REQUEST FOR PROPOSAL

Solicitation #18-020-RFP-0022

Finance Operations Consultant Services

1815 EGBERT AVENUE
SAN FRANCISCO, CA 94124

May 22, 2018
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1.1 INTRODUCTION

The Housing Authority of the City and County of San Francisco (Authority) is soliciting requests for proposals (RFP) from qualified firms (Contractor) to provide finance operations consultant services. The Authority has experienced dramatic changes as result of a large Rental Assistance Demonstration Program (RAD) conversion impacting the operation of its Finance Department (FD). The current FD structure and processes have been in place for a number of years, but due to changes in staff, program responsibilities, housing software systems and other factors, the Authority requires an assessment and possible oversight of the FD to identify opportunities for improvement and assist with their implementation. The selected Contractor shall have experience advising and assisting public housing authorities specifically in the areas of finance operations, audit and other related responsibilities.

The Authority intends to select one Contractor to serve as its financial consultant for this work based upon the responses to this RFP. Selection of a Contractor shall in no way commit the Authority to proceed with any of the tasks listed in Section 1.3 Scope of Services, but will allow opportunity for task orders to be assigned under the resulting contract. The Authority and the selected Contractor shall enter into a one-year agreement, with the option for three (3), one (1) year extensions. Under this agreement, the Authority shall issue written task orders for the Contractor to perform on an as-needed basis. Compensation shall be based on a not-to-exceed amount specified in each task order and shall have a cumulative contract value not-to-exceed $400,000.

This solicitation is subject to the budget and fiscal provisions that the Authority operates under and award of a contract will be subject to funding availability and approval by the Board of Commissioners of the Authority. Interested and qualified Contractors authorized to perform the required services under the applicable laws and can successfully demonstrate its ability to provide finance operations consultant services are invited to submit a proposal.

1.2 AGENCY INFORMATION

The San Francisco Board of Supervisors established the Authority in 1938. The Authority is the oldest housing authority in California and the 17th largest in the country. Since its inception, the Authority's Conventional Public Housing Department had grown to include over 40 developments located throughout San Francisco and currently has 10 developments after it converted the majority of its properties under the Rental Assistance Demonstration (RAD) process in 2015 and 2016.
In 1974, the Housing Choice Voucher Program (formerly "Section 8") was introduced to the Authority. Over 11,000 individuals and families are being served through the Housing Choice Voucher Programs.

The Authority currently services over 28,000 individuals in the following programs:

11,926 Housing Choice Voucher and Moderate Rehabilitation Programs
1,478 Low-Income Public Housing Units (including 608 HOPE VI ACC Units)

1.3 SCOPE OF SERVICES

Some of the tasks that may be assigned under this project as summarized as follows:

Finance Department Assessment and Oversight

- Provide oversight of the Authority’s FD operations.
- Evaluate FD organizational structure and finance operations in an agency that is transforming and replacing its public housing portfolio into its Housing Choice Voucher (HCV) programs through rehabilitation under the Rental Assistance Demonstration (RAD) program and new construction with RAD, project based voucher and other affordable housing financing.
- Assess staff capacities, needs, and deficiencies required to ensure U.S. Department of Housing and Urban Development (HUD) compliance and performance of responsibilities.
- Identify internal and external solutions for optimal performance of the finance functions, appropriate staffing, correction of deficiencies, and realignment for successful operations.
- Provide training and Standard Operating Procedures (SOP) based on staff capacity needs and HUD requirements.
- Determine best practices for the Authority’s finance operations and develop implementation plans for these practices.
- Review and propose revisions to the FD Financial Control Policies and Procedures manual to improve internal controls, all accounting functions, including accounts payable/receivable, reporting accuracy, timeliness, and efficiencies of operations.
- Analyze operating reserves and provide recommendations for adequate levels.
- Provide portfolio analysis and long-term asset management strategies.
- Forecast fee revenue for the Central Office Cost Center (COCC), fee revenue after full RAD conversion and Public Housing conversion to the RAD/Project Based Voucher (PBV) program.
- Review and refine monthly financial reports for the Authority’s Board of Commissioners (Board) including format for financial statements, current and projected cash flow, etc.

Year-End (YE) Close, Reporting to HUD/Real Estate Assessment Center (REAC), and Accounting Services
• Develop procedures for timely monthly bank and general fund reconciliations, adjusting journal entries, and recording receipts/disbursements.

• Provide General Ledger (GL) accounting assistance for maintenance of GL for all Authority activity.

• Develop a process for providing a complete monthly Balance Sheet (BS) Analysis for: (1) staff review of all BS accounts for all Programs managed by the Authority; (2) posting of adjusting Journal Entries (JE) monthly; and (3) streamlining the YE close process and maintenance of accurate and supportable YE reporting.

• Provide oversight for and assist with the September 30, YE close(s).

• Develop process for scoring of the Authority’s financial i.e., Financial Assessment Subsystem (FASS) and management i.e., Management Assessment Subsystem (MASS) ratios.

**Independent Public Accountant (IPA) Coordination, Evaluation, and Report**

• Provide oversight, best practices, and assistance for the Fiscal Year (FY) 2018 Financial Data Schedule (FDS) submission and any subsequent years as necessary through an extension of the contract.

• Ensure the FY unaudited FDS submission is submitted to REAC by the deadline.

• Coordinate the IPA audit activities.

• Write the IPA Audit Report’s Management Discussion & Analysis (MD&A) section.

• Ensure the IPA audit FDS submission is submitted to REAC by the deadline and that any REAC issues with the submission (and any subsequent REAC alerts) are promptly addressed.

• Address any IPA Audit Findings on a timely basis.

• Evaluate the performance of the IPA and implement the best practice of rotating auditors at least every three years.

**Voucher Management System (VMS) for HCV**

• Review VMS monthly reporting and annual reconciliation procedures for Housing Assistance Payments (HAP) disbursements and Administration Fees (Admin Fees); provide training and SOP for VMS Specialist and HCV Management Analyst.

• Establish monitoring process for the spend rate for the RAD vouchers and non-RAD vouchers; project second-year and third-year RAD subsidy streams.

• Identify retroactive rent adjustments, assist with completion of processing, update the systems, and establish a VMS process to ensure full HUD reimbursements for retroactive payments to landlords.

• Establish process for coordination between the FD and HCV Department and reporting procedures to estimate and capture all eligible HUD HAP reimbursements and Admin Fees.

• Prepare and submit monthly Form HUD-52681-B Voucher for Payment of Annual Contributions and Operating Statement Housing Assistance Payments Program to REAC.
• Review the Two-Year Tool (TYT) workflow process and add any additional steps that are needed to incorporate funding notifications received from HUD for RAD, Tenant Protection Vouchers (TPV), Veterans Affairs Supportive Housing (VASH), or other vouchers; also incorporate updates to the listing and schedule for future PBV projects. Manage the TYT process/projections to ensure that the Authority is not at risk of a shortfall situation.

