

**REQUEST FOR PROPOSALS (RFP) # 030718**  
**Legal Services**



**LICKING METROPOLITAN HOUSING AUTHORITY**

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### INTRODUCTION

The Licking Metropolitan Housing Authority (LMHA) is a public entity that was formed in 1971 to provide federally subsidized housing and housing assistance to low-income families within Licking County, OH. The LMHA is headed by an Executive Director (ED) and is governed by a five-person board of commissioners and is subject to the requirements of Title 24 of the Code of Federal Regulations (hereinafter, "CFR") and the Agency's procurement policy. Though brought into existence by a Resolution of the County, it is a separate entity from the County.

The LMHA owns and/or manages: Conventional Public Housing Hi-Rise totaling 99 units; administers a total of 1030 Housing Choice Vouchers; 54 Shelter Plus Care Vouchers; 5 HUD VASH Vouchers and HUD Public Housing Modernization/Capital Fund Program annual grants and other grants. The LMHA provides housing to low-income families and individuals. The LMHA currently has 12 employees.

In keeping with its mandate to provide efficient and effective services, the LMHA is now soliciting proposals from qualified, licensed and insured entities to provide the above noted services to the LMHA. All proposals submitted in response to this solicitation must conform to all of the requirements and specifications outlined within this document and any designated attachments in its entirety.

### RFP INFORMATION AT A GLANCE

LMHA CONTACT PERSON "Contracting Officer"	Nancy Brown, Executive Assistant Telephone: (740)349-8069 ext. 231 E-mail: <a href="mailto:nbrown@lickingmha.org">nbrown@lickingmha.org</a> TDD/TTY: (800)750-0750
HOW TO OBTAIN THE RFP DOCUMENTS ON THE APPLICABLE INTERNET SITE	1. Access <a href="http://www.lickingmha.org">www.lickingmha.org</a> 2. Click on the Procurement Tab 3. Click on the links to download the documents. You may also email <a href="mailto:nbrown@lickingmha.org">nbrown@lickingmha.org</a> to obtain the documents via email.
PRE-PROPOSAL CONFERENCE	NONE
DEADLINE TO SUBMIT QUESTIONS	Thursday, May 31, 2018, 4:00 p.m.
HOW TO FULLY RESPOND TO THIS RFP BY SUBMITTING A PROPOSAL	1. As directed within <b>Section IV</b> of the RFP document, submit certain required financial information to <a href="mailto:nbrown@lickingmha.org">nbrown@lickingmha.org</a> no later than <b>Monday, June 11, 2018</b> . 2. As instructed within <b>Section III</b> of the RFP document, submit 3 copies of your "hard copy" proposal to the LMHA Administrative Office.
PROPOSAL SUBMITAL RETURN & DEADLINE	<b>Monday, June 11, 2018 no later than 4:00 p.m.</b> Administrative Office 144 West Main Street, Newark, OH 43055 *(The proposed costs must be submitted to the aforementioned e-mail address and the "hard copy" proposal must be received in-hand and time-stamped by the LMHA by no later than 3:00 p.m. on this date).

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### I. LMHA'S RESERVATION OF RIGHTS: The LMHA reserves the right to:

1. **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 LMHA to be in its best interests.
2. **Right to Not Award:** Not to award a contract pursuant to this RFP.
3. **Right to Terminate:** Terminate a contract awarded pursuant to this RFP, at any time for its convenience upon 10 days written notice to the successful proposer(s).
4. **Right to Determine Time and Location:** Determine the days, hours and locations that the successful proposer(s) shall provide the services called for in this RFP.
5. **Right to Retain Proposals:** Retain all proposals submitted and not permit withdrawal for a period of 60 days subsequent to the deadline for receiving proposals without the written consent of the LMHA Contracting Officer (CO).
6. **Right to Negotiate:** Negotiate the fees proposed by the proposer entity.
7. **Right to Reject any Proposal:** Reject and not consider any proposal that does not meet the requirements of this RFP, including but not limited to incomplete proposals and/or proposals offering alternate or non-requested services.
8. **No Obligation to Compensate:** Have no obligation to compensate any proposer for any costs incurred in responding to this RFP.
9. **Right to Prohibit:** At any time during the RFP or contract process to prohibit any further participation by a proposer or reject any proposal submitted that does not conform to any of the requirements detailed herein. 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 CO in writing within 5 days of the discovery of any item listed herein or of any item that is issued thereafter by the LMHA that he/she feels needs to be addressed. Failure to abide by this time frame shall relieve the LMHA, but not the prospective proposer, of any responsibility pertaining to such issue.
10. **Right to Reject – Obtaining Competitive Solicitation Documents:** Documents may be obtained at the LMHA website [www.lickingmha.org](http://www.lickingmha.org) under the Procurement Tab or by requesting the documents via e-mail at [nbrown@lickingmha.org](mailto:nbrown@lickingmha.org) these are the only official and appropriate venues to obtain the competitive solicitation documents (and any other information pertaining to the competitive solicitation such as addendum). Accordingly, by submitting a response to this competitive solicitation the respondent thereby affirms that he/she obtained all information at the two sites mentioned above. Any other group such as a bid depository that informs potential respondents of the availability of such competitive solicitations are hereby instructed to not distribute these documents to any such potential respondents, but to instruct the potential respondents to obtain the documents as stated above.

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**II. SCOPE OF WORK/TECHNICAL SPECIFICATIONS:** The LMHA is seeking proposals from qualified and licensed entities to provide the LMHA with the following detailed services:

- 1. Special Conditions pertaining to this RFP:** The LMHA reserves the right to, at any time during the ensuing contract period(s), complete award to different firms for the different services we require, especially for our local legal issues and our HUD-related issues. Please see the following Sections II 8. and IV 3. a-d herein for more information as to how such potential multiple awards will be accomplished.
- 2. General Requirements:** The LMHA is seeking proposals from qualified, licensed, and insured entities to provide a wide range of legal services. These services are a necessary supplement to the daily operation of the LMHA. The successful proposer shall be the legal advisor to the LMHA Board of Commissioners (BOC) and the LMHA Executive Director (ED) and services include, but are not limited to, the following:
  - a. Review of BOC meeting agendas as needed; compliance with the State of Ohio Open Meeting Law; governance requirements contained in the relevant Code of Federal Regulations (CFR), LMHA policies and procedures and By-laws and actions that will put the LMHA at risk for liability exposure.
  - b. Regulations pertaining to Federal, State and local government, including housing, real estate, procurement and contractual issues.
  - c. Civil rights and fair housing requirements, including claims involving violations of the Civil Rights Act of 1964, the Rehabilitation Act of 1973 and the Americans with Disabilities Act (ADA).
  - d. Employment issues, including personnel rules; discrimination and wrongful termination claims; worker's compensation and compliance with OSHA requirements.
  - e. The LMHA shall retain the right to have the successful proposer provide services in any matter that the LMHA believes the legal firm is qualified to provide and if, in the opinion of the ED, it is in the best interests of the LMHA to do so.
  - f. The successful proposer will only be providing work pertaining to legal issues commonly addressed by a legal counsel and the successful proposer will not be requested to provide any non-legal program work such as those commonly provided by professional services consulting firms.
- 3. Potential Service Areas:** As may be further detailed herein, the LMHA may, on an as-needed basis, require the successful proposer to provide services pertaining to LMHA-related matters within the following areas, each pertaining to applicable Federal, State and local regulations, statutes, laws and codes:
  - a. Human Resources and Labor Law;
  - b. Accounting, Finance and related audits;
  - c. Operations, including Tenant/Landlord Law;

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- d. Maintenance;
- e. Development and Modernization;
- f. Information Technology;
- g. Housing Programs;
- h. Housing Choice Voucher;
- i. U.S. Department of Housing and Urban Development (HUD);
- j. Real Estate and Tax Credit;
- k. Tenant-related issues, including non-payment and evictions;
- l. Worker's Compensation claims;
- m. Procurement law (State; Federal; HUD); and
- n. Any other matter the LMHA needs services for, including advice (written and/or verbal) to the Board of Commissioners, the Executive Director, or any other person (including LMHA staff) as directed by the LMHA Executive Director.

**4. Preceding Listed Services not All-Inclusive:** Please note that the preceding is not intended to be an all-inclusive listing of all of the legal issues that the LMHA may retain the successful proposer to provide, but is intended to be a representative listing of issues that the LMHA has previously required such services for.

