



SOLICITATION NUMBER: CH-RFP-25-P-03

REQUEST FOR PROPOSAL

FOR

BOND UNDERWRITER

BY

COUNTY HOUSING

8865 NATURAL BRIDGE

ST. LOUIS, MO 63121

PROPOSALS ARE DUE TO THE ADDRESS OR EMAIL SHOWN BELOW NO LATER THAN:

**2 May 2025/ 2 PM Central Standard Time**

MAILING ADDRESS

COUNTY HOUSING

ATTN: PURCHASING DEPARTMENT

8865 NATURAL BRIDGE ST. LOUIS, MO. 63121

IN-PERSON DELIVERY

GRAY DROP BOX ON THE FRONT OF THE PARKING LOT

ELECTRONIC DELIVERY

EMAIL: [purchase@countyhousing.org](mailto:purchase@countyhousing.org)

THE RESPONSIBILITY FOR SUBMITTING A RESPONSE TO THIS RFP AT THE OFFICES OF THE COUNTY HOUSING (COUNTY HOUSING) ON OR BEFORE THE STATED TIME AND DATE WILL BE SOLELY AND STRICTLY THE RESPONSIBILITY OF THE OFFEROR. COUNTY HOUSING WILL IN NO WAY BE RESPONSIBLE FOR ANY DELAYS CAUSED BY THE UNITED STATES POSTAL SERVICE, PRIVATE COURIER, EXPRESS SERVICE, OR CAUSED BY ANY OTHER OCCURRENCE.

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## Introduction

The COUNTY HOUSING (COUNTY HOUSING) is using the competitive proposal method to request quotes from qualified vendors to provide services to support COUNTY HOUSING bond underwriting services.

### 1. COUNTY HOUSING Reservations of Rights

COUNTY HOUSING reserves the right to:

- (a) **Right to Reject, Waive, or Terminate the RFP.** 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 Agency to be in its best interests.
- (b) **Right to Not Award.** Not award a contract pursuant to this RFP.
- (c) **Right to Terminate.** Terminate a contract awarded pursuant to this RFP, at any time for its convenience upon 10 days written notice to the Contractor(s).
- (d) **Right to Determine Time and Location.** Determine the days, hours, and locations that the successful proposer (hereinafter, "Contractor") shall provide the services called for in this RFP.
- (e) **Right to Retain Proposals.** Retain all proposals submitted and not permit withdrawal for a period of 60 days after the deadline for receiving proposals without the written consent of COUNTY HOUSING Planning and Procurement Officer.
- (f) **Right to Negotiate.** Negotiate the fees proposed by the proposer entity.
- (g) **Right to Reject Any Proposal.** Reject and not consider any proposal or proposer that does not meet the requirements of this RFP, including but not necessarily limited to incomplete proposals and/or proposers offering alternate or non-requested services.
- (h) **No Obligation to Compensate.** Have no obligation to compensate any proposer for any costs incurred in responding to this RFP.
- (i) **Right to Prohibit.** At any time during the RFP or contract process, prohibit any further participation by a proposer or reject any proposal submitted that does not conform to any of the requirements detailed herein. By accessing and by obtaining this document, each prospective proposer is thereby agreeing to abide by all terms and conditions listed within this document, and further agrees that he/she will inform the Planning and Procurement Officer in writing within 5 days of the discovery of any item listed herein or of any item that is issued thereafter by COUNTY HOUSING that he/she feels needs to be addressed. Failure to abide by this timeframe shall relieve COUNTY HOUSING, but not the prospective or actual proposer, of any responsibility pertaining to such an issue.

## 2. Scope of Work

**Purpose:** County Housing seeks a qualified bond underwriter to assist with issuing and selling bonds to fund affordable housing projects efficiently.

### 2.1 Overview

The selected bond underwriter will support the County Housing by structuring, marketing, and selling bonds. The goal is to secure the best financial terms while ensuring compliance with regulations and maximizing investor interest.

### 2.2 Responsibilities

#### 2.2.1 Pre-Issuance Planning

- 2.2.1.1 Assess Financing Needs:** Review the County Housing's funding requirements and provide recommendations for the best bond structure.
- 2.2.1.2 Market Analysis:** Conduct research on interest rates, investor demand, and economic conditions to determine the optimal time for issuance.
- 2.2.1.3 Credit Enhancement Support:** Assist in securing credit ratings, bond insurance, or other enhancements to reduce borrowing costs.
- 2.2.1.4 Regulatory Compliance:** Ensure all aspects of bond issuance meet federal, state, and local legal requirements.
- 2.2.1.5 Cost Analysis:** Provide a transparent breakdown of underwriting fees and projected borrowing costs.

#### 2.2.2 Bond Structuring & Pricing

- 2.2.2.1 Develop Bond Structure:** Recommend terms, repayment schedules, and interest rate structures.
- 2.2.2.2 Pricing Strategy:** Determine competitive pricing to attract investors while maintaining affordability for County Housing.
- 2.2.2.3 Financial Modeling:** Conduct simulations to project long-term repayment obligations and overall financial impact.

#### 2.2.3 Marketing & Sale of Bonds

- 2.2.3.1 Investor Outreach:** Engage institutional and retail investors to generate demand for bonds.
- 2.2.3.2 Marketing Materials:** Prepare materials explaining the benefits and financial security of the bonds.

- 2.2.3.3 Sales Coordination:** Manage the syndicate of underwriters and selling group to ensure smooth distribution.

## **2.3 Post-Issuance Support**

- 2.3.1 Market Performance Monitoring:** Track bond performance and provide regular updates to County Housing.
- 2.3.2 Compliance & Reporting:** Assist with required financial disclosures and ongoing compliance.
- 2.3.3 Refinancing Advisory:** Provide recommendations on refinancing opportunities to lower costs when applicable.

## **2.4 Deliverables**

- 2.4.1 Financing Strategy Report:** Outlining the recommended bond structure and market analysis.
- 2.4.2 Pricing & Investor Plan:** A strategy document detailing how the bonds will be priced and marketed.
- 2.4.3 Final Bond Issuance Report:** A summary of bond sale results, investor participation, and financial outcomes.
- 2.4.4 Ongoing Advisory Reports:** Periodic updates on market conditions, interest rates, and refinancing opportunities.

## **2.5 Qualifications**

- 2.5.1 Experience in Housing Finance:** Proven history of underwriting housing-related bonds.
- 2.5.2 Financial Strength:** Adequate capital and resources to support bond issuance.
- 2.5.3 Regulatory Compliance:** Compliance with all HUD, state and federal regulations.

## **3. Software, Equipment and Supplies**

COUNTY HOUSING will provide access to necessary systems, documentation, and training for the contractor to perform services effectively.

## **4. Time of Performance/Contract Terms**

The services of the Contractor shall commence on or about \_\_\_\_\_ and should terminate on or about a third year with the option of one additional three years for a total of six years.

Under no circumstances should work commence until a signed Contract and Notice to Proceed are in hand.

## 5. Compensation/Method of Payment

Invoices should be clearly marked with the “Contract Number” and detailed by addresses that were cut. The Housing Authority may require contractors to provide certified payroll, to ensure the contractor is complying with the attached minimum wage requirements.

Billings will provide a description of work performed; number of hours worked, hourly billing rates and other expenses chargeable to the Contract. All invoices to be mailed to: Purchasing Office, COUNTY HOUSING, 8865 Natural Bridge Road, St. Louis, MO 63121. COUNTY HOUSING will determine satisfactory performance under the Contract.

**6. Validation of Labor Charges.** To substantiate billing for labor charges, the Contractor is obligated to record the time spent on each job and the name of the Housing Authority representatives that called in the job.

## 7. Proposal Format

**7.1 Tabbed Proposal Submittal.** COUNTY HOUSING intends to retain a Contractor using the competitive proposal process pursuant to a “Best Value,” not a “Lowest Price” basis. “Best Value,” consider factors other than just price in making the award decision. Therefore, so that COUNTY HOUSING can properly evaluate the offers received, all proposals submitted in response to this RFP must be formatted in accordance with the sequence noted in the table below. Each category must be separated by numbered index dividers and labeled with the corresponding tab reference also noted below. None of the proposed services may conflict with any requirement COUNTY HOUSING has published herein or has issued by addendum.

Tab No.	Description
1	<b>Form of Proposal.</b> This Form is attached hereto as Attachment A to this RFP document. This form must be fully completed, executed where provided and submitted under this tab as a part of the proposal submittal.
2	<b>HUD-5369-C (8/93), Certifications and Representations of Offerors, Non-Construction Contract.</b> This Form is attached hereto as Attachment C to this RFP document. This form must be fully completed, executed where provided thereon and submitted under this tab as a part of the proposal submittal.
3	<b>Profile of Firm Form.</b> The Profile of Firm Form is attached hereto as Attachment D to this RFP document. This form must be fully completed, executed, and submitted under this tab as a part of the proposal submittal.
4	<b>Proposed Services.</b> As more fully detailed within <b>SCOPE OF SERVICES</b> , of this document, the proposer shall, at a minimum, clearly detail within the information submitted under this tab documentation showing:
	As detailed within Section <b>PROPOSAL EVALUTION</b> , Evaluation Factor No. 2, herein, the proposer’s <b>DEMONSTRATED UNDERSTANDING</b> of COUNTY HOUSING’S <b>REQUIREMENTS</b> .
	As detailed within Section <b>PROPOSAL EVALUTION</b> , Evaluation Factor No. 3, herein, the <b>QUALITY</b> of the <b>TECHNICAL APPROACH</b> and the <b>SERVICES PROPOSED</b> .

	As detailed within Section <b>PROPOSAL EVALUATION</b> , Evaluation Factor No. 4, herein, the proposer's <b>DEMONSTRATED TECHNICAL CAPABILITIES</b> (in terms of personnel) and the <b>MANAGEMENT PLAN</b> (including the proposer's demonstrated standards of professionalism and customer care, follow-through on jobs, reports, accuracy, and how the proposer proposes to respond when "things go wrong").
	As detailed within Section <b>PROPOSAL EVALUATION</b> , Evaluation Factor No. 5, herein, the proposer's <b>DEMONSTRATED EXPERIENCE</b> in performing similar work and the proposer's <b>DEMONSTRATED SUCCESSFUL PAST PERFORMANCE</b> (including meeting costs, schedules, and performance requirements) of contract work substantially similar to that required by this solicitation as verified by reference checks or other means.
	If appropriate, how staff are retained, screened, trained, and monitored.
	The proposed quality assurance program.
	An explanation and copies of forms that will be used and reports that will be submitted and the method of submission of such reports (i.e., written; fax; Internet; etc.).
	A complete description of the products and services the firms provides.
<b>5</b>	<b>Managerial Capacity/Financial Viability/Staffing Plan.</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 D, <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 (including a current organizational chart).
<b>6</b>	<b>Client Information.</b> The proposer shall submit a listing of former or current clients (at least 3), including any other Public Housing Authority, for whom the proposer has performed similar or like services to those being proposed herein.
<b>7</b>	<b>Equal Employment Opportunity/Supplier Diversity.</b> The proposer must submit under this tab a copy of its Equal Opportunity Employment Policy and a complete description of the positive steps it will take to ensure compliance, to the greatest extent feasible, with the regulations detailed within the following <b>PROPOSAL SUBMISSION</b> section herein pertaining to supplier diversity (i.e., small, minority-, and women-owned businesses).
<b>8</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 preceding tabs must also be included for any major subcontractors (10% or more) or from any joint venture.
<b>9</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 Agency in its evaluation.
<b>No Information Placed under a Tab.</b> If no information is to be placed under any of the above noted tabs (especially the "Optional" tabs), please place there under a statement such as "NO INFORMATION IS BEING PLACED UNDER THIS TAB" or "THIS TAB LEFT INTENTIONALLY BLANK." <b>DO NOT</b> eliminate any of the tabs.	

**Proposal Submittal Binding Method.** It is preferable and recommended that the proposer bind the proposal submittals in such a manner that the Agency can, if needed, remove the binding (i.e., “spiral-type” etc.) or remove the pages from the cover (i.e., 3-ring binder; etc.) to make copies, then conveniently return the proposal submittal to its original condition.

**Table 1 – Tabbed Proposal Outline**

## 7.2 Entry of Proposed Fees

7.2.1 The proposed fees shall be submitted by the proposer and received by COUNTY HOUSING, where provided for within the eProcurement Marketplace only. Do not submit, enter, or refer to any fees or costs within the sealed 9-tab “hard copy” proposal submittal detailed within Section 3.0—any proposer that does so may (and most likely will), at COUNTY HOUSING’s discretion, be rejected without further consideration.

7.2.2 Pricing Items. Unless otherwise stated herein, the proposed fees are all-inclusive of all related costs that the successful proposer will incur to provide the noted services, including, but not limited to employee wages and benefits; clerical support; overhead; profit; licensing; insurance; materials; supplies; tools; equipment; long distance telephone calls; travel expenses; document copying not specifically agreed to by COUNTY HOUSING; etc.

Contractors shall provide pricing for the base year period of performance.

Type of Charge	Unit Price*
Annual	\$
No-show	\$

**Table 2 – Labor Categories and Level of Effort**

7.2.3 IMPORTANT NOTICE!!! Entry of Proposed Fees. Except as provided for otherwise, proposers must submit, where provided for within the eProcurement Marketplace, a realistic cost for each Pricing Item detailed within the preceding Table No. 2 herein. The eProcurement Marketplace will automatically perform all required calculations. Any proposer that chooses not to enter a realistic cost for any or all the Pricing Items may be automatically deemed nonresponsive and his/her proposal will, in such case, NOT be considered. Accordingly, be sure to enter a proposed cost for each and every one of the Pricing Items listed to within the preceding Table No. 2 herein!

## 8. Submission Requirements

Proposals must be submitted and time-stamped received in the designated Authority office by no later than the submittal deadline stated herein (or within any ensuing addendum). Electronic submissions must adhere to the same deadline stated, uploaded to the electronic transfer protocol referenced. 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:

COUNTY HOUSING  
Attn: Manish Kadaboina, Procurement Officer  
8865 Natural Bridge  
St. Louis, MO 63121

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.



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 COUNTY HOUSING by the proposer, such may invalidate that proposal. If, after accepting such a proposal, COUNTY HOUSING decides that any such entry has not changed the intent of the proposal that COUNTY HOUSING intended to receive, COUNTY HOUSING may accept the proposal and the proposal shall be considered by COUNTY HOUSING as if those additional marks, notations, or requirements were not entered on such. By accessing and accepting these documents, each prospective proposer that does so is thereby agreeing to confirm all notices that the Agency delivers to him/her as instructed, and by submitting a proposal, the proposer is thereby agreeing to abide by all terms and conditions published herein and by addendum pertaining to this RFP.

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 COUNTY HOUSING, including the RFP document, the documents listed within the following section herein, 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 all conditions and requirements set forth within those documents. Written notice from the proposer not authorized in writing by the Executive Director to exclude any of COUNTY HOUSING requirements contained within the documents may cause that proposer to not be considered for award.

It is the responsibility of the proposer to address all communication and correspondence pertaining to this RFP process to the Executive Director only. Proposers must not make inquiry or communicate with any other Authority 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 COUNTY HOUSING to not consider a proposal submittal received from any proposer who may not have abided by this directive.

All interested contractors must have access to adequate financial resources to fully perform the contract.

**Addenda.** All questions and requests for information must be addressed in writing to the Executive Director. The Executive Director will respond to all such inquiries in writing by addendum to all prospective proposers (i.e., firms or individuals that have obtained the RFP Documents). During the RFP solicitation process, the Executive Director will NOT conduct any *ex parte* (a substantive conversation — “substantive” meaning, when decisions pertaining to the RFP are made—between COUNTY HOUSING and a prospective proposer when other prospective proposers are not present) conversations that may give one prospective proposer an advantage over other prospective proposers. This does not mean that prospective proposers may not call the Executive Director—it simply means that, other than making replies to direct the prospective proposer where his/her answer has already been issued within the solicitation documents, the Executive Director may not respond to the prospective proposer’s inquiries but will direct him/her to submit such inquiry in writing so that the Executive Director may more fairly respond to all prospective proposers in writing by addendum.

## **9. Proposer’s Responsibilities — Equal Employment Opportunity and Supplier Diversity**

Be advised that contracts over \$200,000 trigger Section 3 of the Housing and Urban Development

Act of 1968. Section 3 requires that economic opportunities generated by the expenditure of HUD funds be directed, to the greatest extent feasible, to low and moderate income persons via contracting, employment, and training. All contractors and subcontractors working on this project will need to demonstrate compliance with Section 3 numeric targets and other applicable provisions. In cases where Section 3 compliance is not achieved, contractors and subcontractors must document good-faith efforts to comply. See Attachment H – Section 3 Flyer Construction.

**Within 2 CFR §200.321 it states:**

Contracting with small and minority businesses, women’s business enterprises, and labor surplus area firms.

(a) The non-federal entity must take all necessary affirmative steps to assure that minority businesses, women’s business enterprises, and labor surplus area firms are used when possible.

**(b) Affirmative steps must include:**

(1) Placing qualified small and minority businesses and women’s business enterprises on solicitation lists.

(2) Assuring that small and minority businesses, and women’s business enterprises are solicited whenever they are potential sources.

(3) Dividing total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by small and minority business, and women’s business enterprises.

(4) Establishing delivery schedules, where the requirement permits, which encourage participation by small and minority business, and women’s business enterprises.

(5) Using the services and assistance, as appropriate, of such organizations as the Small Business Administration and the Minority Business Development Agency of the Department of Commerce; and

(6) Requiring the prime contractor, if subcontracts are to be let, to take the affirmative steps listed in paragraphs (1) through (5) of this section.

Within HUD Procurement Handbook 7460.8 REV 2 it states:

(a) Section 15.5.A, Required Efforts. Consistent with Presidential Orders 11625, 12138, and 12432, the [Agency] shall make every effort to ensure that small businesses, MBEs, WBEs, and labor surplus area businesses participate in [Agency] contracting.

(b) Section 15.5.B, Goals. [The Agency] is encouraged to establish goals by which they can measure the effectiveness of their efforts in implementing programs in support of contracting with disadvantaged firms. It is important to ensure that the means used to establish these goals do not have the effect of limiting competition and should not be used as mandatory set-aside or quota, except as may otherwise be expressly authorized in regulation or statute. Some localities have adopted minority contracting set-aside policies or geographic limitations, which may be in conflict with Federal requirements for full and open competition.

Within the COUNTY HOUSING Procurement Policy, it states the following:

Assistance to Small and Other Business, Required Efforts:

Consistent with Presidential Executive Orders 11625, 12138, and 12432, and Section 3 of the HUD Act of 1968, all reasonable efforts will be made to ensure that COUNTY HOUSING contracts with small businesses, minority business enterprises (MBE), women’s business enterprises (WBE), and

businesses located in or owned in substantial part by persons residing in COUNTY HOUSING projects when possible. Such efforts will include, but will not be limited to:

- (1) Including such firms, when qualified, on solicitation mailing lists.
- (2) Encouraging participation through direct solicitation of bids or proposals whenever they are potential contractors.
- (3) Dividing total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by such businesses.
- (4) Establishing delivery schedules, where the requirements permit, to encourage participation by such businesses.
- (5) Using the services and assistance of the Small Business Administration and the Minority Business Development Agency of the Department of Commerce.
- (6) Including in contracts, to the greatest extent feasible, a clause requiring contractors to provide opportunities for training and employment for lower income residents of the project area and to award subcontracts for work in connection with the project to businesses providing opportunities to low-income residents.
- (7) Requiring prime contractors, when subcontracting is anticipated, to take the actions listed above.

**Requirements.** Accordingly, please see Tab7 within Table No. 1 herein which details the information pertaining to this issue that the proposer must submit in response to this proposal showing compliance, to the greatest extent feasible, with these regulations.

**Pre-proposal Conference.** There is not a pre-proposal conference scheduled as a part of this RFP.

## 10. Evaluation Factors

Objective/Subjective Evaluation Factors. The following factors will be utilized by the Agency 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 and on-line (specifically, the pricing submitted on-line):

(1) No.	(2) Max Point Value	(3) Factor Type	(4) Factor Description
1	20 points	Objective	The <b>PROPOSED COSTS</b> submitted by the proposer.
2	10 points	Subjective (Technical)	The proposer's <b>DEMONSTRATED UNDERSTANDING</b> of the <b>HOUSING AGENCY'S REQUIREMENT</b> .
3	10 points	Subjective (Technical)	The <b>QUALITY</b> of the <b>TECHNICAL APPROACH</b> and the <b>SERVICES PROPOSED</b> .
4	20 points	Subjective (Technical)	The proposer's <b>DEMONSTRATED TECHNICAL CAPABILITIES</b> (in terms of personnel) and the <b>MANAGEMENT PLAN</b> (including the proposer's demonstrated standards of professionalism and customer care, follow-through on jobs, reports, accuracy, and how the proposer proposes to respond when "things go wrong").

5	30 points	Subjective (Technical)	The proposer's <b>DEMONSTRATED RELEVANT EXPERIENCE</b> in performing similar work and <b>SUCCESSFUL PAST PERFORMANCE</b> (including meeting costs, schedules, and performance requirements) of contract work substantially similar to that required by this solicitation as verified by reference checks or other means.
6	10 points	Subjective (Technical)	The <b>OVERALL QUALITY, ORGANIZATION, and PROFESSIONAL APPEARANCE OF THE PROPOSAL SUBMITTED</b> , based upon the opinion of the evaluators.
	100 points		<b>Total Points</b>
*NOTE: Points will be awarded for each Subjective Factor by each of the appointed evaluation committee members based on his/her opinion after a thorough review of the information submitted by each proposer within his/her proposal.			