Budget and Operating Subsidy (Op Sub) Process
• Ensure that the HUD Op Sub tools, 52722 Operating Fund Calculation of Utilities Expense Level and 52723 Operating Fund Calculation of Operating Subsidy, are completed correctly for the Authority’s Asset Management Projects (AMPs) and submitted to REAC on a timely basis.
• Review and refine the current consolidated, multi-program (i.e., PH, HCV, Capital Fund Program (CFP), COCC, etc.) Budget process.
• Assist with the preparation of Budget projections to confirm the financial viability of the Authority after full conversion of its Public Housing Program to RAD and PBV subsidies.
• Identify improvements to maximize subsidy from all funding sources and provide beneficial allocation of expenditures.
• Ensure financial reporting accuracy and timeliness.

Develop/Refine Program Cost Efficiencies and Staffing Ratios
• Post RAD staffing recommendations.
• HCV Program.
• COCC.
• Public Housing Program, including maintenance team utilization analysis.

Unfunded Pension and Other Liabilities
• Monitor and manage the Authority’s Unfunded Pension and Other Liabilities to ensure payment of the current portion of such and develop a plan to fund the unfunded portion of such.
• Coordinate these activities and plans with the City and County of San Francisco.

Financial Management/Reporting Software
• Evaluate the FD’s current financial management/reporting software system and make recommendations regarding such to the Authority’s Executive Director and Board.

HUD Reviews
• Coordinate any HUD Review (e.g., The Office of Public and Indian Housing (PIH) Compliance Monitoring Review, Quality Assurance Division (QAD), Quality Assurance Subsystem (QASS), Departmental Enforcement Center (DEC), Office of Inspector General (OIG), etc.) and address/respond to any Review issues.

Any Other Related Tasks for Finance Operations as Assigned
### 1.4 PRICING

Pricing shall be reflected as an hourly rate along with estimated hours per position(s) proposed for the project. Rates shall remain firm for the initial contract year and for any extension or continuation of work. All available discounts and other price-affecting factors must be explicitly detailed in the Contractor’s proposal. Sales tax must be excluded from all items in the proposal. All items of the proposal must be appropriately identified with unit and total price.

In addition to, but not included in, the price evaluation factor (Section 1.8 Proposal Evaluation Criteria/Selection Process) travel expenses will be reimbursed as negotiated and will not exceed the Federal GSA San Francisco Bay Area allowance.

### 1.5 SUBMITTAL DEADLINE

This request for proposals is available electronically by contacting the Chief Procurement Officer, Solomon Gebala, at gebalas@sfha.org. Interested respondent that receive the RFP directly from the Authority will be placed on an Interested Parties List (IPL) and will receive updates and addendums to the RFP as they become available.

Interested respondents shall submit one (1) proposal marked “Original”, four (4) proposals marked “Copy”, and one (1) copy of the proposal in an electronic storage device such as CD or USB drive. Proposal shall be delivered in a sealed envelope or box prior to **2:00 PM on June 15, 2018.**

The proposals shall be prepared in such a way that it allows for an efficient evaluation by the Authority. The proposals shall be:

1. Prepared on 8 ½ x 11 white paper utilizing one inch margins
2. Shall be properly bound.
3. Tabbed between sections
4. Delivered in sealed envelopes/boxes clearly labeled with the RFP Number, RFP name and the name of the submitting firm.

Proposals must be addressed and delivered to:

**San Francisco Housing Authority**
**1815 Egbert Avenue**
**San Francisco, CA 94124**
**Attn: Procurement/Contracts Department**

*The last date for submitting questions regarding this solicitation is **June 5, 2018 by 2:00 PM.** All questions must be submitted in writing to procurement@sfha.org.*
Pre-Bid Conference (Non-Mandatory):

When: TBD
Where: TBD

1.6 TECHNICAL EVALUATIONS

Organization:

Each proposal shall be organized as outlined below. Page separators and tabs must clearly identify each section to facilitate quick reference and comparison to the material submitted by the proposers.

Provide the following submittal requirements in a separate package marked "TECHNICAL FACTORS".

TAB 1. FIRM’S EXPERIENCE & PAST PERFORMANCE
Provide a brief narrative of the primary firm and any sub-contractor proposed in the response. You must provide the following:

1) Name of firm
2) Ownership type
3) Year established
4) Office/Store locations
5) Number of employees
6) Description of firm’s core business lines
7) Principals

Demonstrate your firm’s experience in jobs similar in scope and complexity as described in the solicitation within the last three years. Demonstrate your firm’s experience in working with other agencies similar in size to that of the Authority. Describe the experience of the individuals to be employed in this effort. Along with this, provide at least three Contractor selected references for the most recent jobs that are similar, particularly with public sector entities. Provide the point of contact name, telephone number and type of references.

TAB 2. FIRM’S PROJECT MANAGEMENT AND APPROACH
Describe your firm’s project management methodologies and approach to the scope of work.

Describe your firm’s approach for communication between the firm and the Authority Staff and its Board of Commissioners.

TAB 3. EXPERIENCE AND QUALIFICATIONS OF KEY PERSONNEL
The proposal must contain information demonstrating the organizational structure and qualifications of Contractor’s key personnel including relevant experience in the field of discipline and public housing operations. The proposal may include consultants.

The Authority reserves the right to approve, reject or remove any Key Personnel at any time for any reason.

TAB 4. MBE/WBE PROGRAMS
Provide a detailed plan of how your company intends to meet the Authority’s Affirmative Action Program and outreach for MBE/WBE.

TAB 5. SECTION 3 COMPLIANCE EFFORTS
Provide a detailed plan on your strategy for complying with Section 3 requirements. Section 3 compliance can be satisfied through either the hourly hire component or Section 3 Scholarship fund.

TAB 6. ADDITIONAL VENDOR PROVIDED INFORMATION
This section is reserved for vendors to provide additional information that may interest the Authority or further enhance the evaluation of any criteria. Please state the evaluation criteria for which the information is being submitted. Examples include: awards, recognitions, letters of appreciation, customer surveys, letters of recommendation, issue and resolution examples, previous Section 3 compliance, etc.

TAB 7. CERTIFICATIONS/ACKNOWLEDGEMENT
a. Submit a complete FORM HUD-5369-C, Certifications and Representations of Offerors Non-Construction Contract (SECTION II – 2.1)
b. Submit the Solicitation, Offer, and Award
c. Submit a certified statement for non-debarment, suspension, or prohibition from professional practice by any Federal, State, or Local Agency. The statement shall read: "This is to certify that (Firm's Name) involved with this work, is not debarred, suspended, or otherwise prohibited from contracting by any Federal, State, or Local Agency."
d. Certify that you acknowledge and will adhere to the Immigration and Naturalization Act.

TAB 8. AFFIRMATIVE ACTION FORMS
a. MBE/WBE Participation (SECTION II – 2.3)
b. Section 3 Estimated Project Work Force Breakdown (SECTION II – 2.4)
c. FORM 1, Work Force on This Job (SECTION II – 2.5)
d. FORM 2, Permanent Work Force (SECTION II – 2.6)
1.7 COST PROPOSAL EVALUATIONS

Provide the following submittal requirements in a separate package marked “FEE SCHEDULE & ESTIMATED HOURS”. The Schedule & Estimated Hours must comply with the requirements outlined in section 1.4 of this RFP. Attach additional pages if necessary. Any pertinent documents related to cost should be included in the package.

