



**RFP Document**

**Request for Proposals (RFP)**

**Low Income Housing Tax Credit (LIHTC) Compliance & Review Services**

**BY**

**The Housing Authority of Elgin**

**130 State St.**

**Elgin, IL 60123**

<b>RFP Issued:</b>	<b>September 8, 2020, 2020</b>
<b>Pre-Bid Teleconference call:</b>	<b>September 21, 2020 at 10:30am</b>
<b>Questions Deadline</b>	<b>September 25, 2020 at 3:30 pm</b>
<b>Proposal Deadline:</b>	<b>September 30, 2020 at 12:00 pm</b>

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## REQUEST FOR PROPOSALS (RFP) Low Income Housing Tax Credit File Review Services

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### INTRODUCTION

The Housing Authority of Elgin (HAE), as a public entity, provides federally subsidized housing and housing assistance to 1146 low-income families within Kane County, IL. AHA is headed by an Executive Director (ED) and is governed by a five-person board of commissioners and is subject to the requirements of Title 24 of the Code of Federal Regulations (hereinafter, —CFR) and the HAE's procurement policy.

In recent years, HAE has completed its portfolio asset repositioning by converting all its units to RAD. HAE has formed the Fox River Affordable Housing Corporation, a non-profit instrumentality to further facilitate the development and ongoing needs of each property. The Fox River Affordable Housing Corporation is a non-profit instrumentality of the Housing Authority of Elgin. FRAHC facilitates the development of affordable housing throughout the Kane County, IL area. FRAHC has been involved in eleven (11) affordable housing developments with estimated project costs exceeding \$200M since 2015. These projects are responsible for the development of 771 units of affordable housing and more than 400 families directly impacted from HAE programs.

In keeping with its mandate to provide efficient and effective services, the HAE is now soliciting proposals from qualified, certified and insured entities to provide Low Income Housing Tax Credit (LIHTC) File Review services and to partner with the HAE to ensure all LIHTC units files are reviewed for accuracy and compliance. The LIHTC file review services will be secured for the Central Park Towers (CPT) location: 164 units Total, 33 State Referral Network Units, 14 Market rate units, and 117 60% tax credit rate units,

All bids submitted in response to this solicitation must conform to all of the requirements and specifications outlined within this document and any designated attachments in its entirety.

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### RFP INFORMATION AT A GLANCE

HAE CONTACT PERSON	Martell Armstrong, Chief Executive Officer, Telephone 847-608-4404 <a href="mailto:marmstrong@haelgin.org">marmstrong@haelgin.org</a>
HOW TO OBTAIN THE RFP DOCUMENTS	1. Access <a href="http://haelgin.org">haelgin.org</a> 2. Contact Martell Armstrong
PRE-RFP TELE CONFERENCE	September 21, 2020 @ 10:30 am CST, See Section 3.6 for details
HOW TO FULLY RESPOND TO THIS RFP	1. As directed within Section 3.3 of the RFP document, submit 1 original and 2 copies of your “hard copy” proposal to the Central Office
SUBMITAL RETURN & DEADLINE	September 30, 2020 at 12:00 pm CST at the 130 State Street, Elgin, IL 60123

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ANTICIPATED APPROVAL BY AHA BOARD OF COMMISSIONERS	October 27, 2020
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### 1.0 HAE'S RESERVATION OF RIGHTS:

- 1.1 The HAE reserves the right to reject any or all proposals, to waive any informality in the RFP process, or to terminate the RFP process at any time, if deemed by the HAE to be in its best interests.
- 1.2 The HAE reserves the right not to award a contract pursuant to this RFP.
- 1.3 The HAE reserves the right to terminate a contract awarded pursuant to this RFP, at any time for its convenience upon 10 days written notice to the successful proposer(s).
- 1.4 The HAE reserves the right to determine the days, hours and locations that the successful proposer(s) shall provide the services called for in this RFP.
- 1.5 The HAE reserves the right to retain all proposals submitted and not permit withdrawal for a period of 60 days subsequent to the deadline for receiving proposals without the written consent of the HAE Contracting Officer (CO).
- 1.6 The HAE reserves the right to negotiate the fees proposed by the proposer entity.
- 1.7 The HAE reserves the right to reject and not consider any proposal that does not meet the requirements of this RFP, including but not necessarily limited to incomplete proposals and/or proposals offering alternate or non-requested services.
- 1.8 The HAE shall have no obligation to compensate any proposer for any costs incurred in responding to this RFP.
- 1.9 The HAE shall reserve the right to at any time during the RFP or contract process to prohibit any further participation by a proposer or reject any proposal submitted that does not conform to any of the requirements detailed herein.