**Table 3 – Evaluation Criteria**

**Evaluation Method.** The eventual award will occur based on the following detailed brief procedures. Each proposal received will first be evaluated for responsiveness (i.e., meets the minimum of the requirements).

**Evaluation Packet.** An evaluation packet will be prepared for each evaluator, typically including the following documents:

- Instructions to Evaluators
- Proposal Tabulation Form
- Written Narrative Form for each proposer
- Recap of each proposer's responsiveness
- Copy of all pertinent RFP documents

**Evaluation Committee.** COUNTY HOUSING anticipates that it will select a minimum of a three-person committee to evaluate each of the responsive "hard copy" proposals submitted in response to this RFP. PLEASE NOTE: No proposer shall be informed at any time during or after the RFP process as to the identity of any evaluation committee member. If, by chance, a proposer does become aware of the identity of such person(s), he/she SHALL NOT make any attempt to contact or discuss with such person anything related to this RFP. The Planning and Procurement Officer is the only person at COUNTY HOUSING that the proposers shall contact pertaining to this RFP. Failure to abide by this requirement may (and most likely will) cause such proposer(s) to be eliminated from consideration for award.

The Planning and Procurement Officer will evaluate and award points pertaining to Evaluation Factors No. 1 (the "Objective" Factor). The appointed evaluation committee, independent of the Planning and Procurement Officer or any other person at COUNTY HOUSING, shall evaluate the responsive proposals submitted and award points pertaining to Evaluation Factors No. 2 through No. 6 (the "Subjective" Factors). Upon final completion of the proposal evaluation process, the evaluation committee will forward the completed evaluations to the Planning and Procurement Officer.

**Points Awarded Range.** Pertaining to the Subjective Factors, please note the following range of points awarded (points pertaining to this RFP are shaded—please also see the Evaluation Factors detailed within the preceding section:

Classification*	Points Awarded Range					
	Rating	%	10	20	30	100**
Acceptable	Excellent	95%/+	10	19-20	29-30	95-100
Acceptable	Very Good	90%/+	9	18	28	90-94
Potentially Acceptable	Good	80%/+	8	16-17	26-27	80-89
Potentially Acceptable	Average	70%/+	7	14-15	24-25	70-79
Unacceptable	Poor	<70%	0-6	0-13	0-23	0-69
*Pursuant to Section 7.2.N.3 of HUD Procurement Handbook 7460.8 REV 2.						
**Total available points to be awarded, including cost points, minus preference points.						

**Table 4 – Points Award Range**

**Potential "Competitive Range" or "Best and Finals" Negotiations.** COUNTY HOUSING reserves the right to, as detailed within Section 7.2.N through Section 7.2.R of HUD Procurement Handbook 7460.8 REV 2, conduct a "Best and Finals" Negotiation, which may include oral interviews, with all firms deemed to be in the competitive range. Any firm deemed not to be in the competitive range shall be notified of such in writing by the Agency in as timely a manner as possible, but in any case within no longer than 10 days after the beginning of such negotiations with the firms deemed to be in the competitive range.

**Determination of Top-ranked Proposer.** Typically, the subjective points awarded by the evaluation committee will be combined with the objective points awarded. If the evaluation was performed to the satisfaction of the Executive Director, the final rankings may be forwarded to the Housing Authority Board of Commissioners at a scheduled meeting for approval. Contract negotiations may, at COUNTY HOUSING's option, be conducted prior to or after the Board of Commissioners approval.

- **Minimum Evaluation Results.** To be considered to receive an award a proposer must receive a total calculated average of at least 70 points (of the 100 total points detailed herein).
- **Ties.** In the case of a tie in points awarded, the award shall be decided as detailed within Section 6.12.C of HUD Procurement Handbook 7460.8 REV 2, by "drawing lots or other random means of selection."

**Notice of Results of Evaluation.** If an award is completed, all proposers will receive by e-mail a Notice of Results of Evaluation. Such notice shall inform all proposers of:

- Which proposer received the award.
- Where each proposer placed in the process as a result of the evaluation of the proposals received.
- The cost or financial offers received from each proposer.
- Each proposer's right to a debriefing and to protest.

**Restrictions:** All persons having familial (including in-laws) and/or employment relationships (past or current) with principals and/or employees of a proposer entity will be excluded from participation on the Agency evaluation committee. Similarly, all persons having ownership interest in and/or contract with a proposer entity will be excluded from participation on the Agency evaluation committee.

## 11. Contract Award

Contract Award Procedure. If a contract is awarded pursuant to this RFP, the following detailed

procedures will be followed:

- (a) By completing, executing, and submitting a proposal, the “proposer is thereby agreeing to abide by all terms and conditions pertaining to this RFP as issued by COUNTY HOUSING, either in hard copy or electronically, including the contract clauses already attached as Attachments F and F-1 through F-3, each attached hereto. Accordingly, COUNTY HOUSING has no responsibility to conduct after the submittal deadline any negotiations pertaining to the contract clauses already published.

Contract Conditions. The following provisions are considered mandatory conditions of any contract award made by COUNTY HOUSING pursuant to this RFP:

- (a) **Contract Form.** COUNTY HOUSING will not execute a contract on the Contractor’s form—contracts will only be executed on COUNTY HOUSING form (please see Sample Contract, Attachments F and F-1 through F-3 each attached hereto), and by submitting a proposal the Contractor agrees to do so (please note that COUNTY HOUSING reserves the right to amend this form as COUNTY HOUSING deems necessary). However, COUNTY HOUSING will during the RFP process (prior to the posted question deadline) consider any contract clauses that the proposer wishes to include therein and submits in writing a request for the Agency to do so; but the failure of the Agency to include such clauses does not give the Contractor the right to refuse to execute COUNTY HOUSING’s contract form. It is the responsibility of each prospective proposer to notify COUNTY HOUSING, in writing, prior to submitting a proposal, of any contract clause that he/she is not willing to include in the final executed contract and abide by. COUNTY HOUSING will consider and respond to such written correspondence, and if the prospective proposer is not willing to abide by COUNTY HOUSING’s response (decision), then that prospective proposer shall be deemed ineligible to submit a proposal.
- (b) **Mandatory HUD Forms.** Please note that COUNTY HOUSING has no legal right or ability to (and will not) at any time negotiate any clauses contained within ANY of the HUD forms included as a part of this RFP.
- (c) **Assignment of Personnel.** COUNTY HOUSING shall retain the right to demand and receive a change in personnel assigned to the work if COUNTY HOUSING believes that such change is in the best interest of COUNTY HOUSING and the completion of the contracted work.
- (d) **Unauthorized Sub-contracting Prohibited.** The Contractor 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 Planning and Procurement Officer. Any purported assignment of interest or delegation of duty, without the prior written consent of the Planning and Procurement Officer shall be void and may result in the cancellation of the contract with COUNTY HOUSING or may result in the full or partial forfeiture of funds paid to the Contractor because of the proposed contract; either as determined by the Planning and Procurement Officer.

Contract Period. COUNTY HOUSING anticipates a multi-year contract.

Licensing and Insurance Requirements. Prior to award (but not as a part of the proposal submission)



the *Contractor* will be required to provide:

- (a) **Workers Compensation Insurance.** An original certificate evidencing the proposer's current industrial (worker's compensation) insurance carrier and coverage amount (NOTE: Workers Compensation Insurance will be required of any Contractor that has employees other than just the owner working on-site to provide the services).
- (b) **General Liability Insurance.** An original certificate evidencing General Liability coverage, naming the Agency as an additional insured, together with the appropriate endorsement to said policy reflecting the addition of the Agency as an additional insured under said policy (minimum of \$1,000,000 each occurrence, general aggregate minimum limit of \$1,000,000, together with damage to premises and fire damage of \$50,000 and medical expenses any one person of \$5,000), with a commercially reasonable deductible (i.e., "commercially reasonable," meaning not greater than 1% of the "general aggregate minimum" of the policy, with a maximum deductible amount of \$50,000).
- (c) **Professional Liability Insurance.** An original certificate showing the proposer's professional liability and/or "errors and omissions" coverage (minimum of \$1,000,000 each occurrence, general aggregate minimum limit of \$1,000,000), with a commercially reasonable deductible (i.e., "commercially reasonable," meaning not greater than 1% of the "general aggregate minimum" of the policy, with a maximum deductible amount of \$50,000).
- (d) **Automobile Insurance.** An original certificate showing the proposer's automobile insurance coverage in a combined single limit of \$1,000,000. For every vehicle utilized during the term of this program, when not owned by the entity, each vehicle must have evidence of automobile insurance coverage with limits of no less than \$100,000/\$300,000 and medical pay of \$5,000.
- (e) **City/County/State Business License.** If applicable, a copy of the proposer's business license allowing that entity to provide such services within the City of Saint Louis, Saint Louis County, and/or the State of Missouri.
- (f) **Certificates/Profile of Firm Form.** Pertaining to the aforementioned insurance certificates and licenses, each proposer is required to enter related information on the Profile of Firm Form (do not attach or submit copies of the insurance certificates or licenses within the proposal submittal—we will garner the necessary documents from the successful proposer prior to contract execution).

**Note:**

The COUNTY HOUSING will be named as an Additional Insured under the successful bidder's Comprehensive General Liability Policy, but only to the extent that COUNTY HOUSING is not protected by sovereign immunity under Missouri law. The Policy's Additional Insured provision must include the following language: "The inclusion of the COUNTY HOUSING as an Additional Insured under this Policy is not intended to act as, and does not constitute, a waiver of its sovereign immunity under Missouri law, or as a waiver of any related defense. This Policy provides the COUNTY HOUSING with no coverage for any potential liability or in any suit for damages that would be barred against it by the doctrine of sovereign immunity in the absence of this Policy." The Policy will also include a waiver of subrogation in favor of the COUNTY HOUSING.

The Contractor shall be required to raise the limits of liability on a per occurrence basis, to match

the revised statutory limit of the liability for public entities, during the term of this contract.

**Right to Negotiate Final Fees.** COUNTY HOUSING shall retain the right to negotiate the amount of fees that are paid to the Contractor, meaning the fees proposed by the top-rated proposer may, at COUNTY HOUSING's options, be the basis for the beginning of negotiations. Such negotiations shall begin after COUNTY HOUSING has chosen a top-rated proposer. Pertaining to these negotiations, please see the preceding Section herein.

**Contract Service Standards.** All work performed pursuant to this RFP must conform and comply with all applicable local, state, and federal codes, statutes, laws, and regulations.

**Prompt Return of Contract Documents.** All documents required to complete the contract, including contract signature by the successful proposers, shall be provided to COUNTY HOUSING within 10 workdays of notification by COUNTY HOUSING.

## **12. Mandatory Forms/Contract Provisions**

The following table contains a list of attachments and mandatory forms that must be returned with your proposal response.

Description
Attachment A (Form of Proposal) (Must be returned with proposal)
Attachment B (HUD 5369-B)
Attachment C (HUD 5369-C) (Must be returned with proposal)
Attachment D (Profile of Firm Form) (Must be returned with proposal)
Attachment E (Section 3 Explanation)
Attachment F Sample Contract
Attachment F-1 (HUD 5370-C)
Attachment F-2 (HUD 50071)
Attachment F-3 (SF-LLL)
Attachment G Proposal Calendar
Attachment H Supplemental Instructions to Proposers & Contractors (SIPC)

**Table 5 – List of Attachment**



**REQUEST FOR PROPOSALS (RFP) COUNTY HOUSING-RFP-25-P-03, BOND UNDERWRITER****FORM OF PROPOSAL  
(RFP Attachment A)**

(This Form must be fully completed and placed under Tab No. 1 of the "hard copy" tabbed proposal submittal.)

**(1) Instructions.** Unless otherwise specifically required, the items listed below must be completed and included in the proposal submittal. Please complete this form by marking an "X," where provided, to verify that the referenced completed form or information has been included within the "hard copy" proposal submittal submitted by the proposer. Also, complete all the statements and certifications listed following herein:

**[Table No. 1]**

<b>"X" = Item Included</b>	<b>Tab No.</b>	<b>Submittal Item (one original signature copy of each document)</b>
	<b>1</b>	<b>Form of Proposal (Attachment A)</b>
	<b>2</b>	<b>Form HUD-5369-C (Attachment C)</b>
	<b>3</b>	<b>Profile of Firm Form (Attachment D)</b>
	<b>4</b>	<b>Proposed Services</b>
	<b>5</b>	<b>Managerial Capacity/Financial Viability/Staffing Plan</b>
	<b>6</b>	<b>Client Information</b>
	<b>7</b>	<b>Equal Employment Opportunity/Supplier Diversity</b>
	<b>8</b>	<b>Subcontractor/Joint Venture Information (Optional)</b>
	<b>9</b>	<b>Other Information (Optional)</b>
	<b>As detailed within Section 3.2 of the RFP 1.0 Document issued, enter proposed pricing, where provided for within the eProcurement Marketplace</b>	

**(2) Debarred Statement.** Has this firm, or any principal(s) thereto, ever been debarred from providing any services by the Federal Government, any state government, the State of Missouri, or any local government agency within or without the State of Missouri? Yes ☐ No ☐ If "Yes," please attach a full detailed explanation, including dates, circumstances, and current status.

**(3) Disclosure Statement.** Does this firm or any principals thereof have any current, past personal or professional relationship with any Commissioner or Officer of the Agency? Yes ☐ No ☐ If "Yes," Please attach a full detailed explanation, including dates, circumstances, and current status.

**(4) Felony Disclosure.** Has any principal(s) or any person(s) proposed to perform the work ever been convicted of a felony? Yes ☐ No ☐ If "Yes," please attach a full detailed explanation, including dates, circumstances, and current status. PLEASE NOTE: The Agency reserves the right to not make an award to any proposer that has staff who has been convicted of a felony if the Agency feels that doing such is in its best interests.

**(5) Non-Collusive Affidavit.** The undersigned party submitting this proposal hereby certifies that such proposal is genuine and not collusive and that said proposer entity has not colluded, conspired, connived or agreed, directly or indirectly, with any proposer or person, to put in a sham proposal or to refrain from proposing, and has not in any manner, directly or indirectly sought by agreement or collusion, or communication or conference, with any person, to fix the proposal price of affiant or of any other proposer, to fix overhead, profit or cost element of said proposed price, or that of any other proposer or to secure any advantage against the Agency or any person interested in the proposed contract; and that all statements in said proposal are true.

**FORM OF PROPOSAL  
(RFP Attachment A)**

(This Form must be fully completed and placed under Tab No. 1 of the "hard copy" tabbed proposal submittal.)

**(6) Proposer's Statement.** The undersigned proposer hereby states that by completing and submitting this Form and all other documents within this proposal submittal, he/she is verifying that all information provided herein is, to the best of his/her knowledge, true and accurate, and that if the Agency discovers that any information entered herein to be false, such shall entitle the Agency to not consider or make award or to cancel any award with the undersigned party. Further, by completing and submitting the proposal submittal, and by entering and submitting the costs, where provided for within the eProcurement Marketplace, the undersigned proposer is thereby agreeing to abide by all terms and conditions pertaining to this RFP as issued by the Agency, either in hard copy or on the eProcurement Marketplace, including an agreement to execute the attached Sample Contract form. Pursuant to all RFP Documents, this Form of Proposal, and all attachments, and pursuant to all completed Documents submitted, including these forms and all attachments, the undersigned proposes to supply the Agency with the services described herein for the fee(s) entered within the areas provided within the eProcurement Marketplace pertaining to this RFP.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Company

# Instructions to Offerors Non-Construction

U.S. Department of Housing  
and Urban Development  
Office of Public and Indian Housing



- 03291 -

## 1. Preparation of Offers

(a) Offerors are expected to examine the statement of work, the proposed contract terms and conditions, and all instructions. Failure to do so will be at the offeror's risk.

(b) Each offeror shall furnish the information required by the solicitation. The offeror shall sign the offer and print or type its name on the cover sheet and each continuation sheet on which it makes an entry. Erasures or other changes must be initialed by the person signing the offer. Offers signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the HA.

(c) Offers for services other than those specified will not be considered.

## 2. Submission of Offers

(a) Offers and modifications thereof shall be submitted in sealed envelopes or packages (1) addressed to the office specified in the solicitation, and (2) showing the time specified for receipt, the solicitation number, and the name and address of the offeror.

(b) Telegraphic offers will not be considered unless authorized by the solicitation; however, offers may be modified by written or telegraphic notice.

(c) Facsimile offers, modifications or withdrawals will not be considered unless authorized by the solicitation.

## 3. Amendments to Solicitations

(a) If this solicitation is amended, then all terms and conditions which are not modified remain unchanged.

(b) Offerors shall acknowledge receipt of any amendments to this solicitation by

- (1) signing and returning the amendment;
- (2) identifying the amendment number and date in the space provided for this purpose on the form for submitting an offer,
- (3) letter or telegram, or
- (4) facsimile, if facsimile offers are authorized in the solicitation. The HA/HUD must receive the acknowledgment by the time specified for receipt of offers.

## 4. Explanation to Prospective Offerors

Any prospective offeror desiring an explanation or interpretation of the solicitation, statement of work, etc., must request it in writing soon enough to allow a reply to reach all prospective offerors before the submission of their offers. Oral explanations or instructions given before the award of the contract will not be binding. Any information given to a prospective offeror concerning a solicitation will be furnished promptly to all other prospective offerors as an amendment of the solicitation, if that information is necessary in submitting offers or if the lack of it would be prejudicial to any other prospective offerors.

## 5. Responsibility of Prospective Contractor

(a) The HA shall award a contract only to a responsible prospective contractor who is able to perform successfully under the terms and conditions of the proposed contract. To be determined responsible, a prospective contractor must -

- (1) Have adequate financial resources to perform the contract, or the ability to obtain them;

- (2) Have a satisfactory performance record;
- (3) Have a satisfactory record of integrity and business ethics;
- (4) Have a satisfactory record of compliance with public policy (e.g., Equal Employment Opportunity); and
- (5) Not have been suspended, debarred, or otherwise determined to be ineligible for award of contracts by the Department of Housing and Urban Development or any other agency of the U.S. Government. Current lists of ineligible contractors are available for inspection at the HA/HUD.

(b) Before an offer is considered for award, the offeror may be requested by the HA to submit a statement or other documentation regarding any of the foregoing requirements. Failure by the offeror to provide such additional information may render the offeror ineligible for award.

## 6. Late Submissions, Modifications, and Withdrawal of Offers

(a) Any offer received at the place designated in the solicitation after the exact time specified for receipt will not be considered unless it is received before award is made and it -

- (1) Was sent by registered or certified mail not later than the fifth calendar day before the date specified for receipt of offers (e.g., an offer submitted in response to a solicitation requiring receipt of offers by the 20th of the month must have been mailed by the 15th);
- (2) Was sent by mail, or if authorized by the solicitation, was sent by telegram or via facsimile, and it is determined by the HA/ HUD that the late receipt was due solely to mishandling by the HA/ HUD after receipt at the HA;
- (3) Was sent by U.S. Postal Service Express Mail Next Day Service - Post Office to Addressee, not later than 5:00 p.m. at the place of mailing two working days prior to the date specified for receipt of proposals. The term "working days" excludes weekends and U.S. Federal holidays; or
- (4) Is the only offer received.

(b) Any modification of an offer, except a modification resulting from the HA's request for "best and final" offer (if this solicitation is a request for proposals), is subject to the same conditions as in subparagraphs (a)(1), (2), and (3) of this provision.

(c) A modification resulting from the HA's request for "best and final" offer received after the time and date specified in the request will not be considered unless received before award and the late receipt is due solely to mishandling by the HA after receipt at the HA.

(d) The only acceptable evidence to establish the date of mailing of a late offer, modification, or withdrawal sent either by registered or certified mail is the U.S. or Canadian Postal Service postmark both on the envelope or wrapper and on the original receipt from the U.S. or Canadian Postal Service. Both postmarks must show a legible date or the offer, modification, or withdrawal shall be processed as if mailed late. "Postmark" means a printed, stamped, or otherwise placed impression (exclusive of a postage meter machine impression) that is readily identifiable without further action as having been supplied and affixed by employees of the U.S. or Canadian Postal Service on the date of mailing. Therefore, offerors should request the postal clerk to place a hand cancellation bull's-eye postmark on both the receipt and the envelope or wrapper.

(e) The only acceptable evidence to establish the time of receipt at the HA is the time/date stamp of HA on the offer wrapper or other documentary evidence of receipt maintained by the HA.

(f) The only acceptable evidence to establish the date of mailing of a late offer, modification, or withdrawal sent by Express Mail Next Day Service-Post Office to Addressee is the date entered by the post office receiving clerk on the "Express Mail Next Day Service-Post Office to Addressee" label and the postmark on both the envelope or wrapper and on the original receipt from the U.S. Postal Service. "Postmark" has the same meaning as defined in paragraph (c) of this provision, excluding postmarks of the Canadian Postal Service. Therefore, offerors should request the postal clerk to place a legible hand cancellation bull's eye postmark on both the receipt and the envelope or wrapper.

(g) Notwithstanding paragraph (a) of this provision, a late modification of an otherwise successful offer that makes its terms more favorable to the HA will be considered at any time it is received and may be accepted.