The contractor will be responsible for all production costs and charges incurred for materials for the services specified in the Section 1.3 Scope of Services.

NOTE: SUBMIT YOUR FEE SCHEDULE & ESTIMATED HOURS IN A SEPARATE SEALED ENVELOPE LABELED WITH YOUR FIRM’S NAME, THE SOLICITATION NAME AND NUMBER.

1.8 PROPOSAL EVALUATION CRITERIA/SELECTION PROCESS

Proposals will be ranked from the highest to lowest points scored taking into consideration the proposal content, other technical factors, references etc. The Authority will engage the highest ranked contractor to establish the terms for a contract. If it is unsuccessful in establishing a tentative contract, the Authority will move to the next highest qualifying contractor, so on and so forth until it exhausts all qualified contractors.

The evaluation process will consist of the following steps:

1. Written Proposals: All proposals submitted for consideration will be reviewed and evaluated by an evaluation committee. The Authority may reject any or all proposals. Proposals will be evaluated by a committee of the Authority’s staff based on the following weighting scale:

   A. Firms Experience and Past Performance 35%
   B. Experience and Qualifications of Key personnel 35%
   C. Pricing 20%
   D. MBE/WBE Participation 05%
   E. Section 3 Compliance Strategy 05%

   Total 100%

In evaluating proposals, the combined evaluation factors for Firms Experience and Past Performance and Experience and Qualifications of Key Personnel, is **more than** price.

   Evaluation Scale: 90% - 100% Excellent
   80% - 89%  Good
   70% - 79%  Average
   60% - 69%  Poor
   0% - 59%  Very Poor

Minimum Qualifying Score: 70%
2. **Interviews:** The Authority shall evaluate all proposals based on the evaluation factors listed above and may conduct presentations/interviews with those contractors in the qualifying competitive range.

3. **Selection:** All applicants invited to participate in the oral interviews will be ranked after the interview process and the Authority may conduct negotiations with firms in the competitive range. The Authority will enter into an Agreement with the firm providing the “Best Value” to the Authority.

### 1.9 PROTEST PROCEDURES

1. **PROTEST OF AWARD:** Any Contractor, person or responder (Protestor) who disputes the decision to award an Agreement or who has been adversely affected by a decision of intended or actual purchase award may file a written notice of protest with the Contracting Officer of the Authority.

2. **FILING THE PROTEST:** The Protestor must file his protest in writing within ten (10) calendar days of the date of the letters of award of contract or the notification to unsuccessful responders.

3. **CONTENT OF FORMAL WRITTEN NOTICE:** The formal written notice must be printed, typewritten, or otherwise duplicated in legible form. The content of the formal written notice of protest must contain:

   A. The name and address of the Protestor filing the protest and an explanation of how their substantial interests have been affected by the Authority’s notice of the intended or of actual purchase award;

   B. A statement of how and when the Protestor filing the protest received notice of the bid solicitation or notice of intended or actual award;

   C. A statement of all issues of disputed material facts. If there is none, the protest must so indicate;

   D. A concise statement of the ultimate facts alleged, as well as the Authority’s policies which entitle the Protestor filing the protest to relief;

   E. A demand for relief to which the Protestor deems themselves entitled; and

   F. Any other information which the Protestor contends is material.
4. **RESPONSE TO PROTEST:** Upon receipt of a notice of protest that has been timely filed, the solicitation process or award process will be stopped until the protest is resolved. The Authority, if it deems necessary, may set forth in writing particular facts and circumstances which require continuance of the solicitation process on an emergency basis without the above mentioned delay in order to avoid immediate and serious danger to health, safety, or welfare. This written determination will specifically detail the facts underlying the Authority’s decision and will constitute final action.

5. **RESOLUTION:** The Authority may request such other information pertaining to the matter as deemed appropriate. Within ten (10) days of the date of receipt of the written protest, the Authority will notify the Protestor making the protest of its decision.

### 1.10 CONTRACT REQUIREMENTS

The Contractor(s) selected for this effort must be fully qualified to perform the services described above. The selected Contractor(s) must also comply with the following Authority requirements:

1. **CONTRACT:** Signing of the “Solicitation, Offer, and Award” by the Contractor and the Contracting Officer incorporated with the terms, conditions and clauses in this Proposal.

2. **SCHEDULE OF PROJECT(S):** The selected Contractor shall provide the required services and shall complete the assigned project activities in the agreed to time period.

3. **INSURANCE:** The selected Contractor shall maintain in full force and effect during the entire Contract term the Insurance requirements as described in the RFP (SECTION III – 3.4, 11 – Insurance).

4. **DRUG-FREE WORK PLACE:** The selected Contractor must comply with the Federal Drug – Free Work Place Act.

5. **SECURITY BADGE IDENTIFICATION REQUIREMENT:** All employees of the selected Contractor will be required to obtain and wear security badges while on all Authority properties. The badges can be obtained from the Human Resources Department at 1815 Egbert Avenue, San Francisco, CA 94124. The Authority will charge a minimal fee, not-to-exceed $5.00 per badge. Badges must be obtained prior to commencing work on any Authority site.

6. **EMPLOYMENT, TRAINING, AND CONTRACTING OPPORTUNITIES FOR LOW-INCOME PERSONS, SECTION 3 OF THE HOUSING AND URBAN DEVELOPMENT ACT OF 1968.**

7. **EQUAL EMPLOYMENT OPPORTUNITY:** The selected Contractor and all its subcontractors shall comply with Executive Order 11246, as amended by Executive Order 11375, and as supplemented in the Department of Labor Regulations (41 CFR Part 60).
8. **MBE/WBE STATUS**: The Authority has established a goal to maximize the use of Minority Business Enterprise (MBE) and Women Business Enterprises (WBE) in all contracting efforts. The selected Contractor and its subcontractors shall make every effort to perform outreach to and utilize such firms in this Project.

9. **ANTI-KICKBACK ACT**: The selected Contractor and all its subcontractors shall comply with the Copeland "Anti-Kickback Act" (18 U.S.C. 276c) as supplemented in U. S. Department of Labor Regulations (29 CFR, Part 3). This Act provides that each contract sub-grantee shall be prohibited for inducing, by any means, any person employed in the construction, completion, or repair of public works, to give up any part of the compensation to which he is otherwise entitled. The selected Contractor and all its subcontractors shall report all suspected or reported violations to the Authority.

10. **SAN FRANCISCO HOUSING AUTHORITY AFFIRMATIVE ACTION POLICIES & GUIDELINES**: The selected Contractor and all its subcontractors shall comply with the requirements of the Authority's Affirmative Action Policies & Guidelines. (San Francisco Housing Authority Summary of Affirmative Action Guidelines; SECTION III – 3.3)

11. **SUBCONTRACTOR REQUIREMENTS**: The selected Contractor shall assure that its sub-contractors comply with all applicable HUD regulations, and the Authority requirements.

