultant may appeal the City's determination within seven (7) business days. Thereafter, the City shall respond to Consultant's appeal within ten (10) business days. If the City issues an adverse determination, Consultant may appeal the decision within fifteen (15) days of service by commencing an Article Seventy-Eight (78) proceeding under New York's Civil Practice Law and Rules.

## **SECTION 11.                    LIVING WAGE REQUIREMENTS**

### **A.            Applicability of Living Wage Requirements**

This section shall apply and the Consultant shall comply with the requirements of Section 8A-18 of the Municipal Code of the City of Rochester, known as the Rochester Living Wage Ordinance, whenever payments by the City to the Consultant under this Agreement shall equal or be greater than fifty thousand dollars (\$50,000) during a period of one year. If this Agreement is amended to increase the amount payable hereunder to fifty thousand dollars (\$50,000) or more during a period of one year, then any such amendment shall be subject to Section 8A-18.

### **B.            Compliance**

The Consultant shall pay no less than a Living Wage to any part-time or full-time Covered Employee, as that term is defined in Section 8A-18B, who directly expends his or her time on this Agreement, for the time said person actually spends on this Agreement. Living Wage, as set forth in this Agreement, shall be the hourly amount set forth in Section 8A-18(C)(2), and any adjustments thereto, which shall be made on July 1 of each year and shall be made available in the Office of the City Clerk and on the City's website, at [www.cityofrochester.gov](http://www.cityofrochester.gov). Consultant shall also comply with all other provisions of Section 8A-18, including but not limited to all reporting, posting and notification requirements and shall be subject to any compliance, sanction and enforcement provisions set forth therein.

### **C.            Exemption**

This section shall not apply to any of Consultant's employees who are compensated in accordance with the terms of a collective bargaining agreement.

## **SECTION 12.                    COMPLIANCE WITH MACBRIDE PRINCIPLES**

The Consultant agrees that it will observe Ordinance No. 88-19 of the City of Rochester, which condemns religious discrimination in Northern Ireland and requires persons contracting to provide goods and

services to the City to comply with the MacBride Principles. A copy of the MacBride Principles is on file in the Office of the Director of Finance.

**SECTION 13. COMPLIANCE WITH ALL LAWS**

The Consultant agrees that during the performance of the work required pursuant to this Agreement, the Consultant, and all employees working under the Consultant's direction shall strictly comply with all local, state, or federal laws, ordinances, rules or regulations controlling or limiting in any way the performance of the work required by this Agreement. Furthermore, each and every provision of law and clause required by law to be inserted in this agreement shall be deemed to be inserted herein. If, through mistake or otherwise, any such provision is not inserted, or is not properly inserted, then upon the application of either party this Agreement shall be forthwith physically amended to make such insertion or correction.

**SECTION 14. AUDIT**

The Consultant agrees that the City shall, until the expiration of three (3) years after final payment, have access to and the right to examine, at no cost to the City, any directly pertinent books, documents, papers and records of the Consultant and of any of the subcontractors engaged in the performance of and involving transactions related to this Agreement or any subcontracts.

**SECTION 15. PROHIBITION AGAINST ASSIGNMENT**

The Consultant is prohibited from assigning, transferring, conveying, subletting or otherwise disposing of this Agreement or any of its contents, or of any right, title or interest therein, or of the power to execute this Agreement, to any other person or corporation without the previous written consent of the City.

**SECTION 16. OBLIGATIONS LIMITED TO FUNDS AVAILABLE**

The parties specifically agree that the Consultant's duty to perform work under this Agreement and the City's obligation to pay for that work, including any out-of-pocket and subcontracting expenses of the Consultant, shall be limited to the amount of money actually appropriated by the City Council and encumbered (i.e., certified as being available) for this Project by the City Director of Finance (or his authorized deputy). This provision shall limit the parties' obligation to perform even though this Agreement may provide for the payment of a fee greater than the appropriated and encumbered amount.

**SECTION 17. EXTENT OF AGREEMENT**

This Agreement constitutes the entire and integrated Agreement between and among the parties hereto and supersedes any and all prior negotiations, agreements and conditions, whether written or oral. Any modification or amendment to this Agreement shall be void unless it is in writing and subscribed by the party to be charged or by the party's Authorized Agent.

**SECTION 18. STATUS AS INDEPENDENT CONTRACTOR**

The Consultant, as an independent contractor, covenants and agrees to conduct the work under this Agreement consistent with such status. The Consultant shall neither pretend nor claim to be an officer or employee of the City by reason hereof, nor make any claim, demand or application to or for any right or

privilege applicable to an officer or employee of the City, including but not limited to Workers' Compensation coverage, unemployment insurance benefits, social security coverage or retirement membership or credit.

**SECTION 19.     LAW**

This Agreement shall be governed by and under the laws of the State of New York. In the event that a dispute arises between the parties, venue for the resolution of such dispute shall be the County of Monroe, New York.

**SECTION 20.     NO-WAIVER**

In the event that the terms and conditions of this Agreement are not strictly enforced by the City, such non-enforcement shall not act as or be deemed to act as a waiver or modification of this Agreement, nor shall such non-enforcement prevent the City from enforcing each and every term of this Agreement thereafter.

**SECTION 21.     SEVERABILITY**

If any provision of this Agreement is held invalid by a court of law, the remainder of this Agreement shall not be affected thereby if such remainder would then continue to conform to the laws of the State of New York.

IN WITNESS WHEREOF, the parties have duly executed this Agreement on the date first written above.

**CITY OF ROCHESTER**

BY: \_\_\_\_\_  
      , Mayor

**CONSULTANT**

BY: \_\_\_\_\_  
Name:

STATE OF NEW YORK)  
COUNTY OF MONROE )   SS:

On this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_, before me the subscriber, personally came \_\_\_\_\_ known, who being by me duly sworn, did depose and say that he resides in the City of Rochester; that he is the Mayor of the City of Rochester, the municipal corporation described in and which executed the above instrument; and that he signed her name to the foregoing instrument by virtue of the authority vested in him by the laws of the State of New York and the local laws and ordinances of the City of Rochester.

\_\_\_\_\_

Notary Public

STATE OF NEW YORK)  
COUNTY OF MONROE) ss.:

On the \_\_\_\_ day of \_\_\_\_\_, 20\_\_ before me, the undersigned, a Notary Public in and for said State, personally appeared \_\_\_\_\_, personally known to me or proved to me on the basis of satisfactory evidence to be the individual(s) whose name(s) is (are) subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their capacity(ies), and that by his/her/their signature(s) on the instrument, the individual(s), or the person upon behalf of which the individual(s) acted, executed the instrument.

\_\_\_\_\_  
Notary Public