(h) If this solicitation is a request for proposals, proposals may be withdrawn by written notice, or if authorized by this solicitation, by telegram (including mailgram) or facsimile machine transmission received at any time before award. Proposals may be withdrawn in person by a offeror or its authorized representative if the identity of the person requesting withdrawal is established and the person signs a receipt for the offer before award. If this solicitation is an invitation for bids, bids may be withdrawn at any time prior to bid opening.

## **7. Contract Award**

(a) The HA will award a contract resulting from this solicitation to the responsible offeror whose offer conforming to the solicitation will be most advantageous to the HA, cost or price and other factors, specified elsewhere in this solicitation, considered.

(b) The HA may

- (1) reject any or all offers if such action is in the HA's interest,
- (2) accept other than the lowest offer,
- (3) waive informalities and minor irregularities in offers received, and (4) award more than one contract for all or part of the requirements stated.

(c) If this solicitation is a request for proposals, the HA may award a contract on the basis of initial offers received, without discussions. Therefore, each initial offer should contain the offeror's best terms from a cost or price and technical standpoint.

(d) A written award or acceptance of offer mailed or otherwise furnished to the successful offeror within the time for acceptance specified in the offer shall result in a binding contract without further action by either party. If this solicitation is a request for proposals, before the offer's specified expiration time, the HA may accept an offer, whether or not there are negotiations after its receipt, unless a written notice of withdrawal is received before award. Negotiations conducted after receipt of an offer do not constitute a rejection or counteroffer by the HA.

(e) Neither financial data submitted with an offer, nor representations concerning facilities or financing, will form a part of the resulting contract.

## **8. Service of Protest**

Any protest against the award of a contract pursuant to this solicitation shall be served on the HA by obtaining written and dated acknowledgment of receipt from the HA at the address shown on the cover of this solicitation. The determination of the HA with regard to such protest or to proceed to award notwithstanding such protest shall be final unless appealed by the protestor.

## **9. Offer Submission**

Offers shall be submitted as follows and shall be enclosed in a sealed envelope and addressed to the office specified in the solicitation. The proposal shall show **the hour and date specified in the solicitation for receipt, the solicitation number, and the name and address of the offeror, on the face of the envelope.**

It is very important that the offer be properly identified on the face of the envelope as set forth above in order to insure that the date and time of receipt is stamped on the face of the offer envelope. Receiving procedures are: date and time stamp those envelopes identified as proposals and deliver them immediately to the appropriate contracting official, and only date stamp those envelopes which do not contain identification of the contents and deliver them to the appropriate procuring activity only through the routine mail delivery procedure.

[Describe bid or proposal preparation instructions here:]

# Certifications and Representations of Offerors

## Non-Construction Contract

### U.S. Department of Housing and Urban Development Office of Public and Indian Housing

Public reporting burden for this collection of information is estimated to average 5 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

This form includes clauses required by OMB's common rule on bidding/offering procedures, implemented by HUD in 24 CFR 85.36, and those requirements set forth in Executive Order 11625 for small, minority, women-owned businesses, and certifications for independent price determination, and conflict of interest. The form is required for nonconstruction contracts awarded by Housing Agencies (HAs). The form is used by bidders/offers to certify to the HA's Contracting Officer for contract compliance. If the form were not used, HAs would be unable to enforce their contracts. Responses to the collection of information are required to obtain a benefit or to retain a benefit. The information requested does not lend itself to confidentiality.

### 1. Contingent Fee Representation and Agreement

(a) The bidder/offeror represents and certifies as part of its bid/offer that, except for full-time bona fide employees working solely for the bidder/offeror, the bidder/offeror:

- (1) ☐ has, ☐ has not employed or retained any person or company to solicit or obtain this contract; and
- (2) ☐ has, ☐ has not paid or agreed to pay to any person or company employed or retained to solicit or obtain this contract any commission, percentage, brokerage, or other fee contingent upon or resulting from the award of this contract.

(b) If the answer to either (a)(1) or (a) (2) above is affirmative, the bidder/offeror shall make an immediate and full written disclosure to the PHA Contracting Officer.

(c) Any misrepresentation by the bidder/offeror shall give the PHA the right to (1) terminate the resultant contract; (2) at its discretion, to deduct from contract payments the amount of any commission, percentage, brokerage, or other contingent fee; or (3) take other remedy pursuant to the contract.

### 2. Small, Minority, Women-Owned Business Concern Representation

The bidder/offeror represents and certifies as part of its bid/offer that it:

- (a) ☐ is, ☐ is not a small business concern. "Small business concern," as used in this provision, means a concern, including its affiliates, that is independently owned and operated, not dominant in the field of operation in which it is bidding, and qualified as a small business under the criteria and size standards in 13 CFR 121.
- (b) ☐ is, ☐ is not a women-owned small business concern. "Women-owned," as used in this provision, means a small business that is at least 51 percent owned by a woman or women who are U.S. citizens and who also control and operate the business.
- (c) ☐ is, ☐ is not a minority enterprise which, pursuant to Executive Order 11625, is defined as a business which is at least 51 percent owned by one or more minority group members or, in the case of a publicly owned business, at least 51 percent of its voting stock is owned by one or more minority group members, and whose management and daily operations are controlled by one or more such individuals.

For the purpose of this definition, minority group members are:

(Check the block applicable to you)

- |   |   |
|---|---|
| <input type="checkbox"/> Black Americans    | <input type="checkbox"/> Asian Pacific Americans  |
| <input type="checkbox"/> Hispanic Americans | <input type="checkbox"/> Asian Indian Americans   |
| <input type="checkbox"/> Native Americans   | <input type="checkbox"/> Hasidic Jewish Americans |

### 3. Certificate of Independent Price Determination

(a) The bidder/offeror certifies that—

- (1) The prices in this bid/offer have been arrived at independently, without, for the purpose of restricting competition, any consultation, communication, or agreement with any other bidder/offeror or competitor relating to (i) those prices, (ii) the intention to submit a bid/offer, or (iii) the methods or factors used to calculate the prices offered;
- (2) The prices in this bid/offer have not been and will not be knowingly disclosed by the bidder/offeror, directly or indirectly, to any other bidder/offeror or competitor before bid opening (in the case of a sealed bid solicitation) or contract award (in the case of a negotiated solicitation) unless otherwise required by law; and
- (3) No attempt has been made or will be made by the bidder/offeror to induce any other concern to submit or not to submit a bid/offer for the purpose of restricting competition.

(b) Each signature on the bid/offer is considered to be a certification by the signatory that the signatory:

- (1) Is the person in the bidder/offeror's organization responsible for determining the prices being offered in this bid or proposal, and that the signatory has not participated and will not participate in any action contrary to subparagraphs (a)(1) through (a)(3) above; or
- (2) (i) Has been authorized, in writing, to act as agent for the following principals in certifying that those principals have not participated, and will not participate in any action contrary to subparagraphs (a)(1) through (a)(3) above (insert full name of person(s) in the bidder/offeror's organization responsible for determining the prices offered in this bid or proposal, and the title of his or her position in the bidder/offeror's organization);  
(ii) As an authorized agent, does certify that the principals named in subdivision (b)(2)(i) above have not participated, and will not participate, in any action contrary to subparagraphs (a)(1) through (a)(3) above; and

(iii) As an agent, has not personally participated, and will not participate in any action contrary to subparagraphs (a)(1) through (a)(3) above.

- (c) If the bidder/offeror deletes or modifies subparagraph (a)2 above, the bidder/offeror must furnish with its bid/offer a signed statement setting forth in detail the circumstances of the disclosure.

#### 4. Organizational Conflicts of Interest Certification

- (a) The Contractor warrants that to the best of its knowledge and belief and except as otherwise disclosed, it does not have any organizational conflict of interest which is defined as a situation in which the nature of work under a proposed contract and a prospective contractor's organizational, financial, contractual or other interest are such that:
- (i) Award of the contract may result in an unfair competitive advantage;
  - (ii) The Contractor's objectivity in performing the contract work may be impaired; or
  - (iii) That the Contractor has disclosed all relevant information and requested the HA to make a determination with respect to this Contract.
- (b) The Contractor agrees that if after award he or she discovers an organizational conflict of interest with respect to this contract, he or she shall make an immediate and full disclosure in writing to the HA which shall include a description of the action which the Contractor has taken or intends to eliminate or neutralize the conflict. The HA may, however, terminate the Contract for the convenience of HA if it would be in the best interest of HA.
- (c) In the event the Contractor was aware of an organizational conflict of interest before the award of this Contract and intentionally did not disclose the conflict to the HA, the HA may terminate the Contract for default.
- (d) The Contractor shall require a disclosure or representation from subcontractors and consultants who may be in a position to influence the advice or assistance rendered to the HA and shall include any necessary provisions to eliminate or neutralize conflicts of interest in consultant agreements or subcontracts involving performance or work under this Contract.

#### 5. Authorized Negotiators (RFPs only)

The offeror represents that the following persons are authorized to negotiate on its behalf with the PHA in connection with this request for proposals: (list names, titles, and telephone numbers of the authorized negotiators):

#### 6. Conflict of Interest

In the absence of any actual or apparent conflict, the offeror, by submission of a proposal, hereby warrants that to the best of its knowledge and belief, no actual or apparent conflict of interest exists with regard to my possible performance of this procurement, as described in the clause in this solicitation titled "Organizational Conflict of Interest."

#### 7. Offeror's Signature

The offeror hereby certifies that the information contained in these certifications and representations is accurate, complete, and current.

---

Signature & Date:

---

Typed or Printed Name:

---

Title:

---

**REQUEST FOR PROPOSALS (RFP) COUNTY HOUSING-RFP-25-P-03, BOND UNDERWRITER**

**PROFILE OF FIRM FORM  
(RFP Attachment D)**

(This Form must be fully completed and placed under Tab No. 3 of the "hard copy" tabbed proposal submittal.)

(1) Prime ☐ Sub-contractor ☐ (This form must be completed by and for each).

(2) Name of Firm:

Telephone:

Fax:

Email:

(3) Street Address, City, State, Zip:

(4) Please attached a brief biography/resume of the company, including the following information: (a) Year Firm Established; (b) Year Firm Established in Missouri; (c) Former Name and Year Established (if applicable); (d) Name of Parent Company and Date Acquired (if applicable).

(5) Identify Principals/Partners in Firm (submit under Tab No. 5 a brief professional resume for each):

[Table No. 1]

(1) Name	(2) Title	(3) % of Ownership

(6) Identify the individual(s) that will act as project manager and any other supervisory personnel that will work on project; please submit under Tab No. 5 a brief resume for each. (Do not duplicate any resumes required above):

[Table No. 2]

(1) Name	(2) Title

(7) Proposer Diversity Statement. You must mark all the following that apply to the ownership of this firm and enter where provided enter the correct percentage (%) of ownership of each:

☐ Caucasian American (Male) \_\_\_\_\_%
 ☐ Public-Held Corporation \_\_\_\_\_%
 ☐ Government Agency \_\_\_\_\_%
 ☐ Non-Profit Organization \_\_\_\_\_%

REQUEST FOR PROPOSALS (RFP) COUNTY HOUSING-RFP-25-P-03, BOND UNDERWRITER

PROFILE OF FIRM FORM  
(RFP Attachment D)

(This Form must be fully completed and placed under Tab No. 3 of the "hard copy" tabbed proposal submittal.)

Resident- (RBE), Minority- (MBE), or Woman-Owned (WBE) Business Enterprise (Qualifies by virtue of 51% or more ownership and active management by one or more of the following):

☐ Resident- ☐ African ☐ Native ☐ Hispanic ☐ Asian/Pacific ☐ Hasidic  
☐ Asian/Indian  
Owned\* American American American American Jew American  
\_\_\_\_\_% \_\_\_\_\_% \_\_\_\_\_% \_\_\_\_\_% \_\_\_\_\_% \_\_\_\_\_% \_\_\_\_\_%  
☐ Woman-Owned ☐ Woman-Owned ☐ Disabled ☐ Other (Specify):  
(MBE) (Caucasian) Veteran  
\_\_\_\_\_% \_\_\_\_\_% \_\_\_\_\_% \_\_\_\_\_%

WMBE Certification Number:

Certified by (Agency):

(NOTE: A CERTIFICATION/NUMBER IS NOT REQUIRED TO PROPOSE - ENTER IF AVAILABLE)

(8) Federal Tax ID No.:

(9) Local Business License No. (if applicable):

(10) State of Missouri License Type and No. (if applicable):

(11) Federal License Type and No. (if applicable):

(12) Worker's Compensation Insurance Carrier:

Policy No.:

Expiration Date:

(13) General Liability Insurance Carrier:

Policy No.

Expiration Date:

(14) Professional Liability Insurance Carrier:

Policy No.

Expiration Date:

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Company



Section 3 Explanation  
(RFP Attachment E)

Be aware that the Agency previously conducted RFP's that required proposers and contractors to comply with the requirements of 24 CFR §135, *Economic Opportunities for Low- and Very Low-Income Persons* (a.k.a., Section 3).

However, earlier this year the U.S. Department of Housing and Urban Development (HUD) discontinued these former requirements and implemented the requirements of 24 CFR §5, 14, 75, 91, 92, 93, 135, 266, 570, 574, 576, 578, 905, 964, 983, and 1000, entitled *Enhancing and Streamlining the implementation of Section 3 Requirements for Creating Economic Opportunities for Low- and Very Low-Income Persons and Eligible Businesses*.

Accordingly, these new Section 3 regulations do not require firms proposing to provide "professional services" to a housing agency to implement any programs pertaining to Section 3 when the firm submits a proposal or provide the ensuing services. The Agency will advise all firms if these requirements change.

**Contract Form between the Housing Authority of St. Louis and [Contractor]  
(RFP Attachment F)**

**INTRODUCTION**

This contract by and between the **Housing Authority of St. Louis County** (hereinafter "County Housing"), and \_\_\_\_\_, (hereinafter "the Contractor") is hereby entered into this \_\_\_\_ **day of** \_\_\_\_\_, **Year**.

Services pursuant to this contract shall begin on the \_\_\_\_ **day of** \_\_\_\_\_, **Year**, and shall end on the \_\_\_\_ **day of** \_\_\_\_\_, **Year**, unless otherwise extended, modified, terminated, or renewed by the parties as provided for within this contract. Unless otherwise detailed herein, all references to "days" shall be calendar days (in the case that the last day referenced falls on a Saturday, Sunday, or legal holiday, then the period of time shall be automatically extended to include the next workday). Also, whenever the term "herein" is referred to, such refers to this contract form, the appendices, and all listed attachments.

**1.0 Definitions.**

- 1.1 Contracting Officer (CO).** County Housing Contracting Officer, typically County Housing Executive Director and CEO, but may be another person delegated such authority by the Executive Director and CEO.
- 1.2 Executive Director and CEO.** County Housing Executive Director and CEO.
- 1.3 Housing Authority.** Any reference herein or within any Appendix to the "Housing Authority" or the "HA" shall be interpreted to mean the same as County Housing.
- 1.4 Request for Proposals (RFP).** A competitive solicitation process conducted by County Housing wherein award was completed to the top-rated responsive and responsible proposer.

**2.0 Services and Payment.**

- 2.1 Scope of Services.** The services provided pursuant to this contract generally consist of those services for County Housing as described herein and within the Appendices. Said services shall be provided on the dates and times determined by County Housing. In addition, County Housing shall retain the right to implement and/or enforce any item issued as a part of CH-RFP-25-P-03.
- 2.2 Provisions of any and all Work (Task Orders).** The Contractor shall not provide any services (other than that already detailed herein) without the receipt of a completed Contract Task Order from the authorized County Housing representative. This Task Order may take the form of an e-mail.
- 2.3 Cost/Value of Services.**

- 2.3.1 Contract Value.** The current total Not-To-Exceed (NTE) value of this contract is:  
\$\_\_\_\_.\_\_\_\_

**Contract Form between the Housing Authority of St. Louis and [Contractor]  
(RFP Attachment F)**

**2.3.1.1** The Contractor exceeds the NTE amount at his/her own risk. The Contractor is under no obligation to provide additional services that would cause the Contractor's fees to exceed the NTE amount without prior revision of this amount by written change order. Further, County Housing reserves the right to amend this amount (increase/decrease) at any time during the ensuing contract period(s) when County Housing determines doing so is in its best interests.

**2.4 Renewal Options.** This contract is initially executed for the period of 1 year with the option, at County Housing's discretion, of option periods.

**2.5 Time Performance.** The Contractor will complete each assigned task as assigned by County Housing.

**2.6 Billing Method.**

**2.6.1** To receive payment for services rendered pursuant to this contract the Contractor shall submit a fully completed invoice for work previously performed to:

**HOUSING AUTHORITY OF ST. LOUIS COUNTY  
8865 NATURAL BRIDGE  
ST. LOUIS, MO 63121**

**2.6.2** At a minimum, the invoice shall detail the following information:

**2.6.2.1** Unique invoice number;

**2.6.2.2** Contractor's name, address, and telephone number;

**2.6.2.3** Date of invoice and/or billing period;

**2.6.2.4** Applicable Contract No.;

**2.6.2.5** Applicable Purchase Order No.;

**2.6.2.6** Brief description of services rendered, including applicable time-frame, total hours being billed for each service at each detailed site, and at the approved rate (may be submitted in the form of a report);

**2.6.2.7** Task Order, approved by County Housing Executive Director and CEO; and

**2.6.2.8** Total dollar amount being billed.

**Contract Form between the Housing Authority of St. Louis and [Contractor]  
(RFP Attachment F)**

**2.6.3** County Housing will pay each such properly completed invoice received on a Net/30 basis. Any invoice received not properly completed will not be paid unless and/or until the Contractor complies with the applicable provisions of this contract.

**3.0 County Housing's Obligations.** Pursuant to this contract, County Housing agrees to provide the specific services detailed herein and shall be responsible for the following:

**3.1** County Housing agrees to not provide to the Contractor any Task Order assigning work to the Contractor without the prior approval of the Executive Director and CEO.

**4.0 Contractor's Obligations.** Pursuant to this contract, the Contractor agrees to provide the specific services detailed herein and shall be responsible for the following:

**4.1 Supervision and Oversight.** The Contractor shall be solely responsible for providing supervision and oversight to all the Contractor's personnel that are assigned to this contract.

**4.2 Qualified Personnel.** The Contractor warrants and represents that it will assign only qualified personnel to perform the services outlined herein and within the appendices. For the purposes of this contract, the term "qualified personnel" shall mean those personnel that have been investigated, tested, and trained in the manner described within this contract and, as proposed by the Contractor within its proposal or as provided by the Contractor during the Contractor's normal conduct of business.

**4.3 Compliance with Federal and State Laws.** All services provided by the Contractor, pursuant to this contract, shall be done in accordance with applicable all Federal, State, and local laws, regulations, codes, and ordinances.

**4.4 Insurance Requirements.**

**4.4.1 Indemnity.** The complete indemnity requirements are detailed within Section 11.19 herein.

**4.4.2 Insurances.** In this regard, the Contractor shall maintain the following insurance coverage during the effective term(s) of this contract:

**4.4.2.1 General Liability Insurance.** An original certificate evidencing General Liability coverage, naming County Housing as an additional insured, together with the appropriate endorsement to said policy reflecting the addition of County Housing as an additional insured under said policy (minimum of \$1,000,000 each occurrence, general aggregate minimum limit of \$1,000,000, together with damage to premises and fire damage of \$50,000 and medical expenses any one

**Contract Form between the Housing Authority of St. Louis and [Contractor]  
(RFP Attachment F)**

person of \$5,000), with a commercially reasonable deductible (i.e., “commercially reasonable,” meaning not greater than 1% of the “general aggregate minimum” of the policy, with a maximum deductible amount of \$50,000);

**4.4.2.2 Professional Liability Insurance.** An original certificate showing the proposer's professional liability and/or "errors and omissions" coverage (minimum of \$1,000,000 each occurrence, general aggregate minimum limit of \$1,000,000), with a commercially reasonable deductible (i.e., “commercially reasonable,” meaning not greater than 1% of the “general aggregate minimum” of the policy), with a maximum deductible amount of \$50,000);

**4.4.2.3 Automobile Liability Insurance.** Automobile Liability coverage in a combined single limit of \$1,000,000. For every vehicle utilized during the term of this contract, when not owned by the entity, each vehicle must have evidence of automobile insurance coverage with limits of no less than \$100,000/\$300,000 and medical pay of \$5,000, with a deductible not greater than \$5,000.

**4.4.2.4 Worker's Compensation Insurance.** Worker's compensation coverage evidencing carrier and coverage amount.

**4.4.2.5 Certificates/Endorsements.** The Contractor shall provide to County Housing with current certificate(s)/endorsement(s) evidencing the insurance coverage referenced above. Failure to maintain the above-reference insurance coverage, including naming County Housing as an additional insured (where appropriate) during the term(s) of this contract shall constitute a material breach thereof. Insurance certificate(s)/endorsement(s) shall be delivered to the following person representing County Housing:

**Manish Kadaboina – Procurement Officer  
HOUSING AUTHORITY OF ST. LOUIS COUNTY  
8865 NATURAL BRIDGE  
ST. LOUIS, MO 63121**

**4.5 Licensing.** The Contractor shall also provide to County Housing a copy of any required licenses. Failure to maintain these licenses in a current status during the term(s) of this contract shall constitute a material breach thereof.