12. **INCORPORATION**: All requirements of the Request for Proposals and the representations made in the proposal that are not in conflict with provisions the Contract shall be incorporated by reference and made an integral part of the Contract as though fully set forth.

13. **RETENTION AND INSPECTION OF RECORDS**: Access shall be given by the selected Contractor to the Authority, HUD or any of their duly authorized representatives to any books, documents, papers, and records of the selected Contractor which are directly pertinent to this Agreement for the purpose of making an audit, examination, excerpts and transcriptions. All records pertinent to this Agreement shall be retained for three (3) years after the Authority has made final payment and all other pending matters are closed.
2 SECTION II – Forms Required at Submission
2.1 FORM – HUD 5369 C

Certifications and Representations of Offerors--Non-Construction Contract

U.S. Department of Housing OMB Approval No: 2577-0180 (exp. 7/30/96)
2.2 FORM – SOLICITATION, OFFER, AND AWARD
# SOLICITATION, OFFER AND AWARD

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<th>Solicitation Number</th>
<th>Type of Solicitation</th>
<th>Date Issued</th>
<th>PR #</th>
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<td>#18-050-RFP-0022</td>
<td>RFP: X</td>
<td>05/22/2018</td>
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## Issued by:
San Francisco Housing Authority

## Address Offer to (if other than issuing office)
Procurement/Contracts Department
1815 Egbert Avenue
San Francisco, CA 94124

## Point of Contact:
Solomon Gebala

## E-mail address:
procurement@sfha.org

## Telephone number:
415-715-3123

In compliance with the above, the undersigned agrees, if this offer is accepted within 120 calendar days (60 calendar days unless a different period is inserted by the offeror) from the date for receipt of offers specified above, to furnish any or all items upon which prices are offered at the price set opposite each item delivered at the designated points (s), within the time specified in the schedule.

Discounts offered for Prompt Payment:
- 10 Calendar days: ________%
- 20 Calendar days: ________%

## Acknowledgement of Amendments:

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<thead>
<tr>
<th>Amendment No.</th>
<th>Date</th>
<th>Amendment No.</th>
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The offeror acknowledges receipt of amendments to the Solicitation for offerors and related documents numbered and dated

The offeror understands that by signing below, the bid is bound once this has been accepted, awarded, and signed by the SFHA.

## Name, Address and Email of Offeror
(Type or Print)

## Name & Title of Authorized Representative
(Type or Print)

## Federal Tax ID Number

## Telephone Number

## Signature

## Offer Date

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## AWARD (to be completed by SFHA)

## AWARD AMOUNT:

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<thead>
<tr>
<th>SFHA Legal Department (Print Name)</th>
<th>Approved to form by Legal (Signature)</th>
<th>Date</th>
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<th>Contracting Officer</th>
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2.3 FORM – MBE/WBE PARTICIPATION
MBE/WBE PARTICIPATION

NAME OF OFFEROR: ________________________________

The policy of the San Francisco Housing Authority and the United States Department of Housing and Urban Development is to take positive steps to maximize the utilization of minority-and woman-owned business enterprises (MBE/WBEs)* in all contract activity administered by the San Francisco Housing Authority. The San Francisco Housing Authority encourages contractors to meet a 20% contract amount participation level. A MBE/WBE prime contractor or any subcontractors or suppliers may be applied to meet the goal.

This form must be submitted WITH CONTRACTOR’S PROPOSAL and should be completed for all modifications to these contracts. All MBE/WBE prime contractors, individuals, joint venture partners, subcontractors, suppliers and any other vendors participating in the project must be listed.

J/P/S: Indicate if MBE/WBE is Joint Venture Partner, Prime, or Subcontractor

<table>
<thead>
<tr>
<th>J/P/S</th>
<th>MBE/WBE CONTRACTOR/SUBCONTRACTOR VENDOR NAME, ADDRESS, TELEPHONE NUMBER AND CALIFORNIA STATE CONTRACTOR’S LICENSE NUMBER</th>
<th>SERVICES TO BE PERFORMED</th>
<th>AMOUNT OF PROPOSED CONTRACT/ SUBCONTRACT</th>
<th>% OF TOTAL BID PRICE</th>
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TOTAL MBE & WBE PARTICIPATION

A minority-or women-owned business enterprise (MBE/WBE) means an entity owned and controlled by minority group persons or women, as the context requires, by at least a 51% majority.

______________________________
Signature of Authorized Representative

______________________________
Date

Revised March 28, 2018
2.4 FORM – SECTION 3 ESTIMATED PROJECT WORK FORCE BREAKDOWN
## SECTION 3
### ESTIMATED PROJECT WORK FORCE BREAKDOWN

<table>
<thead>
<tr>
<th>JOB CATEGORY</th>
<th>TOTAL ESTIMATED NEW POSITIONS NEEDED FOR PROJECT</th>
<th>NUMBER OF POSITIONS TO BE FILLED WITH SECTION 3 RESIDENTS</th>
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### Section 3 Resident
Individual residing within the Section 3 area whose family income does not exceed 80% of the median income in the Metropolitan Statistical Area (MSA) or the county if not within a MSA in which the Section 3 covered project is located. See attached income schedule.

NOTE: This document must be submitted with bid documents.

Company ____________________

Project Name ____________________

Project Number ____________________

Person Completing Form ____________

Date ____________________

Revised March 28, 2018
2.5 FORM 1 – WORK FORCE ON THIS JOB
## FORM 1 – WORK FORCE ON THE JOB

**CONTRACTOR:**

**JOB:**

**DATE FILLED OUT:**

**NOTE:** Please Identify a Public Housing Resident with an Asterisk (*)

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| Foreman |   |   |   |   |   |   |
| Journeymen/Mechanics |   |   |   |   |   |   |
| Helpers |   |   |   |   |   |   |
| Apprentices |   |   |   |   |   |   |
| Foremen |   |   |   |   |   |   |
| Journeymen/Mechanics |   |   |   |   |   |   |
| Helpers |   |   |   |   |   |   |
| Apprentices |   |   |   |   |   |   |
| Foremen |   |   |   |   |   |   |
| Journeymen/Mechanics |   |   |   |   |   |   |
| Helpers |   |   |   |   |   |   |
| Apprentices |   |   |   |   |   |   |

| TOTALS |   |   |   |   |   |   |   |
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2.6 FORM 2 – PERMANENT WORK FORCE
### FORM 2 – PERMANENT WORK FORCE

**CONTRACTOR:**

**JOB:**

**DATE FILLED OUT:**

**NOTE:** Please Identify a Public Housing Resident with an Asterisk (*)

<table>
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<th><strong>CRAFT MALE EMPLOYEES:</strong></th>
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<td>Foreman</td>
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<td>Journeymen/Mechanics</td>
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<td>Apprentices</td>
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<td>Apprentices</td>
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**TOTALS**

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Revised March 28, 2018
2.7 FORM – ACKNOWLEDGEMENT TO ADHERE TO THE IMMIGRATION AND NATURALIZATION ACT
ACKNOWLEDGEMENT TO ADHERE TO THE

IMMIGRATION AND NATURALIZATION ACT

__________________________________________ acknowledges to have read and will adhere to the Immigration and Naturalization Act. I have made this information available to all subcontractors participating in this project.