### 2.0 SCOPE OF WORK (SOW)/TECHNICAL SPECIFICATIONS (T/S): The HAE is seeking proposals from qualified, certified and insured entities to provide LIHTC File review services consisting of, but not limited to, the following:

Review the following aspects of each file provided by HAE prior to move in and recertification for pre-approval consisting of, but not limited to the following:

- Appropriate rent and income limits
- Appropriate Authority provided utility allowances
- Household members

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- Appropriate set asides limits
- Third Party verifications
- Computation of income and assets
- Cover page Checklist and Calculation Worksheet for each file review must be provided on IHDA mandated forms.

### 3.0 PROPOSAL FORMAT:

**3.1 Tabbed Proposal Submittal:** The HAE intends to retain the successful proposer pursuant to a —Best Value basis, not a —Low Cost Proposal basis ("Best Value," in that the HAE will, as detailed within the following Section 4.0, consider factors other than just cost in making the award decision). Therefore, so that the HAE can properly evaluate the offers received, all proposals submitted in response to this RFP must be formatted in accordance with the sequence noted following. Each category must be separated by numbered index dividers (which number extends so that each tab can be located without opening the proposal) and labeled with the corresponding tab reference also noted below. None of the proposed services may conflict with any requirement the HAE has published herein or has issued by addendum.

Tab No.	Description
<b>1</b>	<b>Form of Proposal:</b> This Form is attached hereto as Attachment A to this RFP document. This 1-page Form must be fully completed, executed where provided thereon and submitted under this tab as a part of the proposal submittal.
<b>2</b>	<b>Form HUD-5369-C (8/93), <i>Certifications and Representations of Offerors, Non- Construction Contract:</i></b> This Form is attached hereto as Attachment B to this RFP document. This 2-page Form must be fully completed, executed where provided thereon and submitted under this tab as a part of the proposal submittal.
<b>3</b>	<b>Profile of Firm Form:</b> The Profile of Firm Form is attached hereto as Attachment C to this RFP document. This 2-page Form must be fully completed, executed and submitted under this tab as a part of the proposal submittal.
<b>4</b>	<b>Proposed Services:</b> As more fully detailed within Section 2.0, <i>Scope of Proposal/Technical Specifications</i> , of this document, the proposer shall, at a minimum, clearly detail within the information submitted under this tab documentation showing:
	As detailed within Section 4.0, Evaluation Factor No. 2, herein, the proposer’s Experience and Qualifications
	As detailed within Section 4.0, Evaluation Factor No. 3, herein, the proposer’s Methodology. (Including, if appropriate, labor categories, estimated hours and skill mix) and the proposer’s proposed Work Plan to provide the required services.

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	An explanation and copies of forms that will be used and reports that will be submitted and the method of such reports (i.e. written; fax; internet; etc.);
	<b>Managerial Capacity/Financial Viability:</b> The proposer entity must submit under this tab a concise description of its managerial and financial capacity to deliver the proposed services, including brief professional resumes for the persons identified within areas (5) and (6) of Attachment C, <i>Profile of Firm Form</i> . Such information shall include the proposer’s qualifications to provide the services; a description of the background and current organization of the firm.
<b>5</b>	<b>Client Information:</b> The proposer shall submit a listing of former or current clients, including any other Public Housing Authority, for whom the proposer has performed similar or like services to those being proposed herein. The listing shall, at a minimum, include:
<b>6</b>	The client’s name;
	The client’s contact name;
	The client’s telephone number;
	A brief description and scope of the service(s) and the dates the services were provided;
<b>7</b>	<b>Subcontractor/Joint Venture Information (Optional Item):</b> The proposer shall identify hereunder whether or not he/she intends to use any subcontractors for this job, if awarded, and/or if the proposal is a joint venture with another firm. Please remember that all information required from the proposer under the proceeding tabs must also be included for any major subcontractors (10% or more) or from any joint venture.
<b>8</b>	<b>Section 3 Business Preference Documentation (Optional Item):</b> For any proposer claiming a Section 3 Business Preference, he/she shall under this tab include the fully completed and executed Section 3 Business Preference Certification Form attached hereto as Attachment D and any documentation required by that form.
<b>9</b>	<b>Proof of Insurance:</b> The proposer shall provide proof of all pertinent insurance coverages.
<b>10</b>	<b>Other Information (Optional Item):</b> The proposer may include hereunder any other general information that the proposer believes is appropriate to assist the HAE in its evaluation.