**4.6 Financial Viability and Regulatory Compliance.**

**4.6.1** The Contractor warrants and represents that its corporate entity is in good standing with all applicable federal, state, and local licensing authorities and that it possesses all requisite licenses to perform the services required by this

**Contract Form between the Housing Authority of St. Louis and [Contractor]  
(RFP Attachment F)**

contract. The Contractor further warrants and represents that it owes no outstanding delinquent federal, state, or local taxes or business assessments.

**4.6.2** The Contractor agrees to promptly disclose to County Housing any IRS liens or insurance or licensure suspension or revocation that may adversely affect its capacity to perform the services outlined within this contract. The failure by the Contractor to disclose such issue to County Housing in writing within 5 days of such notification received will constitute a material breach of this contract.

**4.6.3** The Contractor further agrees to promptly disclose to County Housing any change of more than 50% of its ownership and/or any declaration of bankruptcy that the Contractor may undergo during the term(s) of this contract. The failure of the Contractor to disclose any change of more than 50% of its ownership and/or its declaration of bankruptcy within 5 days of said actions shall constitute a material breach of this contract.

**4.6.4** All disclosures made pursuant to this section of the contract shall be made in writing and submitted to County Housing within the time periods required herein.

**4.7 Confidentiality.** The Contractor, in connection with performing his/her services hereunder, will have access to or may be provided certain confidential information concerning County Housing and agrees that any information concerning the finances, accounting practices, business, client, client lists, property information, client data, records of County Housing or any other information which a reasonable person could conclude that should remain confidential (collectively Confidential Information), will not be disclosed to any party and without limitation, any employee of County Housing or any client or potential client of County Housing at any time, except for the Contractor's legal counsel, accounts, or financial advisors, who will also hold such Confidential Information in confidence. The Contractor acknowledges that the information is being provided with the sole understanding that all Confidential Information will remain confidential and will be held in the strictest confidence. The Contractor further acknowledges that any disclosure of the Confidential Information, whether intentional or inadvertent, may harm County Housing. County Housing will have the right to enforce this Contract by specific performance, as well as hold the Contractor liable for any damages caused by any disclosure of any Confidential Information, whether intentional or inadvertent. The Contractor agrees that he has received valuable consideration for the entering into of this Contract and agrees to be bound all of its terms and conditions. This Contract will be binding on the Contractor and any attorney, accountant, financial advisor who also may be provided Confidential Information.

**5.0 Modification.** This contract shall not be modified, revised, amended, or extended except by written addendum, preferably executed by both parties, but County Housing shall retain the right to issue

**Contract Form between the Housing Authority of St. Louis and [Contractor]  
(RFP Attachment F)**

a unilateral addendum (pursuant to HUD regulation, the Contractor shall not have the same right). County Housing acknowledges that such “unilateral addendum” must not be otherwise in conflict with the current requirements already stated within this contract, or any appendix attached thereto, or in conflict with any relevant regulation or law; in either case, if a unilateral addendum is issued in conflict with the current requirements of the contract, and the amended conditions are deemed necessary by County Housing, and if the amended conditions cause the Contractor to be required to provide additional services, County Housing will negotiate suitable additional compensation to the Contractor to compensate the Contractor for the additional work caused by the unilateral addendum issued (such “additional compensation” shall be negotiated pursuant to the approved hourly rate that the Contractor proposed in response to the RFP).

**6.0 Severability.** The invalidity of any provision of this contract, as determined by a court of competent jurisdiction and/or HUD, shall in no way affect the validity of any other provision herein.

**7.0 Applicable Laws.**

**7.1 Compliance with Federal and State Laws.** All services provided by the Contractor, pursuant to this contract, shall be done in accordance with all applicable Federal, State, and local laws, regulations, codes, and ordinances.

**7.2 Jurisdiction of Law.** The laws of the State of Missouri shall govern the validity, construction, and effect of this contract, unless said laws are superseded by, or in conflict with applicable federal laws and/or federal regulations. This contract will be binding upon the parties, their heirs, beneficiaries, and devisees of the parties hereto. The parties agree that the courts of St. Louis County is the appropriate forum for any action relating to this contract. Should any party hereto retain counsel for the purpose of initiating litigation or arbitration to enforce, prevent the breach of any provision hereof, or for any other judicial remedy, then the prevailing party shall be entitled to be reimbursed by the losing party for all costs and expenses incurred thereby, including, but not limited to, reasonable attorney’s fees and costs incurred by such prevailing party. This contract may be signed in counterparts.

**7.3 Build America, Buy America Act (BABAA) Compliance.** Some or all of the funding for payment of services under this contract will be from funds made available through a Federal financial assistance program, as defined under the Build America, Buy America Act (41 U.S.C. §§ 8301-8305) (BABAA). The Contractor shall comply with the Build America, Buy America Act (BABAA) requirements, which mandate that all iron, steel, manufactured products, and construction materials used in infrastructure projects must be produced in the United States. The Contractor is responsible for ensuring that all materials used in the execution of this contract meet the BABAA standards, and Contractor must provide to County Housing documentation or such other information as County Housing may request verifying Contractor’s compliance with BABAA under this contract and in providing the services under this contract.

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(RFP Attachment F)**

**8.0 Notices, Invoices, and Reports.**

- 8.1** All notices and reports submitted to County Housing by the Contractor pursuant to this contract shall be in writing and delivered to the attention of the following person representing County Housing:

**Manish Kadaboina – Procurement Officer  
HOUSING AUTHORITY OF ST. LOUIS COUNTY  
8865 NATURAL BRIDGE  
ST. LOUIS, MO 63121**

or, if appropriate, e-mailed to: **purchasing@countyhousing.org**.

- 8.2** All notices submitted to the Contractor pursuant to this contract shall be in writing and mailed to the attention of:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

or, if appropriate, shall be e-mailed to: \_\_\_\_\_@\_\_\_\_\_.

**9.0 Disputed Billings (Charges).**

- 9.1 Procedures:** In addition to the procedures detailed within Clause No. 7 of Contract Appendix No. 1, form HUD-5370-C (01/2014), *General Conditions for Non-Construction Contracts, Section I—(With or without Maintenance Work)*, in the event that County Housing disputes any portion of its billing(s), County Housing shall pay the undisputed portion of such billing and initiate the dispute-resolving procedures, as follows:

- 9.1.1** County Housing's representative shall, within 10 days after County Housing's receipt of such billing, formally notify the Contractor's representative of all particulars pertaining to the dispute, and request that he/she investigate and respond to this issue.
- 9.1.2** If such dispute cannot be resolved by the Contractor's response, within 10 days after such notification is given, the CO and the Contractor's representative shall meet to discuss the matter and attempt to arrive at a resolution.
- 9.1.3** If the CO and the Contractor's representative are unable to resolve the dispute through such discussion within 10 days, County Housing shall, within 10 days thereafter, either (herein, "appropriate," at the sole decision and discretion of County Housing):



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(RFP Attachment F)**

- 9.1.3.1** Pay the disputed charges and reserve the right to submit the matter to the appropriate court in the St. Louis County, MO; or,
- 9.1.3.2** Not pay the disputed charge and submit the matter to the appropriate court in the St. Louis County, MO; or,
- 9.1.3.3** Not pay the disputed charge and allow the Contractor to submit the matter either to the appropriate court in the St. Louis County, MO.

**10.0** **2 CFR §200.326, Appendix II, Contract Provisions for Non-Federal Entity Contracts Under Federal Awards.** Pursuant to this CFR, as issued by the Office of the U.S. Secretary of HUD, County Housing, and the Contractor each agree to comply with the following provisions and agree that any contract that ensues as a result of this RFP will include the following clauses, whether inserted or by reference:

**10.1 Remedies for Contractor Breach.** Pertaining to contract-related issues, it is the responsibility of both County Housing and the Contractor to communicate with each in as clear and complete a manner as possible. If at any time during the term of this contract County Housing or the Contractor is not satisfied with any issue, it is the responsibility of that party to deliver to the other party communication, in writing, fully detailing the issue and corrective action (please note that County Housing has the right to issue unilateral addendums to this contract, but the Contractor does not have the same right). The other party shall, within 10 days, respond in writing to the other party (however, County Housing shall retain the right to, if conditions warrant, require the Contractor to respond in a shorter period of time). Further, County Housing shall, at a minimum, employ the following steps in dealing with the Contractor as to any performance issues:

**10.1.1** If the Contractor is in material breach of the contract, County Housing may promptly invoke the termination clause detailed within Section No. 3 of Contract Appendix No. 1, form HUD-5370-C (01/2014), *General Conditions for Non-Construction Contracts, Section I—(With or without Maintenance Work)*, which is attached hereto, and terminate the contract for cause. Such termination must be delivered to the Contractor in writing and shall fully detail all pertinent issues pertaining to the cause of and justification for the termination.

**10.1.2** Prior to termination, County Housing may choose to warn the Contractor, verbally or in writing, of any issue of non-compliant or unsatisfactory performance. Such written warning may include placing the Contractor on probation, thereby giving the Contractor a certain period of time to correct the deficiencies or potentially suffer termination. County Housing shall maintain in the contract file a written record of any such warning detailing all pertinent information. If the Contractor does not agree with such action, the Contractor shall have ten 10 days to dispute or protest, in writing, such action; if he/she does not do so within the 10-day period, he/she shall have no recourse but to accept and agree with County Housing's position on the issue. The written

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protest must detail all pertinent information pertaining to the dispute, including justification detailing County Housing's alleged incorrect action(s).

**10.1.3** After termination, if the Contractor does not agree with County Housing's justification for the termination, the Contractor shall have 10 days to dispute, in writing, such action; if he/she does not do so within the 10-day period, he/she shall have no recourse but to accept and agree with County Housing's position on the issue. The written protest must detail all pertinent information pertaining to the dispute, including justification detailing County Housing's alleged incorrect action(s).

**10.1.4** The response to any protest received shall be conducted in accordance with Section No. 4.0 of the *Supplemental Instructions to Proposers and Contractors (SIPC)* document.

**10.2 Termination for Cause and Convenience.** For all contracts in excess of \$10,000, as detailed within Clause No. 3 of Contract Appendix No. 1, form HUD-5370-C (01/2014), *General Conditions for Non-Construction Contracts, Section I—(With or without Maintenance Work)*, attached hereto. In addition to the immediate-foregoing, if County Housing terminates the Contractor for convenience, County Housing is obligated to, as detailed within Section 11.6.C.2 of HUD Procurement Handbook 7460.8 REV 2, negotiate with and pay to the Contractor a "reasonable allowance for profit" for the remainder of the contracted period.

**10.3 Equal Employment Opportunity.** Except as otherwise provided under 41 CFR Part 60, all contracts that meet the definition of "federally assisted construction contract" in 41 CFR Part 60-1.3 must include the equal opportunity clause provided under 41 CFR 60-1.4(b), in accordance with Executive Order 11246, "Equal Employment Opportunity" (30 FR 12319, 12935, 3 CFR Part, 1964-1965 Comp., p. 339), as amended by Executive Order 11375, "Amending Executive Order 11246 Relating to Equal Employment Opportunity," and implementing regulations at 41 CFR part 60, "Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor."

**10.4 Davis-Bacon Act, as amended (40 U.S.C.3141-3148).** When required by Federal program legislation, all prime construction contracts in excess of \$2,000 awarded by non-Federal entities must include a provision for compliance with the Davis-Bacon Act (40 U.S.C.3141-3144, and 3146-3148) as supplemented by Department of Labor regulations (29 CFR Part 5, "Labor Standards Provisions Applicable to Contracts Covering Federally Financed and Assisted Construction"). In accordance with the statute, contractors [are] required to pay wages to laborers and mechanics at a rate not less than the prevailing wages specified in a wage determination made by the Secretary of Labor. In addition, contractors [are] required to pay wages not less than once a week. The non-Federal entity must place a copy of the current prevailing wage determination issued by the Department of Labor in each solicitation. The decision to award a contract or subcontract must be conditioned upon the acceptance of the wage determination. The non-Federal entity must report all suspected or reported violations to the Federal awarding County Housing. The contracts must also

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include a provision for compliance with the **Copeland “Anti-Kickback” Act (40 U.S.C. 3145), as supplemented by Department of Labor regulations (29 CFR Part 3,** “Contractors and Subcontractors on Public Building or Public Work Financed in Whole or in Part by Loans or Grants from the United States”). The Act provides that each contractor or subrecipient must be prohibited from inducing, by any means, any person employed in the construction, completion, or repair of public work, to give up any part of the compensation to which he or she is otherwise entitled. The non-Federal entity must report all suspected or reported violations to the Federal awarding County Housing.

- 10.5 Contract Work Hours and Safety Standards Act (40 U.S.C. 3701–3708).** Where applicable, all contracts awarded by the non-Federal entity in excess of \$100,000 that involve the employment of mechanics or laborers must include a provision for compliance with 40 U.S.C. 3702 and 3704, as supplemented by Department of Labor regulations (29 CFR Part 5). Under 40 U.S.C. 3702 of the Act, each contractor must be required to compute the wages of every mechanic and laborer on the basis of a standard work week of 40 hours. Work in excess of the standard work week is permissible provided that the worker is compensated at a rate of not less than one and a half times the basic rate of pay for all hours worked in excess of 40 hours in the work week. The requirements of 40 U.S.C. 3704 are applicable to construction work and provide that no laborer or mechanic must be required to work in surroundings or under working conditions which are unsanitary, hazardous, or dangerous. These requirements do not apply to the purchases of supplies or materials or articles ordinarily available on the open market, or contracts for transportation or transmission of intelligence.
- 10.6 Rights to Inventions Made Under a Contract or Agreement.** If the Federal award meets the definition of “funding agreement” under 37 CFR §401.2 (a) and the recipient or subrecipient wishes to enter into a contract with a small business firm or nonprofit organization regarding the substitution of parties, assignment or performance of experimental, developmental, or research work under that “funding agreement,” the recipient or subrecipient must comply with the requirements of 37 CFR Part 401, “Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Grants, Contracts and Cooperative Agreements,” and any implementing regulations issued by the awarding County Housing.
- 10.7 Clean Air Act (42 U.S.C. 7401–7671q.) and the Federal Water Pollution Control Act (33 U.S.C. 1251–1387), as amended—**Contracts and subgrants of amounts in excess of \$150,000 must contain a provision that requires the non-Federal award to agree to comply with all applicable standards, orders or regulations issued pursuant to the Clean Air Act (42 U.S.C. 7401–7671q) and the Federal Water Pollution Control Act as amended (33 U.S.C. 1251–1387). Violations must be reported to the Federal awarding County Housing and the Regional Office of the Environmental Protection County Housing (EPA).
- 10.8** Mandatory standards and policies relating to **energy efficiency** which are contained in the state energy conservation plan issued in compliance with the Energy Policy and Conservation Act (42 U.S.C. 6201).

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- 10.9 Debarment and Suspension (Executive Orders 12549 and 12689)**—A contract award (see 2 CFR 180.220) must not be made to parties listed on the government wide Excluded Parties List System in the System for Award Management (SAM), in accordance with the OMB guidelines at 2 CFR 180 that implement Executive Orders 12549 (3 CFR Part 1986 Comp., p. 189) and 12689 (3 CFR Part 1989 Comp., p. 235), “Debarment and Suspension.” The Excluded Parties List System in SAM contains the names of parties debarred, suspended, or otherwise excluded by agencies, as well as parties declared ineligible under statutory or regulatory authority other than Executive Order 12549.
- 10.10 Byrd Anti-Lobbying Amendment (31 U.S.C. 1352)**—Contractors that apply or bid for an award of \$100,000 or more must file the required certification. Each tier certifies to the tier above that it will not and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any County Housing, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal contract, grant or any other award covered by 31 U.S.C. 1352. Each tier must also disclose any lobbying with non-Federal funds that takes place in connection with obtaining any Federal award. Such disclosures are forwarded from tier to tier up to the non-Federal award.
- 10.11 §200.322 Procurement of recovered materials.** A non-Federal entity that is a state County Housing or County Housing of a political subdivision of a state and its contractors must comply with section 6002 of the Solid Waste Disposal Act, as amended by the Resource Conservation and Recovery Act. The requirements of Section 6002 include procuring only items designated in guidelines of the Environmental Protection County Housing (EPA) at 40 CFR part 247 that contain the highest percentage of recovered materials practicable, consistent with maintaining a satisfactory level of competition, where the purchase price of the item exceeds \$10,000 or the value of the quantity acquired by the preceding fiscal year exceeded \$10,000; procuring solid waste management services in a manner that maximizes energy and resource recovery; and establishing an affirmative procurement program for procurement of recovered materials identified in the EPA guidelines.
- 11.0 Additional Considerations.**
- 11.1 Right of Joinder.**
- 11.1.1** Any political subdivision within the State of Missouri (or any other jurisdiction within the United States) may be granted the privilege of joining the awarded contract, only at the option of the Contractor. If the Contractor so grants such a privilege, the terms and conditions of the RFP documents, including the ensuing contract, may be passed on to the joining political subdivision by the Contractor.
- 11.1.2** The Contractor shall retain the unilateral right to allow or disallow any political subdivision the privilege of joining the awarded contract. In the event the Contractor allows another political subdivision to join the Agency contract, it is expressly understood that the Agency

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shall in no way be liable for the joining political subdivision obligations to the Contractor in any manner whatsoever.

**Non-Escalation.** Unless otherwise specified within the RFP documents, the unit prices reflected on the contract shall remain firm with no provision for price increases during the term of the contract.

**11.2 Funding Restrictions and Order Quantities.** County Housing reserves the right to reduce or increase estimated or actual quantities in whatever amount necessary without prejudice or liability to County Housing, if:

**11.2.1** Funding is not available; or,

**11.2.2** Legal restrictions are placed upon the expenditure of monies for this category of service or supplies; or,

**11.2.3** County Housing's requirements in good faith change after award of the contract.

**11.3 Local, State, and/or Federal Permits.** Unless otherwise stated in the RFP documents, all local, State or Federal permits which may be required to provide the services ensuing from award of this RFP, whether or not they are known to either County Housing or the proposers at the time of the proposal submittal deadline or the award, shall be the sole responsibility of the Contractor and any costs that were submitted by the Contractor in response to the RFP shall reflect all costs required by the Contractor to procure and provide such necessary permits.

**11.4 Taxes.** All persons doing business with County Housing are hereby made aware that County Housing is exempt from paying Missouri State Sales and Use Taxes and Federal Excise Taxes. A letter of Tax Exemption will be provided upon request.

**11.5 Government Standards.** It is the responsibility of the proposer to ensure that all items and services proposed conform to all local, State and Federal law concerning safety (OSHA) and environmental control (EPA, County, and State Pollution Regulations) and any other enacted ordinance, code, law, or regulation. The Contractor shall be responsible for all costs incurred for compliance with any such possible ordinance, code, law, or regulation. No time extensions shall be granted, or financial consideration given, to the Contractor for time or monies lost due to violations of any such ordinance, code, law, or regulations that may occur.

**11.6 Freight on Bill and Delivery.** All costs submitted by the proposer shall reflect the cost of delivering the proposed items and/or services to the locations(s) specified within the RFP documents or within the contract.

**11.6.1** The Contractor agrees to deliver to the designated location(s) on or before the date specified in the finalized contract. Failure to deliver on or before the

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specified date constitutes an event of default by the Contractor. Upon default, the Contractor agrees that County Housing may, at its option, rescind the finalized contract under the default clause herein and seek compensatory damages as provided by law.

**11.7 Backorders.**

**11.7.1** The CO must be notified in writing by the Contractor within 10 days of any and all backordered materials and/or any incomplete services, and the estimated delivery date.

**11.7.2** Unless otherwise stipulated in the contract, any order that will take more than a maximum of 10 days past the original agreed upon delivery date, may at the option of County Housing, be canceled and ordered from another source, if, in the opinion of the CO, it is in the best interests of County Housing to do so.

**11.8 Work on County Housing Property.** If the Contractor's work under the contract involves operations by the Contractor on County Housing premises, the Contractor shall take all necessary precautions to prevent the occurrence of any injury to persons or property during the progress of such work and, except to the extent that any such injury is caused solely and directly by County Housing's negligence, shall indemnify County Housing, and their officers, agents, servants and employees against all loss which may result in any way from any act or omission of the Contractor, its agents, employees, or subcontractors.

**11.9 Official, Agent and Employees of County Housing Not Personally Liable.** It is agreed by and between the parties hereto that in no event shall any official, officer, employee, or agent of County Housing in any way be personally liable or responsible for any covenant or agreement herein contained, whether either expressed or implied, nor for any statement, representation or warranty made herein or in any connection with this agreement.

**11.10 Subcontractors.** Unless otherwise stated within the RFP documents, the Contractor may not use any subcontractors to accomplish any portion of the services described within the RFP documents or the contract without the prior written permission of the CO.

**11.11 Salaries and Expenses Relating to the Contractors Employees.** Unless otherwise stated within the RFP documents, the Contractor shall pay all salaries and expenses of, and all Federal, Social Security taxes, Federal and State Unemployment taxes, and any similar taxes relating to its employees used in the performance of the contract. The Contractor further agrees to comply with all Federal, State, and local wage and hour laws and all licensing laws applicable to its employees or other personnel furnished under this agreement.