US CODE: Title 8,1324. Bringing in and harboring certain aliens

__________________________________________
Signature

__________________________________________
Date
2.8 FORM – SELF CERTIFICATION OF NON-DEBARMENT
SELF CERTIFICATION OF NON-DEBARMENT

This is to certify ________________________________________________ involved with this work, (Name of Firm)

is not debarred, suspended, or otherwise prohibited from contracting by any Federal, State, or Local Agency.

____________________________________
Signature

____________________________________
Date
2.9 FORM – FEE SCHEDULE & ESTIMATED HOURS
Fee Schedule & Estimated Hours
Finance Operations Consultant Services

Firm: ___________________________________ Phone: ________________________________
Address: ___________________________ Email: _______________________________
Contact: ______________________________

<table>
<thead>
<tr>
<th>Name</th>
<th>Title</th>
<th>Yrs of Exp</th>
<th>Proposed # of Hours</th>
<th>Hourly Rate</th>
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**TOTAL** $________

The Authority’s standard payment terms are 30 days. If your firm would like to receive payment quicker than 30 days, a quick payment discount is offered and can be negotiated.

I certify that I am the authorized representative and have the authority to make this offer and negotiate the terms and conditions of this solicitation response.

Name (Print): _______________________________ Date: ________________

Signature: _________________________________

*Submit this form as instructed in Section 1.7*
3 SECTION III – Attachments
3.1 ATTACHMENT – HUD 5369 B

HUD-5369-B INSTRUCTIONS TO OFFERORS, NON-CONSTRUCTION
3.2 ATTACHMENT – HUD 5370 C

GENERAL CONDITIONS FOR NON-CONSTRUCTION

Place an “X” for the Section(s) of the General Conditions for this contract.

X _____ General Conditions for Non-Construction – Section I

_____ General Conditions for Non-Construction – Section II
3.3 ATTACHMENT – SUMMARY OF AFFIRMATIVE ACTION REQUIREMENTS
SAN FRANCISCO HOUSING AUTHORITY

SUMMARY OF AFFIRMATIVE ACTION REQUIREMENTS

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<tr>
<td>III. SFHA Commission Resolution No. 4967</td>
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<td>IV. Executive Order 11246</td>
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<tr>
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<td>VI. Employer and Employee Tax Credits</td>
<td>3</td>
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<tr>
<td>VII. Related Documents</td>
<td>3</td>
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I. EXECUTIVE SUMMARY

A. This document describes the Affirmative Action Requirements for covered construction and construction-related contracts. It references applicable Federal regulations and the Housing Authority of the City and County of San Francisco (SFHA) Resolutions, and provides sources for documents and organizations.

B. Goals and Requirements Highlights:

1. Low-Income Hiring: 30% of all new hires in each construction trade (Section 3).
2. SFHA Resident Hiring: 25% of the total workforce (Resolution No. 4967).
3. MBE/WBE Firms: 20% of the aggregate involvement (Resolution No. 2444).
4. Non-Compliance Penalties: Breach of contract, termination, suspension, debarment, $45.00 per hour for shortfalls in hours worked by residents (Resolution No. 4967).

II. SECTION 3 OF THE HOUSING AND URBAN DEVELOPMENT ACT OF 1968 (12 U.S.C. 1701u)


B. Related Documents:

1. 24 CFR 135.
2. Appendix to 24 CFR Part 135, Examples of Efforts to Offer Training and Employment Opportunities to Section 3 Residents.
III. SFHA COMMISSION RESOLUTION NO. 4967

A. The SFHA Commission Resolution No. 4967 adopted February 22, 2001, increases the Section 3 requirements contained in 24 CFR Part 135 to require that residents of SFHA public housing constitute a minimum of twenty-five percent (25%) of the total workforce (calculated by person-hours).

B. Covered Contracts: Construction contracts over $25,000 and non-construction contracts over $50,000.

C. Compliance: The contractor's good faith efforts will be evaluated by the SFHA Contracting Officer using Appendix to 24 CFR Part 135, Examples of Efforts to Offer Training and Employment Opportunities to Section 3 Residents. Non-compliance can result in penalties of $45.00 per hour for shortfalls in hours worked by residents, breach of contract, or termination, as described in Resolution No. 4967.

D. Related Documents:

2. Appendix to 24 CFR Part 135, Examples of Efforts to Offer Training and Employment Opportunities to Section 3 Residents.

IV. EXECUTIVE ORDER 11246

A. Under Executive Order 11246 of September 24, 1965, as amended, the SFHA requires the inclusion of the “Notice of Requirement for Affirmative Action to Ensure Equal Employment Opportunity” and the “Standard Federal Equal Employment Opportunity Construction Contract Specifications” as a condition of any grant, contract, subcontract, loan, insurance or guarantee involving federally assisted construction in excess of $10,000.

B. Related Documents:

1. 41 CFR Part 60.4.
V. MINORITY-OWNED AND WOMEN-OWNED BUSINESS ENTERPRISE (MBE/WBE) OPPORTUNITIES

A. Consistent with Executive Orders 11625, 12138, and 12432, and section 3 of the Housing and Urban Development Act of 1968 (12 U.S.C. 1701u), as amended, the SFHA shall make efforts to ensure that small businesses, women-owned business enterprises, minority-owned business enterprises, labor surplus area business, and individuals or firms located in or owned in substantial part by persons residing in the area of an SFHA development are used when possible.

B. SFHA Commission Resolution No. 2444 adopted February 25, 1982, established SFHA MBE/WBE requirements: it is the goal of the SFHA to achieve, to the greatest extent possible, a twenty percent (20%) aggregate involvement of MBE/WBE’s in construction contracts and procurement activities, by dollar volume.

C. Compliance: The San Francisco Human Rights Commission (415) 252-2500 maintains a list of certified MBE/WBE firms, and will determine whether a firm is considered bona fide.

D. Related Documents:


VI. EMPLOYER AND EMPLOYEE TAX CREDITS

A. General: There are various tax credits available to both employers and employees through Federal, State and City of San Francisco programs. By hiring through a qualified program, a business may be eligible for thousands of dollars in tax credits as well as On-the-Job Training subsidies for a new employee. Each prospective contractor should consult a competent professional advisor for specific guidance about the tax credits as well as other related tax incentives, deductions or benefits.

B. Private Industry Council (PIC): The Business Services Manager of PIC in San Francisco (415) 431-8700 can help fill job openings through referrals of qualified job seekers participating in the PIC Job Training program.

VII. RELATED DOCUMENTS

A. Documents referenced herein are on file at the SFHA, Procurement and Contract Department, 1815 Egbert Avenue, (415) 715-3123. Copies will be furnished upon request. The documents are also available at the SFHA web site, www.sfha.org.

