

Request For Qualifications (“RFQ”) to Provide Findings and Reports to The Nassau County Interim Finance Authority Regarding The Nassau County Industrial Development Agency, The Nassau Regional Off-Track Betting Corporation and The Nassau University Medical Center

Response(s) to Question(s)

Please be advised that responses to questions are provided to the best of NIFA’s knowledge at the time given but in no event shall NIFA be bound by any such responses. In addition, NIFA reserves the right to post all responses on its website and/or share them with other RFQ respondents.

August 4, 2022

Question: Is it permitted for a firm to propose for 2 of the 3 entity pools or must they propose for all 3?

Response: *A firm may propose for two of the three entities (or only one or all three), as provided in Section V (Response Requirements) of the RFQ:*

Responses with your firm’s qualifications may be submitted with respect to one or more Entities, but separate responses must be submitted for each Entity and shall be limited to a maximum of ten (10) pages (12-point type) per Entity, excluding resumes and cost proposals.

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August 16, 2022

Question 1: Please indicate which of these forms will be required to be submitted with the proposal and which of these forms are to be submitted upon receipt of the contract.

- Appendix I: Non-Collusive Bidding Certification Required by Section 139-d of the State Finance Law
- Appendix II: Non-Discrimination in Employment in Northern Ireland MacBride Fair Employment Principles
- Appendix III: Certification Pursuant to State Finance Law §139
- Attachment B: Non-discrimination/Sexual Harassment Clause
- Attachment C: EEO and MWBE Required Forms
- Diversity Practices Questionnaire for Bidders
- Form A: Staffing Plan
- Form C: Contractor M/WBE Quarterly Report
- Form D: M/WBE Utilization Plan

Response: *As provided in RFQ Section VII (Other Conditions and Limitations), the forms included in Appendices I, II and III are required upon submission of the response the RFQ:*

Respondents must fully execute the Non-Collusive Bidding Certification Required by Section 139-d of the State Finance Law (Appendix I), the Non-Discrimination in Employment in Northern Ireland MacBride Fair Employment Principles certification (Appendix II), and the Certification Pursuant to State Finance Law Section 139 (regarding State law governing permissible communications during the procurement restricted period) (Appendix III) located at the end of this RFQ upon submission of the response. In addition, respondents are urged to review and consider “Standard Clauses for NIFA Contracts” (Appendix IV) at the end of this RFQ as these will only be modified under the most compelling of circumstances.

Other listed forms must be submitted upon award of a contract, if any.

Question 2: The RFQ requests that we provide equal employment opportunity reports on the composition of the firm’s workforce and of the staff to be assigned to the engagement. Would it be OK if we leverage Form A - Staff Plan form to provide that information?

Response: *Respondents may complete and submit Form A - Staffing Plan (included in Attachment C of Appendix IV to the RFQ) with their responses to the RFQ to provide required equal employment opportunity reports on the composition of the firm’s workforce and of the staff to be assigned to the engagement.*

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August 17, 2022 (Received August 16, 2022)

QUESTIONS FOR RFQ TO PROVIDE FINDINGS AND REPORTS TO NIFA REGARDING NUMC

Question 1: Page 4, Section V of the RFQ states that the proposal shall not exceed ten (10) pages. Please clarify the following:

- a. Section V. (page 4) requires Equal Employment Opportunity reports. Are these reports excluded from the 10-page maximum noted above?
- b. Section VI. (page 5) states that the RFQ must include a cover letter. Is the cover letter excluded from the 10-page maximum noted above?
- c. While our proposal will include high-level experience as requested in the Response Requirements, would we be able to provide more detailed case studies in the Appendix that do not count towards the 10-page maximum?
- d. Please confirm that the required forms included in Appendices 1 through 3 (as noted on page 7) do not count towards the 10-page maximum.

Response: *The 10-page maximum per Entity for responses applies to the information required by RFQ Section V (Response Requirements), and excludes only resumes and cost proposals:*

Responses with your firm’s qualifications may be submitted with respect to one or more Entities, but separate responses must be submitted for each Entity and shall be limited to a maximum of ten (10) pages (12-point type) per Entity, excluding resumes and cost proposals...