**11.12 Attorney's Fees.** In the event that one party commences litigation hereto against the other in connection with the enforcement of any provision of this agreement, the prevailing party shall be paid by the losing party all court costs and other expenses of such litigation,

**Contract Form between the Housing Authority of St. Louis and [Contractor]  
(RFP Attachment F)**

including reasonable attorneys' fees. The amount so allowed as attorneys' fees shall be taxed to the losing party as costs of the suit, unless prohibited by law.

- 11.13 Independent Contractor.** Unless otherwise stated within the RFP documents or the contract, the Contractor is an independent Contractor. Nothing herein shall create any association, County Housing, partnership, or joint venture between the parties hereto and neither shall have any authority to bind the other in any way.
- 11.14 Severability.** If any provision of this agreement or any portion or provision hereof applicable to any particular situation or circumstance is held valid, the remainder of this agreement or the remainder of such provision (as the case may be), and the application thereof to other situations or circumstances shall not be affected thereby.
- 11.15 Waiver of Breach.** A waiver of either party of any terms or condition of this agreement in any instance shall not be deemed or construed as a waiver of such term or condition for the future, or of any subsequent breach thereof. All remedies, rights, undertakings, obligations, and agreements contained in this agreement shall be cumulative and none of them shall be in limitation of any other remedy, right, obligation or agreement of either party.
- 11.16 Time of the Essence.** Time is of the essence under this agreement as to each provision in which time of performance is a factor.
- 11.17 Limitation of Liability.** In no event shall County Housing be liable to the Contractor for any indirect, incidental, consequential, or exemplary damages.
- 11.18 Indemnification.**
- 11.18.1** The Contractor shall indemnify, defend, and hold County Housing (and its officers, employees, and agents) harmless from and against any and all claims, damages, losses, suits, actions, decrees, judgments, attorney's fees, court costs and other expenses of any kind or character, which are caused by, arise out of, or occur due to any failure of the Contractor to (1) abide by any of the applicable professional standards within its industry, or (2) comply with the terms, conditions, or covenants that are contained in this contract, (3) comply with the Alabama "Industrial Insurance Act," or any other similar law, ordinance, or decree; or (4) ensure that the any subcontractors abide by the terms of this provision and this contract; provided, however, that Contractor will not be required to indemnify County Housing against any loss or damage which was specifically caused by County Housing providing inaccurate information to the Contractor, failing to provide necessary and requested information to the Contractor, or refusal to abide by any recommendation of the Contractor.
- 11.18.2** In this connection, it is expressly agreed that the Contractor shall, at its own expense, defend County Housing, its officers, employees, and agents, against any and all claims, suits or actions which may be brought against them, or any

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of them, as a result of, or by reason of, or arising out of, or on account of, or in consequence of any act or failure to act the consequences of which the Contractor has indemnified County Housing. If the Contractor shall fail to do so, County Housing shall have the right, but not the obligation, to defend the same and to charge all direct and incidental costs of such defense to the Contractor including attorney's fees and court costs.

**11.18.3** Any money due to the Contractor under and by virtue of this contract, which County Housing believes must be withheld from the Contractor to protect County Housing, may be retained by County Housing so long as it is reasonably necessary to ensure County Housing's protection; or in case no money is due, its surety may be held until all applicable claims have been settled and suitable evidence to that effect furnished to County Housing provided, however, neither the Corporation's payments shall not be withheld, and its surety shall be released, if the Contractor is able to demonstrate that it has adequate liability and property damage insurance to protect County Housing from any potential claims.

**11.18.4** The Contractor shall provide that any contractual arrangement with a subcontractor shall be in conformance with the terms of this Contract including the terms of this indemnity provision. The Contractor guarantees that it will promptly handle and rectify any and all claims for materials, supplies and labor, or any other claims that may be made against it or any of its subcontractors about the contract.

**11.20 Lobbying Certification.** By execution of this contract with County Housing the Contractor thereby certifies, to the best of his or her knowledge and belief, that:

**11.20.1** No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an County Housing, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal loan, the entering into of any cooperative agreement, or modification of any Federal contract, grant, loan, or cooperative agreement.

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



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**11.20.3** The Contractor shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

**11.21 Additional Federally Required Orders/Directives.** In addition to complying will all other orders, laws, directives and covenants described in this contract, both parties agree that they will comply with the following orders, laws, directives and covenants, where applicable:

**11.21.1 Executive Order 11061**, as amended, which directs the Secretary of HUD to take all action which is necessary and appropriate to prevent discrimination by agencies that utilize federal funds.

**11.21.2 Public Law 88-352, Title VI of the Civil Rights Act of 1964**, which provides that no person in the United States shall, on the basis of race, color, national origin, or sex, be excluded from participation in, denied the benefits of, or subjected to discrimination under any program or activity which receives federal financial assistance. County Housing hereby extends this requirement to the Contractor and its private contractors. Specific prohibited discriminatory actions and corrective actions are described in Chapter 2, Subtitle C, Title V of the Anti-Drug Abuse Act of 1988 (42 U.S.C. 19901 et. seq.).

**11.21.3 Public Law 90-284, Title VIII of the Civil Rights Act of 1968.**, popularly known as the Fair Housing Act, which provides for fair housing throughout the United States and prohibits any person from discriminating in the sale or rental of housing, the financing of housing or the provision of brokerage services, including in any way making unavailable or denying a dwelling to any person because of race, color, religion, sex, or national origin. Pursuant to this statute, County Housing requires that the Contractor administer all programs and activities, which are related to housing and community development in such a manner as affirmatively to further fair housing.

**11.21.4 The Age Discrimination Act of 1975**, which prohibits discrimination on the basis of age.

**11.21.5 Anti-Drug Abuse Act of 1988** (42 U.S.C. 11901 et. seq.).

**11.21.6 HUD Information Bulletin 909-23** which is the following:

**11.21.6.1** Notice of Assistance Regarding Patent and Copyright Infringement; and,

**11.21.6.2** Clean Air and Water Certification; and,

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**11.21.6.3** Energy Policy and Conversation Act.

**11.21.7** That the funds that are provided by County Housing and HUD hereunder shall not be used, directly or indirectly, to employ, award a contract to, or otherwise engage the services of any debarred, suspended, or ineligible Contractor.

**11.21.8** That none of the personnel who are employed in the administration of the work required by this contract shall, in any way or to any extent, be engaged in the conduct of political activities in violation of Title V, Chapter 15, of the United States Code.

**11.21.9** The mention herein of any statute or Executive Order is not intended as an indication that such statute or Executive Order is necessarily applicable not is the failure to mention any statute or Executive Order intended as an indication that such statute or Executive Order is not applicable. In this connection, therefore each provision of law and each clause, which is required by law to be inserted in this agreement, shall be deemed to have been inserted herein, and this agreement shall be read and enforced as though such provision or clause had been physically inserted herein. If, through mistake or otherwise, any such provision is not inserted or is inserted incorrectly, this agreement shall forthwith be physically amended to make such insertion or correction upon the application of either part.

**12.0 Section 3 Clause.** Pursuant to recently-issued HUD regulation, Section 3 in no longer pertinent to this contract; accordingly, the previously issued Section 3 Clause is not included as a part of this contract.

**13.0 Appendices.** The following noted documents are placed under each of the noted appendix and are a part of this contract:

**[Table No. 1]**

<b>Contract Form between the Housing Authority of St. Louis and [Contractor]</b> <b>(RFP Attachment F)</b>
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Section No.	Contract Appendix No.	Appendix Description
13.1	1	form HUD-5370-C (01/2014), <i>General Condition for Non-Construction Contracts, Section I—(With or without Maintenance Work)</i>
13.2	2	form HUD 50071 (01/14), <i>Certification of Payments to Influence Federal Transactions</i> (NOTE: This form will only be completed and included as a part of the ensuing contract if County Housing anticipates that total awards pursuant to the ensuing contract may or will exceed \$100,000.
13.3	3	Standard Form LLL (Rev. 7-97), <i>Disclosure of Lobbying Activities</i> (NOTE: This form will only be completed and included as a part of the ensuing contract if the Contractor designates an affirmative answer to Item No. (2) within the immediate identified form 50071.)
13.5	5	Scope of Work
13.6	6	The unit fee(s) that apply to each procurement that ensues from this contract

<b>Contract Form between the Housing Authority of St. Louis and [Contractor] (RFP Attachment F)</b>
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<b>13.8</b>	<b>Inclusion by Reference.</b> Included by reference is any document or clause issued as a part of CH-RFP-25-P-03, or within the Contractors proposal submittal, that County Housing may choose to include at any time during the performance of this contract or any options exercised thereto by County Housing (NOTE: This inclusion shall be the unilateral right of County Housing and not the Contractor). Further, any document that may be referenced herein that has not been listed above is hereby incorporated herein by reference, and a copy of each such document is available from County Housing upon written request for such from the Contractor.
<b>13.9</b>	<b>Order of Precedence.</b> Please note that, in the case of any discrepancy between this contract and any of the above noted appendices, the requirement(s) detailed within the body of this contract shall take first precedence, then the requirement(s) detailed within each appendix shall take precedence in the order that they are listed above (meaning, the requirement(s) detailed within the lower listed item may not overrule any requirement(s) detailed within a higher listed item).

**14.0 CERTIFICATIONS.** The undersigned representative of each party hereby acknowledges by signature below that they have reviewed the foregoing and understand and agree to abide by their respective obligations as defined herein:

**[The Contractor]:**

By: \_\_\_\_\_ Date: \_\_\_\_\_  
           [Name], [Title]

**Housing Authority of St. Louis County:**

By: \_\_\_\_\_ Date: \_\_\_\_\_  
       Shannon Koenig, Executive Director, and CEO

# General Conditions for Non-Construction Contracts

## Section I – (With or without Maintenance Work)

### U.S. Department of Housing and Urban Development

Office of Public and Indian Housing

Office of Labor Relations

OMB Approval No. 2577-0157 (exp. 3/31/2020)

Public Reporting Burden for this collection of information is estimated to average 0.08 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Reports Management Officer, Office of Information Policies and Systems, U.S. Department of Housing and Urban Development, Washington, D.C. 20410-3600; and to the Office of Management and Budget, Paperwork Reduction Project (2577-0157), Washington, D.C. 20503. Do not send this completed form to either of these addressees.

**Applicability. This form HUD-5370-C has 2 Sections. These Sections must be inserted into non-construction contracts as described below:**

- 1) **Non-construction contracts** (*without* maintenance) **greater than \$105,000 - use Section I;**
- 2) **Maintenance contracts** (including nonroutine maintenance as defined at 24 CFR 968.105) **greater than \$2,000 but not more than \$150,000 - use Section II; and**
- 3) **Maintenance contracts** (including nonroutine maintenance), **greater than \$150,000 – use Sections I and II.**

### Section I - Clauses for All Non-Construction Contracts greater than \$150,000

#### 1. Definitions

The following definitions are applicable to this contract:

- (a) "Authority or Housing Authority (HA)" means the Housing Authority.
- (b) "Contract" means the contract entered into between the Authority and the Contractor. It includes the contract form, the Certifications and Representations, these contract clauses, and the scope of work. It includes all formal changes to any of those documents by addendum, Change Order, or other modification.
- (c) "Contractor" means the person or other entity entering into the contract with the Authority to perform all of the work required under the contract.
- (d) "Day" means calendar days, unless otherwise stated.
- (e) "HUD" means the Secretary of Housing and Urban development, his delegates, successors, and assigns, and the officers and employees of the United States Department of Housing and Urban Development acting for and on behalf of the Secretary.

#### 2. Changes

- (a) The HA may at any time, by written order, and without notice to the sureties, if any, make changes within the general scope of this contract in the services to be performed or supplies to be delivered.
- (b) If any such change causes an increase or decrease in the hourly rate, the not-to-exceed amount of the contract, or the time required for performance of any part of the work under this contract, whether or not changed by the order, or otherwise affects the conditions of this contract, the HA shall make an equitable adjustment in the not-to-exceed amount, the hourly rate, the delivery schedule, or other affected terms, and shall modify the contract accordingly.
- (c) The Contractor must assert its right to an equitable adjustment under this clause within 30 days from the date of receipt of the written order. However, if the HA decides that the facts justify it, the HA may receive and act upon a

proposal submitted before final payment of the contract.

- (d) Failure to agree to any adjustment shall be a dispute under clause Disputes, herein. However, nothing in this clause shall excuse the Contractor from proceeding with the contract as changed.
- (e) No services for which an additional cost or fee will be charged by the Contractor shall be furnished without the prior written consent of the HA.

#### 3. Termination for Convenience and Default

- (a) The HA may terminate this contract in whole, or from time to time in part, for the HA's convenience or the failure of the Contractor to fulfill the contract obligations (default). The HA shall terminate by delivering to the Contractor a written Notice of Termination specifying the nature, extent, and effective date of the termination. Upon receipt of the notice, the Contractor shall: (i) immediately discontinue all services affected (unless the notice directs otherwise); and (ii) deliver to the HA all information, reports, papers, and other materials accumulated or generated in performing this contract, whether completed or in process.
- (b) If the termination is for the convenience of the HA, the HA shall be liable only for payment for services rendered before the effective date of the termination.
- (c) If the termination is due to the failure of the Contractor to fulfill its obligations under the contract (default), the HA may (i) require the Contractor to deliver to it, in the manner and to the extent directed by the HA, any work as described in subparagraph (a)(ii) above, and compensation be determined in accordance with the Changes clause, paragraph 2, above; (ii) take over the work and prosecute the same to completion by contract or otherwise, and the Contractor shall be liable for any additional cost incurred by the HA; (iii) withhold any payments to the Contractor, for the purpose of off-set or partial payment, as the case may be, of amounts owed to the HA by the Contractor.
- (d) If, after termination for failure to fulfill contract obligations (default), it is determined that the Contractor had not failed, the termination shall be deemed to have been effected for the convenience of the HA, and the Contractor shall be entitled to payment as described in paragraph (b) above.
- (e) Any disputes with regard to this clause are expressly made subject to the terms of clause titled Disputes herein.

#### 4. Examination and Retention of Contractor's Records

- (a) The HA, HUD, or Comptroller General of the United States, or any of their duly authorized representatives shall, until 3 years after final payment under this contract, have access to and the right to examine any of the Contractor's directly pertinent books, documents, papers, or other records involving transactions related to this contract for the purpose of making audit, examination, excerpts, and transcriptions.

- (b) The Contractor agrees to include in first-tier subcontracts under this contract a clause substantially the same as paragraph (a) above. "Subcontract," as used in this clause, excludes purchase orders not exceeding \$10,000.
- (c) The periods of access and examination in paragraphs (a) and (b) above for records relating to:
  - (i) appeals under the clause titled Disputes;
  - (ii) litigation or settlement of claims arising from the performance of this contract; or,
  - (iii) costs and expenses of this contract to which the HA, HUD, or Comptroller General or any of their duly authorized representatives has taken exception shall continue until disposition of such appeals, litigation, claims, or exceptions.

## 5. Rights in Data (Ownership and Proprietary Interest)

The HA shall have exclusive ownership of, all proprietary interest in, and the right to full and exclusive possession of all information, materials and documents discovered or produced by Contractor pursuant to the terms of this Contract, including but not limited to reports, memoranda or letters concerning the research and reporting tasks of this Contract.

## 6. Energy Efficiency

The contractor shall comply with all mandatory standards and policies relating to energy efficiency which are contained in the energy conservation plan issued in compliance with the Energy Policy and Conservation Act (Pub.L. 94-163) for the State in which the work under this contract is performed.

## 7. Disputes

- (a) All disputes arising under or relating to this contract, except for disputes arising under clauses contained in Section III, Labor Standards Provisions, including any claims for damages for the alleged breach thereof which are not disposed of by agreement, shall be resolved under this clause.
- (b) All claims by the Contractor shall be made in writing and submitted to the HA. A claim by the HA against the Contractor shall be subject to a written decision by the HA.
- (c) The HA shall, with reasonable promptness, but in no event in no more than 60 days, render a decision concerning any claim hereunder. Unless the Contractor, within 30 days after receipt of the HA's decision, shall notify the HA in writing that it takes exception to such decision, the decision shall be final and conclusive.
- (d) Provided the Contractor has (i) given the notice within the time stated in paragraph (c) above, and (ii) excepted its claim relating to such decision from the final release, and (iii) brought suit against the HA not later than one year after receipt of final payment, or if final payment has not been made, not later than one year after the Contractor has had a reasonable time to respond to a written request by the HA that it submit a final voucher and release, whichever is earlier, then the HA's decision shall not be final or conclusive, but the dispute shall be determined on the merits by a court of competent jurisdiction.
- (e) The Contractor shall proceed diligently with performance of this contract, pending final resolution of any request for relief, claim, appeal, or action arising under the contract, and comply with any decision of the HA.

## 8. Contract Termination; Debarment

A breach of these Contract clauses may be grounds for termination of the Contract and for debarment or denial of participation in HUD programs as a Contractor and a subcontractor as provided in 24 CFR Part 24.

## 9. Assignment of Contract

The Contractor shall not assign or transfer any interest in this contract; except that claims for monies due or to become due from the HA under the contract may be assigned to a bank, trust company, or other financial institution. If the Contractor is a partnership, this contract shall inure to the benefit of the surviving or remaining member(s) of such partnership approved by the HA.

## 10. Certificate and Release

Prior to final payment under this contract, or prior to settlement upon termination of this contract, and as a condition precedent thereto, the Contractor shall execute and deliver to the HA a certificate and release, in a form acceptable to the HA, of all claims against the HA by the Contractor under and by virtue of this contract, other than such claims, if any, as may be specifically excepted by the Contractor in stated amounts set forth therein.

## 11. Organizational Conflicts of Interest

- (a) The Contractor warrants that to the best of its knowledge and belief and except as otherwise disclosed, it does not have any organizational conflict of interest which is defined as a situation in which the nature of work under this contract and a contractor's organizational, financial, contractual or other interests are such that:
  - (i) Award of the contract may result in an unfair competitive advantage; or
  - (ii) The Contractor's objectivity in performing the contract work may be impaired.
- (b) The Contractor agrees that if after award it discovers an organizational conflict of interest with respect to this contract or any task/delivery order under the contract, he or she shall make an immediate and full disclosure in writing to the Contracting Officer which shall include a description of the action which the Contractor has taken or intends to take to eliminate or neutralize the conflict. The HA may, however, terminate the contract or task/delivery order for the convenience of the HA if it would be in the best interest of the HA.
- (c) In the event the Contractor was aware of an organizational conflict of interest before the award of this contract and intentionally did not disclose the conflict to the Contracting Officer, the HA may terminate the contract for default.
- (d) The terms of this clause shall be included in all subcontracts and consulting agreements wherein the work to be performed is similar to the service provided by the prime Contractor. The Contractor shall include in such subcontracts and consulting agreements any necessary provisions to eliminate or neutralize conflicts of interest.

## 12. Inspection and Acceptance

- (a) The HA has the right to review, require correction, if necessary, and accept the work products produced by the Contractor. Such review(s) shall be carried out within 30 days so as to not impede the work of the Contractor. Any

product of work shall be deemed accepted as submitted if the HA does not issue written comments and/or required corrections within 30 days from the date of receipt of such product from the Contractor.

- (b) The Contractor shall make any required corrections promptly at no additional charge and return a revised copy of the product to the HA within 7 days of notification or a later date if extended by the HA.
- (c) Failure by the Contractor to proceed with reasonable promptness to make necessary corrections shall be a default. If the Contractor's submission of corrected work remains unacceptable, the HA may terminate this contract (or the task order involved) or reduce the contract price or cost to reflect the reduced value of services received.

### 13. Interest of Members of Congress

No member of or delegate to the Congress of the United States of America or Resident Commissioner shall be admitted to any share or part of this contract or to any benefit to arise there from, but this provision shall not be construed to extend to this contract if made with a corporation for its general benefit.

### 14. Interest of Members, Officers, or Employees and Former Members, Officers, or Employees

No member, officer, or employee of the HA, no member of the governing body of the locality in which the project is situated, no member of the governing body in which the HA was activated, and no other public official of such locality or localities who exercises any functions or responsibilities with respect to the project, shall, during his or her tenure, or for one year thereafter, have any interest, direct or indirect, in this contract or the proceeds thereof.

### 15. Limitation on Payments to Influence Certain Federal Transactions

(a) Definitions. As used in this clause:

"Agency", as defined in 5 U.S.C. 552(f), includes Federal executive departments and agencies as well as independent regulatory commissions and Government corporations, as defined in 31 U.S.C. 9101(1).

"Covered Federal Action" means any of the following Federal actions:

- (i) The awarding of any Federal contract;
- (ii) The making of any Federal grant;
- (iii) The making of any Federal loan;
- (iv) The entering into of any cooperative agreement; and,
- (v) The extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

Covered Federal action does not include receiving from an agency a commitment providing for the United States to insure or guarantee a loan.

"Indian tribe" and "tribal organization" have the meaning provided in section 4 of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450B). Alaskan Natives are included under the definitions of Indian tribes in that Act.

"Influencing or attempting to influence" means making, with the intent to influence, any communication to or appearance before an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with any covered Federal action.

"Local government" means a unit of government in a State and, if chartered, established, or otherwise recognized by a State for the performance of a governmental duty, including a local public authority, a special district, an intrastate district, a council of governments, a sponsor group representative organization, and any other instrumentality of a local government.