B. List of Documents:
5. 41 CFR Part 60-4.
3.4 ATTACHMENT – SPECIAL INSTRUCTIONS AND CONTRACT ADMINISTRATION
SPECIAL INSTRUCTIONS AND CONTRACT ADMINISTRATION

SAMPLE CONTRACT
(actual contract may be different)

Agreement made and entered into this _____ day of MONTH, YEAR, by and between the Housing Authority of the City and County of San Francisco (Authority) and INSERT CONTRACTOR NAME (Contractor).

WITNESSETH

WHEREAS, the Authority wishes to retain the Contractor and the Contractor wishes to provide materials and services for the Authority in the City and County of San Francisco, California; and

WHEREAS, the Contractor has proposed to provide said materials and services in accordance with the terms and conditions set forth herein.

NOW, THEREFORE, in consideration of the mutual promises set forth below, the Authority and the Contractor agree as follows:

1. Project Description:

The Authority INSERT PROJECT DESCRIPTION…

2. Scope of Services:

• INSERT SCOPE OF SERVICES

3. Incorporation:

All requirements of the solicitation and the representations made in the Contractor's proposal that are not in conflict with provisions of this Agreement are hereby incorporated by reference and made an integral part of the Agreement as though fully set forth herein. Should there be conflict between the documents, the Authority’s contract shall prevail.

The following documents are incorporated into this contract pursuant to the conditions previously stated.

1) Attachment “A” – Solicitation #INSERT RELEVANT INFORMATION
2) Attachment “B” – INSERT RELEVANT INFORMATION

4. Schedule of Performance:
The schedule of performance shall be for a period of INSERT TIME FRAME (XX) XXXX with XX option to extend and INSERT RELEVANT INFORMATION.

5. **Compensation:**

Compensation for this task based contract shall be paid to the Contractor upon receipt and approval by the Authority of an invoice setting forth work actually completed. Payment(s) under this contract shall not exceed INSERT RELEVANT INFORMATION ($XXX).

6. **Invoices and Payments:**

The Contractor will submit an invoice itemizing the services performed and expenses incurred in a form acceptable to the Authority. Payment to the Contractor will normally be made within 30 days upon receipt of invoice and verification by the Authority of services rendered and expenses incurred. The Authority may withhold payment to the Contractor pending resolution of, in an amount equal to questioned, disputed or disapproved amounts, for work not completed or delivered as required the terms of this Agreement.

7. **Correspondence shall be transmitted to:**

HOUSING AUTHORITY OF THE CITY AND COUNTY OF SAN FRANCISCO  
1815 Egbert Avenue  
San Francisco, CA 94124  
Attention: Finance Department

Payment of approved amounts and notices shall be transmitted to:

CONTRACTOR NAME  
CONTRACTOR ADDRESS  
CITY, STATE ZIP  
Phone: (XXX) XXX-XXXX

8. **Independent Contractor:**

In the performance of the services hereunder, the Contractor shall be an independent entity and not an employee of the Authority. The employees furnished by the Contractor to perform the work shall be deemed to be the Contractor's employees exclusively and said employees shall be paid by the Contractor for all services. The Contractor shall be responsible for all obligations and reports covering Social Security, Unemployment Tax and other reports required by any applicable State or Federal law. Contractor shall not have authority to act on behalf of the Authority in any capacity whatsoever nor to bind the Authority to any obligation whatsoever.
9. **Indemnification:**

To the fullest extent permitted by law, Contractor shall assume the defense of, indemnify and save harmless the Authority and its officers and employees (collectively "Indemnitees") from any claim, loss, damage, injury (including, without limitation, injury to or death of an employee of Contractor or its subcontractors) and liability of every kind, nature and description (including, without limitation, incidental and consequential damages, court costs, attorney's fees and costs of investigation) that arise directly, in whole or in part, from (1) the services under this Agreement, or any part thereof and/or (2) any act or omission of Contractor, anyone directly or indirectly employed by them, or anyone that they control (collectively "Liabilities"), even if such Liabilities are caused in part by the negligence of any Indemnitee, subject to the provisions set forth in this Section. To the extent, however, that the foregoing provision imposes an obligation of the Contractor which does not involve any negligence or other breach of obligation on the part of Contractor or its subcontractors, then, provided Contractor is in compliance with its insurance obligations under Section 12 below, such obligation shall be limited to the extent to which it is covered by Contractor's insurance and that of its subcontractors, in no event, however, shall Contractor liability or indemnification responsibilities be so limited in the event of negligence or other breach of obligation on the part of Contractor or its subcontractors.

Contractor assumes no liability whatsoever for the sole negligence or willful misconduct of any Indemnitee or Contractor of any Indemnitee.

Contractor indemnification obligations for claims involving "Professional Liability" (claims involving acts, errors, or omissions in the rendering of professional services) and "Economic Loss Only" (claims involving economic loss which are not connected with bodily injury or physical damage to property) shall be limited to the extent Contractor's negligence or other breach of duty.

10. **Termination:**

The Authority may, at any time prior to completion of the work, terminate this Agreement for any reason, including, but not limited to, default by the Contractor or circumstances beyond the control of Contractor. In the event the Authority terminates this Agreement for convenience, the Contractor, within ten (10) days of receiving such notice, shall submit an invoice to the Authority in an amount which represents the compensation for services actually performed to the date of termination and for which the Contractor has not been previously compensated. Upon payment of the sum found due, the Authority shall be under no further obligation to the Contractor financial or otherwise.

In the event the Authority desires to terminate for cause, it shall follow the steps for arbitration as outlined in Attachment C, Section 6., Arbitration.

11. **Assignment:**
The Contractor shall not make an assignment of this Agreement's proceeds or claims arising under this Agreement without obtaining prior written permission from the Authority. In no event shall the Contractor assign the duties to be performed under this Agreement.

The parties acknowledge and agree that Authority intends to convey portions of the development sites to other management firms and developers, (the “New Owner”) which has been selected as the New Owner of the sites under the United States Department of Housing and Urban Development Rental Assistance Demonstration (RAD) program. This Agreement may be assigned by the Authority to the New Owner, provided the Authority and the New Owner, with the approval of the Contractor, enter into an assignment and assumption agreement, in which the New Owner expressly assumes the Authority’s obligations under the Agreement, and further releases the Authority from all obligations under the Agreement. If parties and the New Owner fail to enter into such assignment and assumption agreement, this Agreement shall terminate upon the conveyance of the site to the New Owner, and the Authority shall have no further obligation to the Contractor, except as otherwise provided in Section 10 above.

12. Insurance:

The Contractor shall maintain in full force and effect during the entire contract term Commercial and/or Comprehensive General Liability (including owned and not-owned automobile insurance) Insurance in the minimum limits set forth below and in a solvent company or companies that maintain a rating of "B+" or better and admitted to sell insurance in California through the Department of Insurance. This insurance must be under the usual terms employed by casualty companies in California, naming the Authority and its respective members, officers, agents and employees as additional insured. Such insurance shall protect such additional insured and indemnify them against direct or contingent loss or liability for bodily injury, death and/or property damage arising in any manner from the Contractor's performance of this Agreement with the Authority, or the nature of the services provided, or any operations under or connected with this Agreement with the Authority.