- a. Section V requires respondents to submit Equal Employment Opportunity reports on the composition of the firm’s workforce and of the staff to be assigned to the engagement. Such information is subject to the 10-page maximum per Entity for responses. See also the response to Question 2 regarding Equal Employment Opportunity reports.*
- b. A cover letter, as required by RFQ Section VI (Administrative Information and Conditions), is not part of the response requirements of RFQ Section V and does not count towards the 10-page maximum per Entity described therein.*
- c. Case studies demonstrating the experience of a respondent would be subject to the 10-page maximum per Entity for responses under Section V. Please note that Section V also provides:*

If your firm's work product for a reference is available, please provide the RFQ Contact (defined in Section VI of this RFQ) with a link to the information.

d. The forms included in Appendices 1 through 3, as required by RFQ Section VII (Other Conditions and Limitations), are not part of the response requirements of RFQ Section V and do not count towards the 10-page maximum per Entity described therein.

Question 2. The third bullet under V. Response Requirements (page 4) states that Equal Employment Opportunity reports should be provided. Please clarify if this is referring to Attachment C (starting on page 31 of the PDF), which includes the following reports:

- a. Minority and Women-Owned Business Enterprises – Equal Employment Opportunity Policy Statement,
- b. Diversity Practices Questionnaire for Bidders,
- c. Form A - Staffing Plan,
- d. Form C - Contractor M/WBE Quarterly Report and
- e. Form D - M/WBE Utilization Plan.

Response: *RFQ Section V (Response Requirements) requires respondents to submit Equal Employment Opportunity reports on the composition of the firm's workforce and of the staff to be assigned to the engagement. Respondents may complete and submit Form A - Staffing Plan (included in Attachment C of Appendix IV to the RFQ) with their responses to the RFQ to provide such information. Other listed forms must be submitted upon award of a contract, if any.*

Question 3. Are any other EEO forms required that are not included in Attachment C?

Response: *See the response to Question 2.*

Question 4. Is there a specific grading system that NIFA will use to evaluate RFQ respondents?

Response: *Responses to the RFQ will be graded based on the evaluation criteria described in Section VI (Administrative Information and Conditions):*

4. Evaluation Criteria

Each response will be evaluated for qualification for inclusion on the Panel based upon the following criteria:

- *experience and qualifications of the responding firm and the staff (including managerial) to be assigned to the project, evidence of satisfactory, timely performance on similar projects, and references and interviews, if conducted;*
- *demonstrated understanding of the Authority's needs and the operations of the Entities;*
- *overall quality of the response; and*
- *cost proposed (please make your cost proposal a separate section).*

Question 5. Will this be funded directly by NIFA, or is there a separate funding process through New York State?

Response: *The costs of the audits described in the RFQ will be a NIFA expense.*

Question 6. Is the review/audit for NUMC limited to the hospital or are the other subsidiaries of Nassau Health Care Corporation, such as A. Holly Patterson Extended Care Facility, the Faculty Practice Plan, Nassau Health Care Foundation, Inc., NHCC, Ltd., etc. to be included? If so, please list all organizations included in the review.

Response: *RFQ Section I (Statement of Purpose) provides that recent New York State legislation requires NIFA to conduct audits of (1) the Nassau County Industrial Development Agency, (2) the Nassau Regional Off-Track Betting Corporation and (3) the Nassau University Medical Center (“NUMC”). RFQ Section II (Background) describes NUMC as a public hospital owned and operated by the Nassau Health Care Corporation (“NHCC”), a State public authority and public benefit corporation. As the legislative mandate does not extend to other NHCC facilities, the review will be limited to NUMC.*

Question 7. Is the review of NUMC expected to be a) a historical review, b) a review of the 2023 Budget, or c) a combination of both periods?

Response: *The subject matters of the audits, reviews or analyses are to be determined. Please refer to RFQ Section III (Scope of Work), which provides:*

NIFA intends to select one or more qualified firms from the Panel to perform individual audits, reviews or analyses and provide Findings and Reports concerning particular programs, operations, activities or other areas of focus, as determined by the Authority. NIFA encourages RFQ respondents to suggest subject matters for potential audit, review or analysis and, if feasible, to recommend appropriate scope and design components. NIFA shall, however, ultimately determine acceptable scope(s) and design(s) for each audit, review or analysis.