"Officer or employee of an agency" includes the following individuals who are employed by an agency:

- (i) An individual who is appointed to a position in the Government under title 5, U.S.C., including a position under a temporary appointment;
- (ii) A member of the uniformed services as defined in section 202, title 18, U.S.C.;
- (iii) A special Government employee as defined in section 202, title 18, U.S.C.; and,
- (iv) An individual who is a member of a Federal advisory committee, as defined by the Federal Advisory Committee Act, title 5, appendix 2.

"Person" means an individual, corporation, company, association, authority, firm, partnership, society, State, and local government, regardless of whether such entity is operated for profit or not for profit. This term excludes an Indian tribe, tribal organization, or other Indian organization with respect to expenditures specifically permitted by other Federal law.

"Recipient" includes all contractors, subcontractors at any tier, and subgrantees at any tier of the recipient of funds received in connection with a Federal contract, grant, loan, or cooperative agreement. The term excludes an Indian tribe, tribal organization, or any other Indian organization with respect to expenditures specifically permitted by other Federal law.

"Regularly employed means, with respect to an officer or employee of a person requesting or receiving a Federal contract, grant, loan, or cooperative agreement, an officer or employee who is employed by such person for at least 130 working days within one year immediately preceding the date of the submission that initiates agency consideration of such person for receipt of such contract, grant, loan, or cooperative agreement. An officer or employee who is employed by such person for less than 130 working days within one year immediately preceding the date of submission that initiates agency consideration of such person shall be considered to be regularly employed as soon as he or she is employed by such person for 130 working days.

"State" means a State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, a territory or possession of the United States, an agency or instrumentality of a State, and a multi-State, regional, or interstate entity having governmental duties and powers.

(b) Prohibition.

- (i) Section 1352 of title 31, U.S.C. provides in part that no appropriated funds may be expended by the recipient of a Federal contract, grant, loan, or cooperative agreement to pay any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with any of the following covered Federal actions: the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (ii) The prohibition does not apply as follows:

(1) Agency and legislative liaison by Own Employees.

(a) The prohibition on the use of appropriated funds, in paragraph (i) of this section, does not apply in the case of a payment of reasonable compensation made to an officer or employee of a person requesting or receiving a Federal contract, grant, loan, or cooperative agreement, if the payment is for agency and legislative activities not directly related to a covered Federal action.

(b) For purposes of paragraph (b)(i)(1)(a) of this clause, providing any information specifically requested by an agency or Congress is permitted at any time.

(c) The following agency and legislative liaison activities are permitted at any time only where they are not related to a specific solicitation for any covered Federal action:

(1) Discussing with an agency (including individual demonstrations) the qualities and characteristics of the person's products or services, conditions or terms of sale, and service capabilities; and,

(2) Technical discussions and other activities regarding the application or adaptation of the person's products or services for an agency's use.

(d) The following agency and legislative liaison activities are permitted where they are prior to formal solicitation of any covered Federal action:

(1) Providing any information not specifically requested but necessary for an agency to make an informed decision about initiation of a covered Federal action;

(2) Technical discussions regarding the preparation of an unsolicited proposal prior to its official submission; and

(3) Capability presentations by persons seeking awards from an agency pursuant to the provisions of the Small Business Act, as amended by Public Law 95-507 and other subsequent amendments.

(e) Only those activities expressly authorized by subdivision (b)(ii)(1)(a) of this clause are permitted under this clause.

(2) Professional and technical services.

(a) The prohibition on the use of appropriated funds, in subparagraph (b)(i) of this clause, does not apply in the case of-

(i) A payment of reasonable compensation made to an officer or employee of a person requesting or receiving a covered Federal action or an extension, continuation, renewal, amendment, or modification of a covered Federal action, if payment is for professional or technical services rendered directly in the preparation, submission, or negotiation of any bid, proposal, or application for that Federal action or for meeting requirements imposed by or pursuant to law as a condition for receiving that Federal action.

(ii) Any reasonable payment to a person, other than an officer or employee of a

person requesting or receiving a covered Federal action or an extension, continuation, renewal, amendment, or modification of a covered Federal action if the payment is for professional or technical services rendered directly in the preparation, submission, or negotiation of any bid, proposal, or application for that Federal action or for meeting requirements imposed by or pursuant to law as a condition for receiving that Federal action. Persons other than officers or employees of a person requesting or receiving a covered Federal action include consultants and trade associations.

(b) For purposes of subdivision (b)(ii)(2)(a) of clause, "professional and technical services" shall be limited to advice and analysis directly applying any professional or technical discipline.

(c) Requirements imposed by or pursuant to law as a condition for receiving a covered Federal award include those required by law or regulation, or reasonably expected to be required by law or regulation, and any other requirements in the actual award documents.

(d) Only those services expressly authorized by subdivisions (b)(ii)(2)(a)(i) and (ii) of this section are permitted under this clause.

(iii) Selling activities by independent sales representatives.

(c) The prohibition on the use of appropriated funds, in subparagraph (b)(i) of this clause, does not apply to the following selling activities before an agency by independent sales representatives, provided such activities are prior to formal solicitation by an agency and are specifically limited to the merits of the matter:

(i) Discussing with an agency (including individual demonstration) the qualities and characteristics of the person's products or services, conditions or terms of sale, and service capabilities; and

(ii) Technical discussions and other activities regarding the application or adaptation of the person's products or services for an agency's use.

(d) Agreement. In accepting any contract, grant, cooperative agreement, or loan resulting from this solicitation, the person submitting the offer agrees not to make any payment prohibited by this clause.

(e) Penalties. Any person who makes an expenditure prohibited under paragraph (b) of this clause shall be subject to civil penalties as provided for by 31 U.S.C. 1352. An imposition of a civil penalty does not prevent the Government from seeking any other remedy that may be applicable.

(f) Cost Allowability. Nothing in this clause is to be interpreted to make allowable or reasonable any costs which would be unallowable or unreasonable in accordance with Part 31 of the Federal Acquisition Regulation (FAR), or OMB Circulars dealing with cost allowability for recipients of assistance agreements. Conversely, costs made specifically unallowable by the requirements in this clause will not be made allowable under any of the provisions of FAR Part 31 or the relevant OMB Circulars.



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## 16. Equal Employment Opportunity

During the performance of this contract, the Contractor agrees as follows:

- (a) The Contractor shall not discriminate against any employee or applicant for employment because of race, color, religion, sex, or national origin.
- (b) The Contractor shall take affirmative action to ensure that applicants are employed, and that employees are treated during employment without regard to their race, color, religion, sex, or national origin. Such action shall include, but not be limited to (1) employment; (2) upgrading; (3) demotion; (4) transfer; (5) recruitment or recruitment advertising; (6) layoff or termination; (7) rates of pay or other forms of compensation; and (8) selection for training, including apprenticeship.
- (c) The Contractor shall post in conspicuous places available to employees and applicants for employment the notices to be provided by the Contracting Officer that explain this clause.
- (d) The Contractor shall, in all solicitations or advertisements for employees placed by or on behalf of the Contractor, state that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex, or national origin.
- (e) The Contractor shall send, to each labor union or representative of workers with which it has a collective bargaining agreement or other contract or understanding, the notice to be provided by the Contracting Officer advising the labor union or workers' representative of the Contractor's commitments under this clause, and post copies of the notice in conspicuous places available to employees and applicants for employment.
- (f) The Contractor shall comply with Executive Order 11246, as amended, and the rules, regulations, and orders of the Secretary of Labor.
- (g) The Contractor shall furnish all information and reports required by Executive Order 11246, as amended and by rules, regulations, and orders of the Secretary of Labor, or pursuant thereto. The Contractor shall permit access to its books, records, and accounts by the Secretary of Labor for purposes of investigation to ascertain compliance with such rules, regulations, and orders.
- (h) In the event of a determination that the Contractor is not in compliance with this clause or any rule, regulation, or order of the Secretary of Labor, this contract may be canceled, terminated, or suspended in whole or in part, and the Contractor may be declared ineligible for further Government contracts, or federally assisted construction contracts under the procedures authorized in Executive Order 11246, as amended. In addition, sanctions may be imposed and remedies invoked against the Contractor as provided in Executive Order 11246, as amended, the rules, regulations, and orders of the Secretary of Labor, or as otherwise provided by law.
- (i) The Contractor shall include the terms and conditions of this clause in every subcontract or purchase order unless exempted by the rules, regulations, or orders of the Secretary of Labor issued under Executive Order 11246, as amended, so that these terms and conditions will be binding upon each subcontractor or vendor. The Contractor shall take such action with respect to any subcontractor or purchase order as the Secretary of Housing and Urban Development or the Secretary of Labor may direct as a means of enforcing such provisions, including sanctions for noncompliance; provided that if the

Contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction, the Contractor may request the United States to enter into the litigation to protect the interests of the United States.

## 17. Dissemination or Disclosure of Information

No information or material shall be disseminated or disclosed to the general public, the news media, or any person or organization without prior express written approval by the HA.

## 18. Contractor's Status

It is understood that the Contractor is an independent contractor and is not to be considered an employee of the HA, or assume any right, privilege or duties of an employee, and shall save harmless the HA and its employees from claims suits, actions and costs of every description resulting from the Contractor's activities on behalf of the HA in connection with this Agreement.

## 19. Other Contractors

HA may undertake or award other contracts for additional work at or near the site(s) of the work under this contract. The contractor shall fully cooperate with the other contractors and with HA and HUD employees and shall carefully adapt scheduling and performing the work under this contract to accommodate the additional work, heeding any direction that may be provided by the Contracting Officer. The contractor shall not commit or permit any act that will interfere with the performance of work by any other contractor or HA employee.

## 20. Liens

The Contractor is prohibited from placing a lien on HA's property. This prohibition shall apply to all subcontractors.

## 21. Training and Employment Opportunities for Residents in the Project Area (Section 3, HUD Act of 1968; 24 CFR 135)

- (a) The work to be performed under this contract is subject to the requirements of section 3 of the Housing and Urban Development Act of 1968, as amended, 12 U.S.C. 1701u (section 3). The purpose of section 3 is to ensure that employment and other economic opportunities generated by HUD assistance or HUD-assisted projects covered by section 3, shall, to the greatest extent feasible, be directed to low- and very low-income persons, particularly persons who are recipients of HUD assistance for housing.
- (b) The parties to this contract agree to comply with HUD's regulations in 24 CFR Part 135, which implement section 3. As evidenced by their execution of this contract, the parties to this contract certify that they are under no contractual or other impediment that would prevent them from complying with the Part 135 regulations.
- (c) The contractor agrees to send to each labor organization or representative of workers with which the contractor has a collective bargaining agreement or other understanding, if any, a notice advising the labor organization or workers' representative of the contractor's commitments under this section 3 clause, and will post copies of the notice in conspicuous places at the work site where both employees and applicants for training and employment positions can see the notice. The notice shall describe the section 3 preference, shall set forth minimum number and job titles subject to hire, availability of

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apprenticeship and training positions, the qualifications for each; and the name and location of the person(s) taking applications for each of the positions; and the anticipated date the work shall begin.

- (d) The contractor agrees to include this section 3 clause in every subcontract subject to compliance with regulations in 24 CFR Part 135, and agrees to take appropriate action, as provided in an applicable provision of the subcontract or in this section 3 clause, upon a finding that the subcontractor is in violation of the regulations in 24 CFR Part 135. The contractor will not subcontract with any subcontractor where the contractor has notice or knowledge that the subcontractor has been found in violation of the regulations in 24 CFR Part 135.
- (e) The contractor will certify that any vacant employment positions, including training positions, that are filled (1) after the contractor is selected but before the contract is executed, and (2) with persons other than those to whom the regulations of 24 CFR Part 135 require employment opportunities to be directed, were not filled to circumvent the contractor's obligations under 24 CFR Part 135.
- (f) Noncompliance with HUD's regulations in 24 CFR Part 135 may result in sanctions, termination of this contract for default, and debarment or suspension from future HUD assisted contracts.

## **22. Procurement of Recovered Materials**

- (a) In accordance with Section 6002 of the Solid Waste Disposal Act, as amended by the Resource Conservation and Recovery Act, the Contractor shall procure items designated in guidelines of the Environmental Protection Agency (EPA) at 40 CFR Part 247 that contain the highest percentage of recovered materials practicable, consistent with maintaining a satisfactory level of competition. The Contractor shall procure items designated in the EPA guidelines that contain the highest percentage of recovered materials practicable unless the Contractor determines that such items: (1) are not reasonably available in a reasonable period of time; (2) fail to meet reasonable performance standards, which shall be determined on the basis of the guidelines of the National Institute of Standards and Technology, if applicable to the item; or (3) are only available at an unreasonable price.
- (b) Paragraph (a) of this clause shall apply to items purchased under this contract where: (1) the Contractor purchases in excess of \$10,000 of the item under this contract; or (2) during the preceding Federal fiscal year, the Contractor: (i) purchased any amount of the items for use under a contract that was funded with Federal appropriations and was with a Federal agency or a State agency or agency of a political subdivision of a State; and (ii) purchased a total of in excess of \$10,000 of the item both under and outside that contract.

# Certification of Payments to Influence Federal Transactions

U.S. Department of Housing  
and Urban Development  
Office of Public and Indian Housing

Public reporting burden for this information collection is estimated to average 30 minutes. This includes the time for collecting, reviewing, and reporting data. The information requested is required to obtain a benefit. This form is used to ensure federal funds are not used to influence members of Congress. There are no assurances of confidentiality. HUD may not conduct or sponsor, and an applicant is not required to respond to a collection of information unless it displays a currently valid OMB control number.

Applicant Name

Program/Activity Receiving Federal Grant Funding

The undersigned certifies, to the best of his or her knowledge and belief, that:

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

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

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all sub recipients shall certify and disclose accordingly.

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

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.

**Warning:** HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official

Title

Signature

Date (mm/dd/yyyy)

# DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

Approved by OMB

0348-0046

(See reverse for public burden disclosure.)

<b>1. Type of Federal Action:</b> <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance		<b>2. Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award		<b>3. Report Type:</b> <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change <b>For Material Change Only:</b> year _____ quarter _____ date of last report _ _	
<b>4. Name and Address of Reporting Entity:</b> <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known:  <b>Congressional District, if known:</b> 4c			<b>5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime:</b>  <b>Congressional District, if known:</b>		
<b>6. Federal Department/Agency:</b>			<b>7. Federal Program Name/Description:</b>  CFDA Number, if applicable: _____		
<b>8. Federal Action Number, if known:</b>			<b>9. Award Amount, if known:</b> \$ _____		
<b>10. a. Name and Address of Lobbying Registrant</b> (if individual, last name, first name, MI):			<b>b. Individuals Performing Services</b> (including address if different from No. 10a) (last name, first name, MI):		
<b>11.</b> Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.			Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____		
<b>Federal Use Only:</b>				Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)	

## INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503.

**REQUEST FOR PROPOSALS (RFP) CH-RFP-25-P-03, BOND UNDERWRITER**

**Proposal Timeline  
(RFP Attachment G)**

(1) COUNTY HOUSING intends to make an award for BOND UNDERWRITER but reserves the right to make no awards.

**Notional Schedule and Award Date.**

RFP Release	14 March 2025
Questions Due	28 March 2025
Responses to- Questions Due	4 April 2025
Proposals Due	11 April 2025
Contract Award	25 April 2025

**REQUEST FOR PROPOSALS (RFP) CH-RFP-25-P-03, BOND UNDERWRITER**

**Proposal Timeline  
(RFP Attachment G)**

(1) COUNTY HOUSING intends to make an award for BOND UNDERWRITER but reserves the right to make no awards.

**Notional Schedule and Award Date.**

RFP Release	14 March 2025
Questions Due	25 April 2025
Responses to- Questions Due	29 April 2025
Proposals Due	2 May 2025
Contract Award	16 May 2025

REQUEST FOR PROPOSALS (RFP) CH-RFP-25-P-03, BOND UNDERWRITER

Supplemental Instructions to Proposers & Contractors (SIPC) (RFP Attachment H)

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# REQUEST FOR PROPOSALS (RFP) CH-RFP-25-P-03, BOND UNDERWRITER

## Supplemental Instructions to Proposers & Contractors (SIPC) (RFP Attachment H)

### 1. General Conditions

**1.1 Applicability.** If referred to within the text of such, these SIPC shall be applicable to all Request for Proposals (RFP) solicitations that the Sylacauga Housing Authority (hereinafter, "COUNTY HOUSING") conducts and shall be applicable to any contract that COUNTY HOUSING awards to or signs with any firm, agency or individual pursuant to that RFP. A copy of these SIPC shall be made available to any actual or prospective proposer, or Contractor who does business with or intends to do business with COUNTY HOUSING.

**1.1.1 HUD Forms.** Unless otherwise specified within the RFP or contract documents, in the event that any provision in any document listed herein conflicts with any provision within these SIPC, the provision in the RFP or contract document shall govern. Further, in the case of any attached HUD forms (more specifically: HUD-5369-C (8/93); HUD-5369-B (8/93); and HUD-5370-C (01/2014), Section I and/or Section II), the information within such HUD form(s) shall govern any other information issued, especially that issued within any Agency-created forms that are issued as a part of this solicitation.

**1.2 Definitions** (pertaining to all RFP documents issued by COUNTY HOUSING pertaining to this RFP, including the attachments and the ensuing contract):

**1.2.1 "Agency"** is the Sylacauga Housing Authority (NOTE: Please also see the 1st paragraph of the Introduction on page 3 of the RFP 1.0 Document issued). Unless otherwise defined herein or within the ensuing contract, whenever the term "COUNTY HOUSING" is used without clearly designating a responsible Agency staff person, the proposer(s) shall assume that responsibility for that item rests with the CO.

**1.2.2 "Contract"** refers to the fully executed written agreement that ensues from the RFP. Whereas all RFP documents are included, by reference, as a part of the ensuing contract, when "contract" is referred to within the RFP Document, such is referring to both the RFP documents and the ensuing contract document.

**1.2.3 "Contracting Officer (CO)"** - When named within an RFP document shall refer to either the CEO or the person that he/she has delegated such responsibilities to.

**1.2.4 "Contractor"** and the term "successful proposer" may be used interchangeably.

**1.2.5 "Days"** unless otherwise directed, shall refer to calendar days.

**1.2.6 "ED"** is the Executive Director/CEO.

**1.2.7 "Herein"** shall refer to all documents issued pursuant to the noted RFP, including the RFP documents and the attachments.

**1.2.8 "HUD"** is the United States Department of Housing and Urban Development. HUD is the Federal agency that COUNTY HOUSING receives some funding from; however, pertaining to this

## REQUEST FOR PROPOSALS (RFP) CH-RFP-24-P-35, PROJECT BASED VOUCHERS

### Supplemental Instructions to Proposers & Contractors (SIPC) (RFP Attachment H)

RFP, correspondences, including proposal submittals, received from each proposer must exhaust all provisions contained herein prior to contacting HUD (i.e. in the case of a protest).

**1.2.9 "Offer"** is the proposal submittal referred to within the following Section 1.2.14 that the proposer delivers to COUNTY HOUSING in response to the RFP.

**1.2.10 "Offeror" or "Offerors"** are the proposer or proposers.

**1.2.11 "Parties"** - When "the parties," "both parties," or "either party" is stated within the RFP documents or the contract, such refers to COUNTY HOUSING and the successful proposer(s).

**1.2.12 "Proposal" and/or "Proposal Submittal"** is the "hard copy" document that the proposer is required to, as detailed within the RFP document, deliver to COUNTY HOUSING.

**1.2.13 "Protestant"** is a prospective proposer or proposer who feels that he/she has been treated inequitably by COUNTY HOUSING and wishes COUNTY HOUSING to correct the inequitable condition or situation. To be eligible to file a protest with COUNTY HOUSING pertaining to an RFP or contract, the protestant must have been involved in the RFP process in some manner as a prospective proposer (i.e. registered and received the RFP documents).

**1.2.14 "Prospective Proposer" or "Proposer"** - A prospective proposer is a firm or individual who has been notified of the RFP solicitation and/or who has requested and/or received the RFP documents and is considering responding with a proposal; a proposer is a firm or individual who has submitted a proposal in response to the RFP. All terms and conditions shall apply equally to all prospective proposers as well as proposers, though prospective proposers may not, after the deadline set for receiving proposals, receive further notices pertaining to that RFP—meaning, certain notices (such as the Notice of Results of Evaluation) are typically only delivered to proposers and not to all prospective proposers.

**1.2.15 "Request for Proposals" (RFP)** is the competitive proposal process allowed by HUD, especially as defined within Chapter 7 of HUD Procurement Handbook 7460.8 REV 2.

**1.2.16 "RFP Document(s)"** - Whether stated in the singular or the plural, such refers to the body of documents, including attachments and the information posted on the eProcurement Marketplace that COUNTY HOUSING makes available to all prospective proposers and wherein is detailed COUNTY HOUSING's requirements.

**1.2.17 "Solicitation" or "Competitive Solicitation"** is the RFP process detailed herein.

## 2. Conditions to Propose

**2.1 Pre-Qualification of Proposers.** Prospective proposers will not be required to pre-qualify to submit a proposal. However, all proposers will be required to submit adequate

## REQUEST FOR PROPOSALS (RFP) CH-RFP-24-P-35, PROJECT BASED VOUCHERS

### Supplemental Instructions to Proposers & Contractors (SIPC) (RFP Attachment H)

information showing that the proposer is qualified to perform the required work (i.e. Profile of Firm Form and required resumes). Failure by the prospective proposer to provide the requested information may, at COUNTY HOUSING's discretion, eliminate that proposer from consideration, provided that all proposers were required to submit the same information (in the case of a successful proposer(s), these requirements shall also apply in the context of the successful proposer or proposers).