A. The Contractor will maintain in force, during the full term of the Agreement, insurance as follows:

1) Worker's Compensation Employers' Liability with limits as required by State of California (currently $1,000,000 for each accident).

2) Comprehensive General Liability Insurance with limits not less than $1,000,000 per person per occurrence Combined Single Limit Bodily Injury and Property Damage, including Contractual Liability, and Completed Operations coverage. If the Contractor has a "claims-made" policy, then the following additional requirements apply: the policy must provide a "retroactive date" which must be on or before the execution date of the Contract; and the extended reporting period may not be less than five years following the completion of the Contract.
3) Comprehensive Automobile Liability Insurance with limits not less than $1,000,000 each occurrence Combined Single Limit Bodily Injury and Property Damage.

4) Contractor's Professional Liability Insurance with a limit of not less than $500,000 each occurrence. If the policy is in claims-made form, the Contractor agrees to maintain such insurance for three (3) years following the completion of the construction of the project; provided that if such insurance is not available on commercially reasonable terms (i.e., the premiums for the same coverage has increased at least by 200%) during such three year period, the Contractor may self-insure.

B. Comprehensive General Liability and Comprehensive Automotive Liability Insurance policies shall be endorsed to provide the following:

1) Name as ADDITIONAL INSURED the San Francisco Housing Authority, its Officers, Members of Commission, Agents and Employees.

2) That such policies are primary insurance to any other insurance available to the Additional Insured, with respect to any claims arising out of this Agreement, and that the insurance applies separately to each insured against whom claim is made or suit is brought, but the inclusion of more than one insured shall not increase the insurer's limits of liability.

3) All policies shall be endorsed to provide thirty (30) days advance written notice to the Authority of cancellation, non-renewal or reduction in coverage, mailed to the following address:

   Housing Authority of the City and County of San Francisco
   1815 Egbert Avenue
   San Francisco, CA 94124
   Attention: Procurement/Contracts Department

4) Certificates of Insurance, in form and with insurers satisfactory to the Authority, evidencing all coverage above, shall be furnished to the Authority prior to award and before commencing any operations under this Agreement, with complete copies of policies to be furnished promptly upon the written request of the Authority, at the following address:

   Housing Authority of the City and County of San Francisco
   1815 Egbert Avenue
   San Francisco, CA 94124
   Attention: Procurement/Contracts Department

5) Any coverage which the Contractor proposes to self-insure, or any intention to operate vehicles other than automobiles (i.e., boats, aircraft, etc.) shall require prior Authority approval of the appropriate insurance to be agreed upon.

Approval of the insurance by the Authority shall not relieve or decrease the liability of the Contractor hereunder. This Agreement shall terminate immediately, without notice to the Contractor, upon any
lapse of required insurance coverage. The Contractor shall be advised that should the Contractor through its negligence fail to meet the professional standards of care and performance of its services that result in additional costs to the Authority, it will be the intention of the Authority to recoup these costs from the Contractor.

13. **Labor Standard Requirements:**

   The Contractor shall pay the applicable classification wage rates according to the U. S. Department of Labor Prevailing Wages as applicable.

14. **Resident Hiring:**

   To the maximum extent possible, Contractor agrees to actively recruit, hire and train residents of public housing for position vacancies or other employment opportunities within its organization. In the event the Contractor is not able to meet this requirement through employment efforts, it will make a contribution to the Section 3 scholarship program which ranges between 3% - 10% of billable services contingent upon the value of the contract.

15. **Employment Practices:**

   In the performance of this agreement, the Contractor will not discriminate against any employee or applicant for employment because of race, color, religion, sex, or national origin. The Contractor shall, in all respects in the performance of this agreement, comply with Executive Order 11246, as amended by Executive Order 11375, and as supplemented by Department of Labor Regulations (41 CFR Part 60). The Contractor shall take affirmative action to ensure that applicants are employed, and that employees are treated during employment without regard to race, religion, sex, color or national origin. Such action shall include, but not be limited to, employment, upgrading, demotion or transfer, recruitment or recruitment advertising, layoff or termination rates or pay or other forms of compensation and selection for training including apprenticeship. The Contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided by the State Labor Department setting forth the provisions of this nondiscrimination clause. 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, religion, sex, color or national origin.

16. **Anti-Kickback:**

   The Contractor shall comply with the Copeland "Anti-Kick-back Act" (18 USC 874) as supplemented in Department of Labor Regulations (29 CFR Part 3). This act provides that each Contractor or subgrantee shall 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 is otherwise entitled. The Contractor shall report all suspected or reported violations
17. **Drug-Free Workplace:**

The Contractor acknowledges that pursuant to the Federal Drug-Free Workplace Act of 1989, the unlawful manufacture, distribution, dispensation, possession, or use of the controlled substance is prohibited on Authority premises. The Contractor agrees that any violation of this prohibition by the Contractor, its employees, agents or assigns shall be deemed a material breach of contract.

18. **Work Hours and Safety Standards Act:**

This Agreement is subject to and incorporates, by reference herein, the provisions of the Contract Work Hours and Safety Standards Act, Sections 103 and 107, (40U.S.C. 327-330) as supplemented by Department of Labor regulations (29 CFR, part 5). The Contractor hereby declares that it is in compliance with said provisions.

19. **Administrative Remedy for Contract Interpretation:**

Should any question arise as to the meaning and intent of this Agreement, the matter shall, prior to any other action or legal remedy, be referred to the Contracting Officer who shall decide the true meaning and intent of the Agreement.

20. **Interest of Members of the Authority or Government Officials:**

The Provisions of the Authority's Annual Contributions Contract (ACC), Section SIS, Interest of Members, Officers, or Employees of Authority, Members of Local Governing Body, or Other Public Officials, and Section 517, Interest of Member of or Delegate to Congress, are incorporated herein and by reference made a part of this document.

21. **Applicable Law and Venue:**

This Agreement shall be constructed and interpreted solely in accordance with the laws of the State of California. The venue for any dispute resolution, including legal action or any other method, shall be the City and County of San Francisco.

22. **Ordinances:**

The Contractor shall complete work on this Project to conform to all applicable Federal, State,
and local laws, codes, ordinances, and regulations as modified by any waivers which may be obtained from the appropriate jurisdictions.

23. **Retention and Inspection of Records:**

Access shall be given by the Contractor to the Authority, HUD or any of their duly authorized representatives to any books, documents, papers, and records of the Contractor which are directly pertinent to this Agreement for the purpose of making an audit, examination, excerpts and transcriptions. All records pertinent to this Agreement shall be retained for three (3) years after the Authority has made final payment and all other pending matters are closed.