Question 8. If a review of the 2023 Budget is required, when is NUMC expected to have its 2023 Budget complete?

Response: *See the response to Question 7.*

Question 9. Please highlight any significant performance improvement initiatives currently in progress at NUMC?

Response: *As NIFA does not operate NUMC, it is unable to provide such information.*

Question 10. Will work papers and data room files previously provided to other consultants for NIFA and NUMC be made available?

Response: *Firms included on the RFQ Panel and selected therefrom to perform audits, reviews or analyses may request that relevant work papers and data room files previously provided to other consultants for NIFA and NUMC be made available, subject to all required authorizations.*

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August 18, 2022 (Received August 16, 2022)

Question 1: RFQ Section V (Response Requirements). Our approach to contract auditing will be fairly consistent between all entities. Will you accept an approach for all entities with specific nuances called out for each instead of an approach for each entity?

Response: *RFQ Section V permits respondents to submit responses with respect to one or more Entities, but separate responses must be submitted for each Entity. Further, the scope, design and methods of the audits, reviews or analyses are to be determined.*

Please refer to RFQ Section III (Scope of Work):

NIFA intends to select one or more qualified firms from the Panel to perform individual audits, reviews or analyses and provide Findings and Reports concerning particular programs, operations, activities or other areas of focus, as determined by the Authority. NIFA encourages RFQ respondents to suggest subject matters for potential audit, review or analysis and, if feasible, to recommend appropriate scope and design components. NIFA shall, however, ultimately determine acceptable scope(s) and design(s) for each audit, review or analysis.

Please also refer to RFQ Section IV (Methods and Programs):

The nature and extent of the work to be carried out in each audit, review or analysis will be agreed upon between the qualified and selected firm(s) and the Authority. It will include such tests of the records and procedures as are deemed necessary in accordance with all applicable standards, including but not limited to: the examination of supporting evidentiary material; the observation or written confirmation of selected information; and observation and discussion of operating practices.

Question 2: RFQ Section V (Response Requirements). Will you accept a PPT proposal or do you prefer it structured in Word?

Response: *RFQ Section VI (Administrative Information and Conditions, 2. Submissions of Responses) provides:*

All responses must be received by the RFQ Contact by email in pdf format no later than 4:00 P.M. on August 23, 2022. NIFA also may request that respondents provide responses in other electronic format(s) by email to the RFQ Contact.

Thus, RFQ responses must be in pdf format, unless specifically requested otherwise by NIFA.

Respondents may submit a PowerPoint presentation saved in pdf format, subject to the maximum of ten (10) pages (12-point type) per Entity for responses described in RFQ Section V.

Question 3: RFQ Section III (Scope of Work). What is NIFA's expectation regarding updating the findings and reports, as necessary? Typically, our issuance of the final report takes into consideration vetting of the observations with both parties and an understanding that there is an agreement as to its contents, and if not, appropriate documentation regarding the third party's position is included within the report.

Response: *NIFA has no current expectation regarding updating Findings and Reports, but as indicated in RFQ Section III, such updates, as necessary, are among the services that qualified and selected firm(s) are to provide. RFQ Section V (Response Requirements) states that responses must indicate the cost, if any, to update Findings or a Report.*

Question 4: RFQ Section V (Response Requirements). Is NIFA interested in a full contract audit of all the terms and conditions for each entity/agency or is there an expectation to scope certain high risk areas of the contracts only?

Response: *See the response to Question 1 with respect to the scope of the audits, reviews or analyses.*

Question 5: RFQ Section V (Response Requirements). If separate approaches are required for each entity, will NIFA require inclusion of at least three references per response, or is the expectation a minimum of three references pertaining to the entire RFQ?

Response: *As described above, RFQ Section V permits respondents to submit responses with respect to one or more Entities, but separate responses must be submitted for each Entity. Accordingly, respondents must include at least three references in each response, per Section V. A respondent, however, may include the same reference (or references) in more than one response, if appropriate.*