#### **2.2 RFP Forms, Documents, Specifications, and Drawings**

**2.2.1** It shall be each prospective proposer's responsibility to, prior to submitting a proposal in response to the RFP, examine carefully and, as may be required, properly complete and submit all documents issued pursuant to this RFP.

**2.2.2** Unless otherwise instructed, specifications and drawings (if provided) do not purport to show all the exact details of the work. They are intended to illustrate the character and extent of the performance desired under the proposed contract and may be supplemented or revised from time to time.

**2.2.3** COUNTY HOUSING shall reserve the right to, prior to award, revise, change, alter, or amend any of the instructions, terms, conditions, and/or specifications identified within the RFP documents issued, within any attachment or drawing, or within any addenda issued; such notice shall be delivered in writing to each prospective and/or actual proposer. Such changes that are issued before the deadline for receipt of proposals shall be binding upon all prospective proposers. Such changes that are issued after the receipt of proposals, but prior to award shall be binding upon all parties that have submitted proposals; however, such parties shall be allowed to reject such changes by, within 5 days of receipt of such written notice, withdrawing his/her proposal. Such withdrawal must be delivered, in writing, to the CO within the 5-day deadline period.

#### **2.3 Proposal Preparation, Submission, and Receipt by COUNTY HOUSING**

**2.3.1** Required Forms. All required forms furnished by COUNTY HOUSING as a part of the RFP document issued shall, as instructed, be fully completed, and submitted, by the proposer. Such forms may be completed in a legible hand-written fashion, by use of a typewriter, or may be downloaded and completed on a computer. If, during the download, a form becomes changed in any fashion, the proposer must "edit" the form back to its original form (for example, signature lines must appear on the page the line was originally intended to be on).

**2.3.2** Manner of Submission. The proposal submittal shall be submitted in the manner detailed within the RFP document. Failure to submit the proposal in the manner specified may result in a premature opening of, post-opening of, or failure to open and consider that proposal, and may, at the discretion of the CO, eliminate that proposer from consideration for award.

**2.3.3** Time for Receiving Proposals. Proposals received prior to the time set as the deadline for the receipt by COUNTY HOUSING of the proposal submittal shall be securely kept, unopened, by COUNTY HOUSING. The CO, whose duty it is to open such proposals, will

## REQUEST FOR PROPOSALS (RFP) CH-RFP-24-P-35, PROJECT BASED VOUCHERS

### Supplemental Instructions to Proposers & Contractors (SIPC) (RFP Attachment H)

decide when the specified time has arrived. No proposal received after the designated deadline shall be considered, except as detailed within Section No. 6 of form HUD-5369-B (8/93), Late Submissions, Modifications and Withdrawal of Offers.

**2.3.3.1** Proposers are cautioned that any proposal submittal that may be time-stamped as being received by COUNTY HOUSING after the exact time set as the deadline for the receiving of proposals shall be returned unopened to the proposer. Any such proposals inadvertently opened shall not be considered but shall be ruled to be invalid. No responsibility will attach to COUNTY HOUSING or any official or employee thereof, for the pre-opening of, or the failure to open a proposal not properly addressed and identified.

**2.3.4** No Public Opening of Proposals. Pursuant to the competitive proposals or RFP process, proposals are not publicly opened, but are held secure until the submittal deadline has passed. The proposals are then opened in private by the CO (or his/her designee) and are, pursuant to the evaluation plan, examined for minimal responsiveness (i.e. minimum compliance with the requirements of the RFP). Persons other than Agency staff involved in this process are not allowed to be present during the opening, nor may they inspect the proposals until after award has been completed.

**2.3.5** Withdrawal of Proposals. Proposals may be withdrawn as detailed within Section 6(h) of form HUD-5369-B (8/93), Late Submissions, Modifications and Withdrawal of Offers. Negligence on the part of the proposer in preparing his/her proposal confers no right of withdrawal or modification of his/her proposal after such proposal has been received and opened.

**2.3.6** Conflicting Conditions. Any provisions detailed within any of the RFP documents which may be in conflict or inconsistent with any of the paragraphs in any of the other RFP documents, including attachments, shall be void to the extent of any such conflict or inconsistency. Further, as stated within the preceding Section 1.1.1 of this SIPC, unless otherwise specified within the RFP or contract documents, in the event that any provision in any document listed herein conflicts with any provision within this SIPC, the provision in the RFP or contract document shall govern.

**2.3.7** Interpretations. No official oral interpretation can be made to any proposer as to the meaning of any instruction, condition, specifications drawing (if any), or any other document issued pertaining to this RFP. Every request for an official interpretation shall be made by the prospective proposer, in writing, pursuant to the schedule set within the RFP document issued and as directed by COUNTY HOUSING. Official interpretations will be issued in the form of addenda, which will be delivered to each proposer; but it shall be the prospective proposer's responsibility to make inquiry as to addenda issued. All such addenda shall become a part of the RFP documents and the proposed contract with the successful proposer, and all proposers shall be bound by such addenda, whether or not received by the prospective or successful proposer(s).

## **2.4 Exceptions to Specifications**

**2.4.1** A proposer may take exception to any of the proposal documents or any part of the information contained therein, by submitting, in writing to the CO, at least 10 days prior to the

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proposal deadline, a complete and specific explanation as to what he/she is taking exception to. Proposed alternate documents or information must also be included. A response by COUNTY HOUSING will be issued in writing within 5 days of receipt of such exception request. COUNTY HOUSING reserves the right to agree with the prospective proposer and issue a revision to the applicable RFP requirements, or may reject the prospective proposer's request.

**2.4.2** When taking exception, prospective proposers must propose services that meet the requirements of the RFP documents. Exceptions to the specification and/or approved "equal" requests may be discussed at the scheduled pre-proposal conference (if scheduled). All verbal instructions issued by COUNTY HOUSING officers not already listed within the RFP documents shall only become official when issued as addenda or as a written answer issued pursuant to receipt of a written question.

### **2.5 Lump Sum Cost Breakdown (LSCB)**

**2.5.1** COUNTY HOUSING reserves the right to, at any time, request and receive from any or all proposers a LSCB of any or all the costs proposed during negotiations. The proposal documents constitute an outline of the work to be completed by the proposer. These documents are intended to include all major items, and the lump sum cost breakdown computed therefrom will be the maximum compensation for all work and materials whatsoever furnished by the proposer in order to comply with the proposal documents in their present form, whether or not indicated in the approximate quantities or pertaining to the items of work as listed.

**2.5.1.1** The purpose of this LSCB will serve COUNTY HOUSING in two distinct areas:

**2.5.1.1.1** Prior to award of Proposals. COUNTY HOUSING may request a LSCB for any or all items reflected within the RFP document as "lump sum" for the purpose of determining an unbalanced cost proposal. The CO, using acceptable methods dictated by the industry, shall conduct the analysis.

**2.5.1.1.2** After Award. COUNTY HOUSING may request a LSCB for any or all items reflected within the RFP document as "lump sum" for the purpose of making partial payments to the successful proposer.

**2.5.1.1.3** Increase/Decrease. Under no circumstances, may any cost item reflected as "lump sum" be increased and/or decreased as a result of the LSCB analysis.

### **3. Proposal Evaluation**

**3.1 Proposal Opening Results.** It is understood by all proposers/prospective proposers that the proposals received are not publicly opened and the results will typically not be a matter of public record until COUNTY HOUSING has concluded all evaluations, has chosen a final top-rated proposer, has completed the award and is ready to issue such results. When COUNTY HOUSING issues such notice, COUNTY HOUSING will inform all proposers as to each proposer's placement as a result of the evaluation (i.e. 1st, 2nd, 3rd, etc.) and the total points each proposer was awarded as a result of the evaluation.

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**3.1.1** All proposal documents submitted by the proposers are not necessarily a matter of public record and as a matter of normal course, the proposals submitted by each proposer will not, until after award has been completed, be available to be viewed by any interested parties except as approved by COUNTY HOUSING Legal Counsel (i.e. a proposer will not, prior to completion of award, be allowed to challenge an apparent top-rated proposer by inspecting the proposal that the apparent top-rated proposer submitted). COUNTY HOUSING shall, however, upon request, verify that the proposal documents submitted are/were acceptable.

**3.2 Award of Proposal(s).** The successful proposer shall be determined by the top-rated responsive and responsible proposer as determined by the evaluation process detailed within the RFP document issued, provided his/her proposal is reasonable, he/she is able to deliver the specified items in a timely manner and it is, in the opinion of COUNTY HOUSING, to the best interests of COUNTY HOUSING to accept the proposal. All proposers will be notified in a timely manner of the results of the evaluation after award has been completed.

### **3.3 Rejection of Proposals**

**3.3.1** COUNTY HOUSING reserves the right, at any time during the proposal process, to reject any or all proposals received. In the case of rejection of all proposals, COUNTY HOUSING reserves the right to advertise for new proposals or to proceed to do the work otherwise, if in the judgment of COUNTY HOUSING, the best interest of COUNTY HOUSING will be promoted.

**3.3.2** Prospective proposers acknowledge by downloading and receiving the RFP documents and/or by submitting a proposal that the submission of a proposal to COUNTY HOUSING is not a right by which to be awarded that proposal, but merely an offer by the prospective proposer to perform the requirements of the RFP documents in the event COUNTY HOUSING decides to consider an award to that proposer.

**3.4 Cancellation of Award.** COUNTY HOUSING reserves the right to, without any liability, cancel the award of any proposal(s) at any time before the execution of the contract documents by all parties.

### **3.5 Mistake in Proposal Submitted**

**3.5.1** A request for withdrawal of a proposal due to a purported error need not be considered by COUNTY HOUSING unless the same is filed in writing by the proposer within 48 hours after the proposal deadline (proposers may of their own volition withdraw a proposal prior to the submittal deadline). Any such request shall contain a full explanation of any purported error and shall, if requested by COUNTY HOUSING, be supported by the original calculations on which the proposal was computed, together with a certification and notarization thereon that such computation is the original and prepared by the proposer or his/her agent, who must be identified on the notarized form. The foregoing shall not be construed that such withdrawal will be permitted, as COUNTY HOUSING retains the right to accept or reject any proposal withdrawal for a mistake.

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**3.5.2** Unless otherwise prohibited within the RFP documents, a mistake in the cost unit pricing that does not affect the total cost sum submitted may, at COUNTY HOUSING's discretion, be corrected by submitting a corrected cost form, together with a complete explanation in writing, of how the mistake occurred, to the CO, for his/her review. This mistake must be corrected before the issuance of contract documents.

**3.6 Irregular Proposal Submittal.** A proposal shall be considered irregular for any one of the following reasons, any one or more of which may, at COUNTY HOUSING's discretion, be cause for rejection:

**3.6.1** If the forms furnished by COUNTY HOUSING are not used or are altered or if the proposed costs are not submitted as required and where provided (especially within the eProcurement Marketplace).

**3.6.2** If all requested completed attachments do not accompany the proposal submitted.

**3.6.3** If there are unauthorized additions, conditional or alternate proposals, or irregularities of any kind which may tend to make the proposal incomplete, indefinite, or ambiguous as to its meaning or give the proposer submitting the same a competitive advantage over other proposers.

**3.6.4** If the proposer adds any provisions reserving the right to accept or reject any award or to enter into a contract pursuant to an award.

**3.7 Disqualification of Proposers.** Any one or more of the following shall be considered as sufficient for the disqualification of a proposer and the rejection of his/her proposal:

**3.7.1** Evidence of collusion among prospective proposers. Participants in such collusion will receive no recognition as proposers for any future work of COUNTY HOUSING until such participant shall have been reinstated as a qualified proposer. The names of all participants in such collusion shall be reported to HUD and any other inquiring governmental agency.

**3.7.2** More than one proposal for the same work from an individual, firm, or corporation under the same or different name(s), unless such was specifically allowed by COUNTY HOUSING within the proposal documents issued, including by addendum.

**3.7.3** Lack of competency, lack of experience and/or lack of adequate machinery, plant, and/or other resources.

**3.7.4** Documented unsatisfactory performance record as shown by past work for COUNTY HOUSING or with any other local, State or Federal agency, judged from the standpoint of workmanship and progress.

**3.7.5** Incomplete work, which in the judgment of COUNTY HOUSING, might hinder or prevent prompt completion of additional work, if awarded.

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**3.7.6** Failure to pay or satisfactorily settle all bills due on former contracts still outstanding at the time of letting.

**3.7.7** Failure to comply with any qualification requirement of COUNTY HOUSING.

**3.7.8** Failure to list, if required, all subcontractors (if subcontractors are allowed by COUNTY HOUSING) who will be employed by the successful proposer(s) to complete the work of the proposed contract.

**3.7.9** As required by the RFP documents, failure of the successful proposer to be properly licensed by the State of Missouri and/or to be insured by a general liability and/or worker's compensation policy.

**3.7.10** Any legal reason to be determined, in good faith, to be in the best interests of COUNTY HOUSING.

**3.8** Burden of Proof. If requested by COUNTY HOUSING, it shall be the responsibility of the proposer(s) to furnish COUNTY HOUSING with sufficient data or physical samples, within a specified time, so that COUNTY HOUSING may determine if the goods or services offered conform to the Specifications.

#### **4. Right to Protest**

**4.1** Rights. Any prospective or actual proposer, offeror, or Contractor who is allegedly aggrieved in connection with the solicitation of a proposal or award of a contract, shall have the right to protest. An alleged aggrieved protestant claiming this right is hereby informed that these regulations do not provide for administrative appeal as a matter of right for that alleged aggrieved protestant.

**4.1.1** An alleged aggrieved "protestant" is a prospective or actual proposer who feels that he/she has been treated inequitably by COUNTY HOUSING and wishes COUNTY HOUSING to correct the alleged inequitable condition or situation. To be eligible to file a protest with COUNTY HOUSING pertaining to an RFP or contract, the alleged aggrieved protestant must have been involved in the RFP process in some manner as a prospective proposer (i.e. registered and received the RFP documents) when the alleged situation occurred. COUNTY HOUSING has no obligation to consider a protest filed by any party that does not meet these criteria.

**4.2** Administrative Powers. It is totally within the administrative powers of the CEO to grant or deny any requests for administrative appeal. If, in the opinion of the CEO, the alleged aggrieved protestant merits an administrative review, the CEO shall direct that alleged aggrieved protestant to submit additional data.

**4.3** Procedure to Protest. An alleged aggrieved protestant shall comply with the following protest procedures, and failure to comply in the manner prescribed shall automatically relieve COUNTY HOUSING from accepting or considering that protest:



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**4.3.1 Protest Document.** The alleged aggrieved protestant must file, in writing, to the CO the exact reason for the protest, attaching any supportive data. The protestant must state within the written protest document specifically (not by inference) what action by COUNTY HOUSING or condition is being protested as inequitable, making, where appropriate specific reference to the RFP documents issued. The protest document must also state the corrective action requested. Failure by the alleged aggrieved protestant to fully submit such information shall relieve COUNTY HOUSING from any responsibility to consider the protest and take any corrective action.

**4.3.2 Deadlines.** The written instrument containing the reason for the protest must be received by the CO within 10 days after the occurrence of any of the following:

**4.3.2.1** The deadline for receiving proposals;

**4.3.2.2** Receipt of notification of the results of the evaluation or the award; or

**4.3.2.3** The alleged aggrieved protestant knows or should have known the facts.

**4.3.3 Time Limit.** In any case, protests shall be filed no more than 10 days after any of the above (unless the occurrence being protested occurred in its entirety after the proposal deadline). Protests received after these dates shall not be considered.

**4.3.4 CO Review/Issue Opinion.** The CO shall review the written protest and supportive data, if any. He/she shall, within 10 days after receipt of the written protest, issue a written opinion and decision. This document shall state the reasons for the action taken as well as inform the alleged aggrieved protestant of the right of further administrative review. A copy of this written opinion and decision shall be forwarded to the CEO.

**4.3.5 Administrative Appeal.** If the alleged aggrieved protestant does not agree with the written opinion and decision issued by the CO, the alleged aggrieved protestant may, after receipt of the written opinion and decision issued by the CO request an administrative appeal hearing be granted (such request must be delivered in writing to the CO within 5 days of receipt of the written opinion and decision; failure to do so within such 5 days shall relieve COUNTY HOUSING of any responsibility to consider such request). The following procedures must be complied with in the manner prescribed; failure by the alleged aggrieved protestant to comply shall automatically relieve COUNTY HOUSING from accepting or acting on that request for administrative hearing:

**4.3.5.1** The alleged aggrieved protestant must file, in writing, his/her request for an administrative hearing, to the CEO, within 5 days of receipt of the written opinion and decision and failure to do so within such 5 days shall relieve COUNTY HOUSING of any responsibility to consider such request.

**4.3.5.2** The request for an administrative appeal hearing must contain the specific reasons for the appeal and all supporting data for those reasons.

**4.3.5.3** It shall be within the administrative powers of the CEO to, after review of the

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request submitted, grant, or deny any request for administrative appeal.

**4.3.5.4** If the CEO, after complete review of the alleged aggrieved protestant's written request and supporting data, decides that the request does not merit further consideration, he/she shall render his/her decision in writing to the alleged aggrieved protestant. A decision rendered under this paragraph shall be made within 10 days after the receipt of the alleged aggrieved protestant's request for an administrative hearing. This decision shall be final without further administrative recourse.

**4.3.5.5** If the CEO, after review of the alleged aggrieved protestant's written request, decides that the request merits further consideration, he/she shall forward the protestant's written request, along with a cover letter explaining why it merits further consideration and with a recap of all proposals submitted and a copy of the original written protest, to COUNTY HOUSING Legal Counsel for consideration. COUNTY HOUSING Legal Counsel shall issue to the alleged aggrieved protestant a decision, in writing, within 10 days of his/her receipt of such documents.

**4.3.5.6** Such written decision delivered to the alleged aggrieved protestant shall exhaust COUNTY HOUSING internal protest and administrative appeal process available to the alleged aggrieved protestant.

## **5. Disputed Billings (Charges)**

**5.1** Procedures. In addition to the procedures detailed within Clause No. 7 of Contract Appendix No. 1, form HUD-5370-C (01/2014), General Conditions for Non-Construction Contracts, Section I— (With or without Maintenance Work), in the event that COUNTY HOUSING disputes any portion of its billing(s), COUNTY HOUSING shall pay the undisputed portion of such billing and initiate the dispute-resolving procedures, as follows:

**5.1.1** COUNTY HOUSING's representative shall, within 10 days after COUNTY HOUSING's receipt of such billing, formally notify the Contractor's representative of all particulars pertaining to the dispute, and request that he/she investigate and respond to this issue.

**5.1.2** If such dispute cannot be resolved by the Contractor's response, within 10 days after such notification is given, the CO and the Contractor's representative shall meet to discuss the matter and attempt to arrive at a resolution.

**5.1.3** If the CO and the Contractor's representative are unable to resolve the dispute through such discussion within 10 days, COUNTY HOUSING shall, within 10 days thereafter, either (NOTE: Within the following, "appropriate," at the sole decision and discretion of COUNTY HOUSING):

**5.1.3.1** Pay the disputed charges and reserve the right to submit the matter to the appropriate District Court in the State of Missouri;

**5.1.3.2** Not pay the disputed charge and submit the matter to the appropriate District Court in the State of Missouri;

**5.1.3.3** Not pay the disputed charge and allow the Contractor to submit the matter

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either to the appropriate District Court in the State of Missouri.

#### **6. Additional Considerations**

**6.1.1 Right of Joinder or Piggyback.** Any political subdivision within the State of Missouri (or any other State) may be granted the privilege of joining the awarded contract, only at the option of the successful proposer. If the successful proposer so grants such a privilege, the terms and conditions of the RFP documents, including the ensuing contract, may be passed on to the joining political subdivision by the successful proposer.

**6.1.2** The successful proposer shall retain the unilateral right to allow or disallow any political subdivision the privilege of joining the awarded contract. In the event the successful proposer allows another political subdivision to join COUNTY HOUSING contract, it is expressly understood that COUNTY HOUSING shall in no way be liable for the joining political subdivision obligations to the successful proposer in any manner whatsoever.

**6.2 Non-Escalation.** Unless otherwise specified within the RFP documents, the unit prices reflected on the contract shall remain firm with no provision for price increases during the term of the contract.

**6.3 Funding Restrictions and Order Quantities.** COUNTY HOUSING reserves the right to reduce or increase estimated or actual quantities in whatever amount necessary without prejudice or liability to COUNTY HOUSING, if:

**6.3.1** Funding is not available;

**6.3.2** Legal restrictions are placed upon the expenditure of monies for this category of service or supplies; or,

**6.3.3** COUNTY HOUSING's requirements in good faith change after award of the contract.

**6.4 Required Permits.** Unless otherwise stated in the RFP documents, all local, State, or Federal permits which may be required to provide the services ensuing from award of this RFP, whether or not they are known to either COUNTY HOUSING or the proposers at the time of the proposal submittal deadline or the award, shall be the sole responsibility of the successful proposer and any costs submitted by the proposer shall reflect all costs required by the successful proposer to procure and provide such necessary permits.

**6.5 Taxes.** All persons doing business with COUNTY HOUSING are hereby made aware that COUNTY HOUSING is exempt from paying Missouri State Sales and Use Taxes and Federal Excise Taxes. A letter of Tax Exemption will be provided upon request.