**3.2 Entry of Proposed Fees:** The Authority is requiring proposers to submit a Fee Schedule detailing the cost for each completed file review and the cost for a secondary review. Please provide this information in a separate sealed envelope clearly marked “Pricing”

**3.3 Proposal Submission:** All pricing must be entered where provided within Pricing and all —hard copy proposals must be submitted and time-stamped received in the designated HAE office by no later than the submittal deadline stated herein (or within any ensuing addendum). A total of 1 original signature copy (marked —ORIGINAL) and 2 exact copies (each of the 3 separate proposal submittals shall have a cover and extending tabs) of the —hard copy|| proposal submittal, shall be placed unfolded in a sealed package and addressed to:

Housing Authority of Elgin, Attention: Purchasing  
 130 State Street  
 Elgin, IL 60123

**Housing Authority of Elgin, 130 State Street, Elgin, IL 60123**

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The package exterior must clearly denote the above noted RFP number and must have the proposer's name and return address. Proposals received after the published deadline will not be accepted.

**3.3.1 Submission Conditions:** DO NOT FOLD OR MAKE ANY ADDITIONAL MARKS, NOTATIONS OR REQUIREMENTS ON THE DOCUMENTS TO BE SUBMITTED! Proposers are not allowed to change any requirements or forms contained herein, either by making or entering onto these documents or the documents submitted any revisions or additions; and if any such additional marks, notations or requirements are entered on any of the documents that are submitted to the HAE by the proposer, such may invalidate that proposal. If, after accepting such a proposal, the HAE decides that any such entry has not changed the intent of the proposal that the HAE intended to receive, the HAE may accept the proposal and the proposal shall be considered by the HAE as if those additional marks, notations or requirements were not entered on such.

**3.3.1 Submission Responsibilities:** It shall be the responsibility of each proposer to be aware of and to abide by all dates, times, conditions, requirements and specifications set forth within all applicable documents issued by the HAE, including the RFP document, the documents listed within the following Section 3.7, and any addenda and required attachments submitted by the proposer. By virtue of completing, signing and submitting the completed documents, the proposer is stating his/her agreement to comply with the all conditions and requirements set forth within those documents. Written notice from the proposer not authorized in writing by the CO to exclude any of the HAE requirements contained within the documents may cause that proposer to not be considered for award.

**3.4 Proposer's Responsibilities—Contact With the HAE:** It is the responsibility of the proposer to address all communication and correspondence pertaining to this RFP process to the CO only. Proposers must not make inquiry or communicate with any other HAE staff member or official (including members of the Board of Commissioners) pertaining to this RFP. Failure to abide by this requirement may be cause for the HAE to not consider a proposal submittal received from any proposer who may has not abided by this directive.

**3.5 Pre-proposal Conference:** The scheduled pre-proposal conference identified on Page 2 of this document is, pursuant to HUD regulation, not mandatory. Many prospective proposers have previously responded to an RFP with a multi-tabbed submittal and feel comfortable in doing so without attending the pre-conference. Typically, such conferences last 1 hour or less, though such is not guaranteed. The purpose of this conference is to assist prospective proposers in having a full understanding of the RFP documents so that he/she feels confident in submitting an appropriate proposal; therefore, at this conference the HAE will conduct an overview of the RFP documents, including the attachments. Prospective proposers may also ask questions, though the CO may require that some such questions are delivered in writing prior to a response.

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Whereas the purpose of this conference is to review the RFP documents, attendees should bring a copy of the RFP documents to this conference; however, the HAE **will not** distribute at this conference any copies of the RFP documents.

### 3.5.1 General Directions to access the pre proposal teleconference call:

RFP Section	Directions
3.5.1.1	Dial 888-468-1160
3.5.1.2	Enter Participant PIN Number: 372351#
3.5.1.3	Date: June 20th
3.5.1.4	Time: 11:00 am

**3.6 Recap of Attachments:** It is the responsibility of each proposer to verify that he/she has following attachments pertaining to this RFP, which are hereby by reference included as a part of this RFP:

Attachment	Attachment Description
A	Form of Proposal
B	Form HUD-5369-C (8/93), <i>Certifications and Representations of Offerors, Non-Construction Contract</i>
D	Section 3 Form, including explanation
E	Form HUD-5369-B (8/93), <i>Instructions to Offerors, Noncontracting</i>
F	Form HUD-5370-C (10/2006), <i>General Conditions for Noncontracting Contracts Section I (With or without Maintenance Work)</i>
X	Insurance Requirements



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### PROPOSAL EVALUATION:

**4.0 Evaluation Factors:** The following factors will be utilized by the HAE to evaluate each proposal submittal received; award of points for each listed factor will be based upon the documentation that the proposer submits within his/her proposal submittal:

NO.	MAX POINT VALUE	FACTOR DESCRIPTION
1	60 points	<b>Reasonableness of Price.</b> Cost of Service detailed in accordance with the tasks outlined in the Scope of Services.
2	25 points	<b>Experience and Qualifications:</b> Evidence of the firm(s)' ability to perform the work, as indicated by profiles of the principals and staff's professional and technical competence and experience in providing LIHTC File review services. Previous experience in performing similar work items as described in the scope of services with emphasis on File review processes.
3	15 points	<b>Methodology.</b> The proposer has a clear understanding of the scope of services required by the Authority. The proposed solution should be reasonable and logical.
	<b>100 points</b>	<b>Total Points (other than preference points)</b>

**Preference Evaluation Factor:** The following factors will be utilized by the CO to evaluate each proposal submittal received:

NO.	MAX POINT VALUE	FACTOR TYPE	FACTOR DESCRIPTION
4	5 Points	<b>SECTION 3 BUSINESS PREFERENCE PARTICIPATION:</b>	A firm may qualify for Section 3 status as detailed within Attachment D (NOTE: A max of 5 points awarded).
	105 points	<b>Total Possible Points</b>	

### 5.0 CONTRACT AWARD:

**5.1 Contract Award Procedure:** If a contract is awarded pursuant to this RFP, the following detailed procedures will be followed:

**5.1.1** Upon final completion of the proposal evaluation process, the evaluation panel will forward the completed evaluations to the designated Authority staff. The designated staff will formulate and forward to the Authority's Executive Director for consideration and approval of a written award recommendation. The Executive Director may choose to approve the award or may take the award recommendation to the Authority's Board of Commissioners at a scheduled board meeting for approval (typical procedure for contracts with a total value greater than \$100,000). If so, the Authority's Board of Commissioners will then make its determination whether or not to follow the panel's recommendation. If the recommendation is followed and the top-rated proposer is approved for award, all proposers will receive a Notice of

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Results of Evaluation. Contract price negotiations may, at the Authority's option, be conducted prior to or after the Board's approval.

- 5.2 Contract Conditions:** The following provisions are considered mandatory conditions of any contract award made by the HAE pursuant to this RFP:
- 5.2.1 Contract Form:** Contract Form: The Authority will not execute a contract on the successful proposer's form. Contracts will only be executed on the Authority's form (please see Sample Contract which is included as Attachment F of this RFP document). By submitting a proposal, the successful proposer agrees to do so. Please note that the Authority reserves the right to amend this form as the Authority deems necessary. However, the Authority will consider any contract clauses that the proposer wishes to include. The failure of the Authority to include such clauses does not give the successful proposer the right to refuse to execute the Authority's contract form. It is the responsibility of each prospective proposer to notify the Authority in writing prior to submitting a proposal, of any contract clause that the proposer is not willing to include in the final executed contract and abide by. The Authority will consider and respond to such written correspondence, and if the prospective proposer is not willing to abide by the Authority's response (decision), then that prospective proposer shall be deemed ineligible to submit a proposal.
- 5.2.2 Assignment of Personnel:** The HAE shall retain the right to demand and receive a change in personnel assigned to the work if the HAE believes that such change is in the best interest of the HAE and the completion of the contracted work.
- 5.2.3 Unauthorized Sub-Contracting Prohibited:** The successful proposer shall not assign any right, nor delegate any duty for the work proposed pursuant to this RFP (including, but not limited to, selling or transferring the contract) without the prior written consent of the CO. Any purported assignment of interest or delegation of duty, without the prior written consent of the CO shall be void and may result in the cancellation of the contract with the HAE, or may result in the full or partial forfeiture of funds paid to the successful proposer as a result of the proposed contract; either as determined by the CO.
- 5.3 Contract Period:** The HAE anticipates that it will initially award a contract for the period of 1 year with the option, at the HAE's discretion, of 4 additional one-year option periods, for a maximum total of 5 years.
- 5.4 Licensing and Insurance Requirements:** Prior to award (but not as a part of the proposal submission) the *successful proposer* will be required to meet or exceed all insurance limits and requirements detailed in Attachment X.
- 5.5 Right To Negotiate Final Fees:** The HAE shall retain the right to negotiate the amount of fees that are paid to the successful proposer, meaning the fees proposed by the top- rated proposer may, at the HAE's options, be the basis for the beginning of negotiations. Such negotiations shall begin after the HAE has chosen a top-rated

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proposer. If such negotiations are not, in the opinion of the CO successfully concluded within 5 business days, the HAE shall retain the right to end such negotiations and begin negotiations with the next-rated proposer. The HAE shall also retain the right to negotiate with and make an award to more than one proposer, as long as such negotiation(s) and/or award(s) are addressed in the above manner (i.e.

top-rated first, then next-rated following until a successful negotiation is reached).