24. **Entire Agreement:**

This Agreement constitutes the entire understanding between the Authority and the Contractor concerning the subject matter hereof.
3.5 APPENDIX 1 – RESOLUTION NO. 4967; ADOPTED FEBRUARY 22, 2001
RESOLUTION NO. 4967  
DATE ADOPTED 2/22/01

RESOLUTION ESTABLISHING A GOAL OF HIRING RESIDENTS OF SAN FRANCISCO PUBLIC HOUSING TO CONSTITUTE AT LEAST TWENTY-FIVE PERCENT (25%) OF THE TOTAL WORKFORCE FOR CERTAIN TYPES OF CONTRACTS PERFORMED BY THE HOUSING AUTHORITY

WHEREAS, the San Francisco Housing Authority seeks to comply with and further the goals set forth in Section 3 of the Housing and Urban Development Act of 1968, as amended, 12 USC 1701u, as amended, and its accompanying regulations in 24 CFR part 135 (hereinafter called Section 3) for resident hiring by contractors and subcontractors performing various types of work for the San Francisco Housing Authority; and,

WHEREAS, Section 3 regulations require beginning on October 1, 1996, all contractors in conjunction with their subcontractors on San Francisco Housing Authority projects hire eligible Section 3 residents to constitute a minimum of 30% of their aggregate new hires (full-time employees for permanent, temporary or seasonal employment) for each subsequent fiscal year; and,

WHEREAS, the San Francisco Housing Authority presently has a goal that Section 3 residents, hired in the priority order set forth in 24 CFR 135.34, will constitute a minimum of twenty-five percent (25%) of the total workforce (person-hours for all contractors and subcontractors) on all construction projects and construction related activities (e.g., architects and engineers); and,

WHEREAS, the San Francisco Housing Authority wishes to ensure that the maximum number of residents of public housing are employed in private and public sector jobs that afford them the ability to achieve their highest potential, gain vocational exposure, participate in the activities of public housing residential developments, and be employed by other contractors and subcontractors who provide services to the San Francisco Housing Authority; and,

WHEREAS, the San Francisco Housing Authority seeks to expand the Section 3 objectives to establish a goal that Section 3 residents, hired in the priority order set forth in 24 CFR 135.34, will constitute a minimum of twenty-five percent (25%) of the total workforce (person-hours for all contractors and subcontractors) on all contracts and purchases that are covered by Section 3 and by this resolution; and,

WHEREAS, the San Francisco Housing Authority defines all contracts and purchases covered by Section 3 and this resolution to include contracts and subcontracts for construction projects and construction related activities, e.g., architects and engineers; also included are personal and professional services such as legal counsel, consultants, security services, and other services. This resolution excludes contracts or purchases of supplies and materials unless the contract or purchase includes the installation of the supplies and materials; and

WHEREAS, the San Francisco Housing Authority wishes to assist Section 3 business concerns through preference in contracting opportunities or providing other economic opportunities; and
NOW, THEREFORE, BE IT RESOLVED BY THE COMMISSION OF THE HOUSING AUTHORITY OF THE CITY AND COUNTY OF SAN FRANCISCO THAT:

1. The solicitation documents for construction contracts over $25,000 and non-construction contracts over $30,000 covered by Section 3 requirements and by this resolution that are awarded by the San Francisco Housing Authority shall include provisions that give effect to the below enumerated requirements:

   (a) Establish a goal requiring contractors, in conjunction with their subcontractors together, to hire residents of public housing such that residents constitute a minimum of twenty-five percent (25%) of the total workforce (calculated by person-hours) on all contracts and purchases covered by Section 3 and by this resolution for contracts awarded by the San Francisco Housing Authority.

   (b) In those instances where the size of the contract, scope of work covered by the contract, the specialized technical expertise required, the term and urgency of the contract (as determined on a case basis) and/or the contractor’s worksite is located outside the nine Bay Area Counties makes reaching the above 25% goal impractical, the contractor may, with approval of the Contracting Officer for the San Francisco Housing Authority, satisfy the resident hiring requirement by providing appropriate training and development of technical skills in the contractor’s office (e.g., accounting, architectural, consultant, engineering, legal, etc.).

   (c) Contracts covered by this resolution are those issued by the San Francisco Housing Authority and include construction, reconstruction, conversion or rehabilitation of housing (including reduction and abatement of lead-based paint hazards), other public construction which includes buildings or improvements assisted with housing or community development assistance. This resolution goes beyond the requirements of Section 3 to include all contracts for professional and other services (e.g., architectural, consultant, engineering, legal, etc.) but excludes contracts for the purchase of supplies and materials unless these contracts include the installation of the supplies or materials. This resolution also covers construction on SFHA property even if the construction is not performed under contract with the SFHA and will extend to contractors and subcontractors engaged in such construction.

   (d) A contractor who meets the goals set forth above is in compliance with this resolution. When the above goals are not met, the contractor must demonstrate to the Contracting Officer the reasons it is not feasible to meet the goal. The contractor’s good faith efforts with regard to meeting the resident employment and Section 3 employment requirements under this resolution will be evaluated using Appendix to 24 CFR Part 135, Examples of Efforts to Offer Training and Employment Opportunities to Section 3 Residents. The evaluation will also include such factors as the size of the monetary value of the contract and the appropriateness of applying multiple criteria to meet the resident hiring requirements.

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(e) Provide that a contractor’s failure to realize the goal or to make a good faith effort as defined in Appendix to 24, CFR Part 135, Examples of Efforts to Offer Training and Employment Opportunities to Section 3 Residents, shall result in: (1) a cure notice issued when there is clear evidence the contractor will fail to meet the resident employment requirements before the completion of the contract (if not cured the contractor will be terminated for default and assessed penalties up to the date of determination); (2) penalties in the amount of $45.00 (forty-five dollars) multiplied by the number of hours constituting the shortfall for each week of the shortfall (e.g., if 3,000 person hours were expended during the course of a given week for the project, then of those 3,000 hours, 750 must be worked by residents; if residents worked only 650 hours, and the contractor showed no good faith efforts, then penalties would be due in the amount of $45.00 multiplied by the 100-hour shortfall, or $4500.00), assessed upon completion of the project and payable to the San Francisco Housing Authority upon demand, or set off from amounts owed for work on the project; or (3) breach of contract; and/or (4) termination of the contract. In addition, penalties will be regarded by the SFHA as poor past performance and may be grounds for determining a contractor to be nonresponsible and ineligible for award of future contracts.

2. The Executive Director will use Section 3 provisions to grant preference for contracting opportunities for Section 3 business concerns; provide other training and employment related opportunities to low income people; and provide other business related economic opportunities that expand Section 3 businesses, including micro-enterprises.

3. This resolution supersedes and replaces Determination and Order Number D-109 of Resolution Number 4604 adopted 4/19/97 and compliments Resolution Number 4886 adopted 4/27/00 and Resolution Number 4908 adopted 6/22/00.

APPROVED AS TO FORM AND LEGALITY: REVIEWED BY:

[Signatures]

CARL L. WILLIAMS, GENERAL COUNSEL

RONNIE DAVIS, EXECUTIVE DIRECTOR

Date 2-16-01

Date 2-16-01