**6.6 Government Standards.** It is the responsibility of the prospective proposer to ensure that all items and services proposed conform to all local, State and Federal laws concerning safety (OSHA) and environmental control (EPA and any County Pollution Regulations for the jurisdictions that COUNTY HOUSING has housing within) and any other enacted ordinance, code, law, or regulation. The successful proposer shall be responsible for all costs incurred for compliance with any such possible ordinance, code, law, or regulation. No time extensions

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shall be granted, or financial consideration given to the successful proposer for time or monies lost due to violations of any such ordinance, code, law, or regulations that may occur.

**6.7 Freight on Bill and Delivery.** All costs submitted by the successful proposer shall reflect the cost of delivering the proposed items and/or services to the locations(s) specified within the RFP documents or within the contract.

**6.7.1** The successful proposer agrees to deliver to the designated location(s) on or before the date as specified in the finalized contract. Failure to deliver on or before the specified date constitutes an event of default by the successful proposer. Upon default, the successful proposer agrees that COUNTY HOUSING may, at its option, rescind the finalized contract under the default clause herein and seek compensatory damages as provided by law.

**6.8 Communication.** If during the period of the contract, it is necessary that COUNTY HOUSING place toll or long-distance telephone calls or telegrams in connection therewith (for complaints, adjustments, shortages, failure to deliver, etc.), it is understood that the successful proposer will bear the charge or expense for all such calls and/or telegrams.

**6.9 Work on Agency Property.** If the successful proposer's work under the contract involves operations by the successful proposer on Agency premises, the successful proposer shall take all necessary precautions to prevent the occurrence of any injury to persons or property during the progress of such work and, except to the extent that any such injury is caused solely and directly by COUNTY HOUSING's negligence, shall indemnify COUNTY HOUSING, and their officers, agents, servants and employees against all loss which may result in any way from any act or omission of the successful proposer, its agents, employees, or subcontractors.

**6.10 Estimated Quantities.** Unless otherwise stated within the RFP documents, the quantities reflected within the RFP documents, to the best of COUNTY HOUSING's knowledge, reflect projected consumption data. These quantities are not meant to infer or imply actual consumption figures or quantities that will be purchased by COUNTY HOUSING under the finalized contract; but, pursuant to all RFP documents, these quantities will be used as calculation figures to determine the successful proposer.

#### **6.11 Warranty**

**6.11.1** The services provided under the contract shall conform to all information contained within the RFP documents as well as applicable Industry Published Technical Specifications, and if one of the above-mentioned Specifications contains more stringent requirements than the other, the more stringent requirements shall apply.

**6.11.1** The liability of the successful proposer to COUNTY HOUSING (except as to title) arising out of the furnishing of the services or of its use under the terms of the contract shall not exceed the correcting of the defect(s) in the services as provided under the contract, and upon expiration of the warranty period all such liability shall terminate except under the warranty for merchantability and the warranty of fitness for a particular purpose.

**6.12 Official, Agent and Employees of COUNTY HOUSING not Personally Liable.** It is  
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agreed by and between the parties hereto that in no event shall any official, officer, employee, or agent of COUNTY HOUSING in any way be personally liable or responsible for any covenant or agreement herein contained, whether either expressed or implied, nor for any statement, representation or warranty made herein or in any connection with this agreement.

**6.13 Subcontractors.** Unless otherwise stated within the RFP documents, the successful proposer may not use any subcontractors to accomplish any portion of the services described within the RFP documents or the contract without the prior written permission of the CO.

**6.14 Salaries and Expenses Relating to the Contractor's Employees.** Unless otherwise stated within the RFP documents, the successful proposer shall pay all salaries and expenses of, and all Federal, Social Security taxes, Federal and State Unemployment taxes, and any similar taxes relating to its employees used in the performance of the contract. The successful proposer further agrees to comply with all Federal, State, and local wage and hour laws and all licensing laws applicable to its employees or other personnel furnished under this agreement.

**6.15 Attorney's Fees.** In the event that one party commences litigation hereto against the other in connection with the enforcement of any provision of this agreement, the prevailing party shall be paid by the losing party all court costs and other expenses of such litigation, including attorneys' fees, in a reasonable amount, to be determined by the court. The amount so allowed as attorneys' fees shall be taxed to the losing party as costs of the suit, unless prohibited by law.

**6.16 Independent Contractor.** Unless otherwise stated within the RFP documents or the contract, the successful proposer is an independent Contractor. Nothing herein shall create any association, agency, partnership, or joint venture between the parties hereto and neither shall have any authority to bind the other in any way.

**6.17 Severability.** If any provision of this agreement or any portion or provision hereof applicable to any particular situation or circumstance is held valid, the remainder of this agreement or the remainder of such provision (as the case may be), and the application thereof to other situations or circumstances shall not be affected thereby.

**6.18 Waiver of Breach.** A waiver of either party of any terms or condition of this agreement in any instance shall not be deemed or construed as a waiver of such term or condition for the future, or of any subsequent breach thereof. All remedies, rights, undertakings, obligations, and agreements contained in this agreement shall be cumulative and none of them shall be in limitation of any other remedy, right, obligation or agreement of either party.

**6.19 Time of the Essence.** Time is of the essence under this agreement as to each provision in which time of performance is a factor.

**6.20 Limitation of Liability.** In no event shall COUNTY HOUSING be liable to the successful proposer for any indirect, incidental, consequential, or exemplary damages.

**6.21 Indemnity.**

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**6.21.1** The successful proposer shall protect, indemnify and hold COUNTY HOUSING, its officers, employees, agents, consulting engineers and other retained consultants harmless from and against any and all claims, damages, losses, suits, actions, decrees, judgments, attorney's fees, court costs and other expenses of any kind or character which COUNTY HOUSING, its officers, employees, agents, consulting engineers or other retained consultants may suffer, or which may be sought against, recovered from or obtainable against COUNTY HOUSING, its officers, employees, agents, consulting engineers or other retained consultants such as:

**6.21.1.1** As a result of, or by reason of, or arising out of, or on account of, or in consequence of any act or failure to act on the part of the successful proposer, its subcontractors or agents, or anyone directly or indirectly employed by any subcontractor or agent, in the fulfillment or performance of the terms, conditions or covenants that are contained in this contract or agreement, regardless of whether or not the occurrence which gave rise to such claim, damage, loss, suit, action, judgment or expense was caused, in part, by any party indemnified hereunder; or

**6.21.1.2** As a result of, or by reason of, or arising out of, or on account of, or in consequence of, any neglect in safeguarding the work; or

**6.21.1.3** Through the use of unacceptable materials or products, or both, which may be defective or manufactured, designed, or installed so as to give rise to a claim; or

**6.21.1.4** Because of any claim or amount recovered under the Missouri "Industrial Insurance Act", or any other law, ordinance, or decree, which claim, or recovery, arose out of or is attributable to any act or failure to act on the part of the successful proposer in the fulfillment or performance of the terms, conditions and covenants that are contained in this contract. Any money due by the successful proposer under and by virtue of this contract which is considered necessary by COUNTY HOUSING for such purpose, may be retained by COUNTY HOUSING for its protection; or in case no money is due, its surety may be held until all such claims, damages, losses, suits, actions, decrees, judgments, attorney's fees and court costs and other expenses of any kind or character as aforesaid shall have been settled and suitable evidence to that effect furnished to COUNTY HOUSING provided, however, that money due the successful proposer will not be withheld when the successful proposer produces satisfactory evidence that it is adequately protected by public liability and property damage insurance, if required.

**6.21.2** In this connection, it is expressly agreed that the successful proposer shall, at its own expense, defend COUNTY HOUSING, its officers, employees, agents, consulting engineers and other retained consultants, against any and all claims, suits or actions which may be brought against them, or any of them, as a result of, or by reason of, or arising out of, or on account of, or in consequence of any act or failure to act the consequences of which the successful proposer has indemnified COUNTY HOUSING, its officers, employees, agents, consulting engineers and other retained consultants against, and if the successful proposer shall fail to do so, COUNTY HOUSING shall have the right, but not the obligation, to defend the same and to charge all direct and incidental costs of such defense to the

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successful proposer including attorney's fees and court costs; provided, however, that if the forum in which such claim suit or action is heard determines that the occurrence that gave rise to the same was caused, in whole or in part, by any party who is indemnified hereunder, COUNTY HOUSING shall reimburse the successful proposer for all, or the indemnified party's proportionate share, as the case may be, of the costs of such defense.

**6.21.3** Reimbursement to the successful proposer by COUNTY HOUSING, in whole or in part, for the costs of protecting traffic shall not serve to relieve the successful proposer of its responsibility as set forth in the RFP documents.

**6.21.4** The successful proposer guarantees the payment of all just claims for materials, supplies and labor, and all other just claims against it or any subcontractor, in connection with the contract.

**6.22** Lobbying Certification. By proposing to do business with COUNTY HOUSING or by doing business with COUNTY HOUSING, each proposer certifies the following:

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

**6.22.2** If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form –LLL, “Disclosure Form to Report Lobbying”, in accordance with its instructions.

**6.22.3** The successful proposer shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontractors, subgrants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

**6.22.4** This clause is a material representation of fact upon which reliance was placed when the award was made or entered into. The signing of a contract or acceptance of award certifies compliance with this certification, which is a prerequisite for making or entering into a contract, which is imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certifications shall be subject to civil penalty of not less than \$10,000.00 and not more than \$100,000.00 for each such failure.

**6.23** 2 CFR §200.326, Appendix II, Contract Provisions for Non-Federal Entity Contracts Under Federal Awards. Pursuant to this CFR, as issued by the Office of the U.S. Secretary of

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HUD, COUNTY HOUSING, and the Contractor each agree to comply with the following provisions and agree that any contract that ensues as a result of this RFP will include the following clauses, whether inserted or by reference:

**6.23.1 Remedies for Contractor Breach.** Pertaining to contract-related issues, it is the responsibility of both COUNTY HOUSING and the Contractor to communicate with each other in as clear and complete a manner as possible. If at any time during the term of this contract COUNTY HOUSING or the Contractor is not satisfied with any issue, it is the responsibility of that party to deliver to the other party communication, in writing, fully detailing the issue and corrective action (please note that COUNTY HOUSING has the right to issue unilateral addendums to this contract, but the Contractor does not have the same right). The other party shall, within 10 days, respond in writing to the other party (however, COUNTY HOUSING shall retain the right to, if conditions warrant, require the Contractor to respond in a shorter period of time). Further, COUNTY HOUSING shall, at a minimum, employ the following steps in dealing with the Contractor as to any performance issues:

**6.23.1.1** If the Contractor is in material breach of the contract, COUNTY HOUSING may promptly invoke the termination clause detailed within Section No. 3 of Contract Appendix No. 1, form HUD- 5370-C (01/2014), General Conditions for Non-Construction Contracts, Section I—(With or without Maintenance Work), which form is attached hereto, and terminate the contract for cause. Such termination must be delivered to the Contractor in writing and shall fully detail all pertinent issues pertaining to the cause of and justification for the termination.

**6.23.1.2** Prior to termination, COUNTY HOUSING may choose to warn the Contractor, verbally or in writing, of any issue of non-compliant or unsatisfactory performance. Such written warning may include placing the Contractor on probation, thereby giving the Contractor a certain period of time to correct the deficiencies or potentially suffer termination. COUNTY HOUSING shall maintain in the contract file a written record of any such warning detailing all pertinent information. If the Contractor does not agree with such action, the Contractor shall have 10 days to dispute or protest, in writing, such action; if he/she does not do so within the 10-day period, he/she shall have no recourse but to accept and agree with COUNTY HOUSING's position on the issue. The written protest must detail all pertinent information pertaining to the dispute, including justification detailing COUNTY HOUSING's alleged incorrect action(s).

**6.23.1.3** After termination, if the Contractor does not agree with COUNTY HOUSING's justification for the termination, the Contractor shall have 10 days to dispute, in writing, such action; if he/she does not do so within the 10-day period, he/she shall have no recourse but to accept and agree with COUNTY HOUSING's position on the issue. The written protest must detail all pertinent information pertaining to the dispute, including justification detailing COUNTY HOUSING's alleged incorrect action(s).

**6.23.1.4** The response to any protest received shall be conducted in accordance with Section No.

4.0 of this document.

**6.23.2 Termination for Cause and Convenience.** For all contracts in excess of \$10,000, as

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detailed within Clause No. 3 of Contract Appendix No. 1, form HUD-5370-C (01/2014), General Conditions for Non-Construction Contracts, Section I — (With or without Maintenance Work), attached hereto. In addition to the immediate foregoing, if COUNTY HOUSING terminates the Contractor for convenience, COUNTY HOUSING is obligated to, as detailed within Section 11.6.C.2 of HUD Procurement Handbook 7460.8 Rev 2, negotiate with and pay to the Contractor a “reasonable allowance for profit” for the remainder of the contracted period.

**6.23.3 Equal Employment Opportunity.** Except as otherwise provided under 41 CFR Part 60, all contracts that meet the definition of “federally assisted construction contract” in 41 CFR Part 60–1.3 must include the equal opportunity clause provided under 41 CFR 60–1.4(b), in accordance with Executive Order 11246, “Equal Employment Opportunity” (30 FR 12319, 12935, 3 CFR Part, 1964– 1965 Comp., p. 339), as amended by Executive Order 11375, “Amending Executive Order 11246 Relating to Equal Employment Opportunity,” and implementing regulations at 41 CFR part 60, “Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor.”

**6.23.4 Davis-Bacon Act, as amended (40 U.S.C.3141–3148).** When required by Federal program legislation, all prime construction contracts in excess of \$2,000 awarded by non-Federal entities must include a provision for compliance with the Davis-Bacon Act (40 U.S.C.3141–3144, and 3146– 3148) as supplemented by Department of Labor regulations (29 CFR Part 5, “Labor Standards Provisions Applicable to Contracts Covering Federally Financed and Assisted Construction”). In accordance with the statute, contractors [are] required to pay wages to laborers and mechanics at a rate not less than the prevailing wages specified in a wage determination made by the Secretary of Labor. In addition, contractors [are] required to pay wages not less than once a week. The non- Federal entity must place a copy of the current prevailing wage determination issued by the Department of Labor in each solicitation. The decision to award a contract or subcontract must be conditioned upon the acceptance of the wage determination. The non-Federal entity must report all suspected or reported violations to the Federal awarding agency. The contracts must also include a provision for compliance with the Copeland “Anti-Kickback” Act (40 U.S.C. 3145), as supplemented by Department of Labor regulations (29 CFR Part 3, “Contractors and Subcontractors on Public Building or Public Work Financed in Whole or in Part by Loans or Grants from the United States”). The Act provides that each contractor or subrecipient must be prohibited from inducing, by any means, any person employed in the construction, completion, or repair of public work, to give up any part of the compensation to which he or she is otherwise entitled. The non-Federal entity must report all suspected or reported violations to the Federal awarding agency.

**6.23.5 Contract Work Hours and Safety Standards Act (40 U.S.C. 3701–3708).** Where applicable, all contracts awarded by the non-Federal entity in excess of \$100,000 that involve the employment of mechanics or laborers must include a provision for compliance with 40 U.S.C. 3702 and 3704, as supplemented by Department of Labor regulations (29 CFR Part 5). Under 40 U.S.C. 3702 of the Act, each contractor must be required to compute the wages of every mechanic and laborer on the basis of a standard work week of 40 hours. Work in excess of the standard work week is permissible provided that the worker is compensated at a rate of not less than one and a half times the basic rate of pay for all hours worked in excess of 40 hours in the work week. The requirements of 40

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U.S.C. 3704 are applicable to construction work and provide that no laborer or mechanic must be required to work in surroundings or under working conditions which are unsanitary, hazardous, or dangerous. These requirements do not apply to the purchases of supplies or materials or articles ordinarily available on the open market, or contracts for transportation or transmission of intelligence.

**6.23.6** Rights to Inventions Made Under a Contract or Agreement. If the Federal award meets the definition of “funding agreement” under 37 CFR §401.2 (a) and the recipient or subrecipient wishes to enter into a contract with a small business firm or nonprofit organization regarding the substitution of parties, assignment or performance of experimental, developmental, or research work under that “funding agreement,” the recipient or subrecipient must comply with the requirements of 37 CFR Part 401, “Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Grants, Contracts and Cooperative Agreements,” and any implementing regulations issued by the awarding agency.

**6.23.7** Clean Air Act (42 U.S.C. 7401–7671q.) and the Federal Water Pollution Control Act (33 U.S.C. 1251–1387), as amended — Contracts and subgrants of amounts in excess of \$150,000 must contain a provision that requires the non-Federal award to agree to comply with all applicable standards, orders or regulations issued pursuant to the Clean Air Act (42 U.S.C. 7401–7671q) and the Federal Water Pollution Control Act as amended (33 U.S.C.1251–1387). Violations must be reported to the Federal awarding agency and the Regional Office of the Environmental Protection Agency (EPA).

**6.23.8** Energy Efficiency. Mandatory standards and policies relating to energy efficiency which are contained in the state energy conservation plan issued in compliance with the Energy Policy and Conservation Act (42 U.S.C. 6201).

**6.23.9** Debarment and Suspension (Executive Orders 12549 and 12689)—A contract award (see 2 CFR 180.220) must not be made to parties listed on the government wide Excluded Parties List System in the System for Award Management (SAM), in accordance with the OMB guidelines at 2 CFR 180 that implement Executive Orders 12549 (3 CFR Part 1986 Comp., p. 189) and 12689 (3 CFR Part 1989 Comp., p. 235), “Debarment and Suspension.” The Excluded Parties List System in SAM contains the names of parties debarred, suspended, or otherwise excluded by agencies, as well as parties declared ineligible under statutory or regulatory authority other than Executive Order 12549.

**6.23.10** Byrd Anti-Lobbying Amendment (31 U.S.C. 1352)—Contractors that apply or bid for an award of \$100,000 or more must file the required certification. Each tier certifies to the tier above that it will not and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal contract, grant or any other award covered by 31 U.S.C. 1352. Each tier must also disclose any lobbying with non-Federal funds that takes place in connection with obtaining any Federal award. Such disclosures are forwarded from tier to tier up to the non-Federal award.

**6.23.11** §200.322 Procurement of recovered materials. A non-Federal entity that is a state

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agency or agency of a political subdivision of a state and its contractors must comply with section 6002 of the Solid Waste Disposal Act, as amended by the Resource Conservation and Recovery Act. The requirements of Section 6002 include procuring only items designated in guidelines of the Environmental Protection Agency (EPA) at 40 CFR part 247 that contain the highest percentage of recovered materials practicable, consistent with maintaining a satisfactory level of competition, where the purchase price of the item exceeds \$10,000 or the value of the quantity acquired by the preceding fiscal year exceeded \$10,000; procuring solid waste management services in a manner that maximizes energy and resource recovery; and establishing an affirmative procurement program for procurement of recovered materials identified in the EPA guidelines.

**6.24** Additional Federally Required Orders/Directives. Both parties agree that they will comply with the following laws and directives that COUNTY HOUSING has received from HUD and that these same clauses will be a part of any contract that ensues as a result of this RFP:

**6.24.1** Executive Order 11061, as amended, which directs the Secretary of HUD to take all action which is necessary and appropriate to prevent discrimination by agencies that utilize federal funds.

**6.24.2** Public Law 88-352, Title VI of the Civil Rights Act of 1964, which provides that no person in the United States shall, on the basis of race, color, national origin, or sex, be excluded from participation in, denied the benefits of, or subjected to discrimination under any program or activity which receives federal financial assistance. COUNTY HOUSING hereby extends this requirement to the Contractor and its private contractors. Specific prohibited discriminatory actions and corrective action are described in Chapter 2, Subtitle C, Title V of the Anti-Drug Abuse Act of 1988 (42 U.S.C. 19901 et. seq.).

**6.24.3** Public Law 90-284, Title VIII of the Civil Rights Act of 1968., popularly known as the Fair Housing Act, which provides for fair housing throughout the United States and prohibits any person from discriminating in the sale or rental of housing, the financing of housing or the provision of brokerage services, including in any way making unavailable or denying a dwelling to any person because of race, color, religion, sex, or national origin. Pursuant to this statute, COUNTY HOUSING requires that the Contractor administer all programs and activities, which are related to housing and community development in such a manner as affirmatively to further fair housing.

**6.24.4** The Age Discrimination Act of 1975, which prohibits discrimination on the basis of age.

**6.24.5** Anti-Drug Abuse Act of 1988 (42 U.S.C. 11901 et. seq.).

**6.24.6** HUD Information Bulletin 909-23 which is the following:

**6.24.6.1** Notice of Assistance Regarding Patent and Copyright Infringement;

**6.24.6.2** Clean Air and Water Certification; and

**6.24.6.3** Energy Policy and Conversation Act.

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**6.24.7** The mentioned herein of any statute or Executive Order is not intended as an indication that such statute or Executive Order is necessarily applicable not is the failure to mention any statute or Executive Order intended as an indication that such statute or Executive Order is not applicable. In this connection, therefore each provision of law and each clause, which is required by law to be inserted in this agreement, shall be deemed to have been inserted herein, and this agreement shall be read and enforced as though such provision or clause had been physically inserted herein. If, through mistake or otherwise, any such provision is not inserted or is inserted incorrectly, this agreement shall forthwith be physically amended to make such insertion or correction upon the application of either party.