- a. **Additional Legal Counsel.** If the successful proposer does not have in-house a qualified person to provide any services required by the LMHA, the successful proposer may retain another counsel who has such qualified person. Such retention must have the prior written approval of the LMHA. Any billing/payment for such additional counsel will be at the same hourly rate listed within the contract (meaning, the successful proposer may not add-on an additional amount to the contracted hourly fee for retaining and overseeing such additional counsel). As the LMHA will contract with the successful proposer only, all ensuing payments for any contracted matter will be made by the LMHA to the successful proposer only.
- b. **Potential Multiple Awards.** The LMHA reserves the rights to, at any time during the ensuing contract period(s), make an additional award to another firm that has responded to this RFP with a proposal submittal. The LMHA reserves the right to make additional awards during the initial contract period.
- c. **Potential Additional Competitive Solicitations.** The LMHA reserves the right to, at any time during the ensuing contract period, and without penalty to the legal counsel retained as a result of this RFP, conduct additional competitive solicitations to retain additional legal counsel when, in the opinion of the ED, it is in the best interests of the LMHA to do so. Accordingly, the legal counsel retained as a result of this RFP shall have the right to also respond to any such additional solicitation process, if conducted.

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5. **Current Contractors:** The LMHA's current contractors for these services are: O'Toole, McLaughlin, Dooley & Pecora Co., LPA, of Sheffield Village, Ohio and Fishel Hass Kim Albrecht, LLP of Columbus, Ohio who were retained in May 2015, pursuant to RFP No. 100214(Rev-1).

### III. PROPOSAL FORMAT:

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

**Tab 1: Form of Proposal:** This Form is attached hereto as Attachment A to this RFP document. This 1-page Form must be fully completed, executed where provided thereon and submitted under this tab as a part of the proposal submittal.

**Tab 2: Form HUD-5369-C (8/93), Certifications and Representations of Offerors, Non-Construction Contract:** This Form is attached hereto as Attachment B to this RFP document. This 2-page Form must be fully completed, executed where provided thereon and submitted under this tab as a part of the proposal submittal.

**Tab 3: Profile of Firm Form:** The Profile of Firm Form is attached hereto as Attachment C to this RFP document. This 2-page Form must be fully completed, executed where provided, and submitted under this tab as a part of the proposal submittal.

**Tab 4: Proposed Services:** As more fully detailed within Section II, *Scope of Proposal/Technical Specifications*, of this document, the proposer shall, at a minimum, clearly detail within the information submitted under this tab documentation showing:

- As detailed within Section VII., Evaluation Factor No. 2, herein, the proposer’s Demonstrated Understanding of the LMHA’s Requirements.
- As detailed within Section VII, Evaluation Factor No. 3, herein, the proposer’s Technical Approach (including, if appropriate, labor categories, estimated hours and skill mix) and the proposer’s proposed Work Plan, including methodology of fact finding and planning, to provide the required services; and a proposed schedule to complete the work.
- As detailed within Section VII, Evaluation Factor No. 4, herein, the proposer’s Technical Capabilities (in terms of personnel, equipment and materials) and Management Plan (including staffing of key positions, method of assigning work and procedures for maintaining level of service, etc.).
- As detailed within Section VII, Evaluation Factor No. 5, herein, the proposer’s Demonstrated Experience in performing similar work and the proposer’s Demonstrated Successful Past Performance (including meeting costs, schedules and performance requirements) of contract work substantially similar to that required by this solicitation.
- If appropriate, how staff are retained, screened, trained, and monitored.
- The proposed quality control program.
- An explanation and copies of forms that will be used and reports that will be submitted and the method of such reports (i.e. written; fax; internet; etc.).
- A complete description of the products and services the firms provides.



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**Tab 5: Managerial Capacity/Financial Viability:** The proposer entity must submit under this tab a concise description of its managerial and financial capacity to deliver the proposed services, including brief professional resumes for the persons identified within areas (5) and (6) of Attachment C, *Profile of Firm Form*. 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) and a copy of the firm's most recent audited financial report or a simple profit and loss statement.

**Tab 6: Client Information:** The proposer shall submit a listing of former or current clients, including Public Housing Authorities, for whom the proposer has performed similar or like services to those being proposed herein. The listing shall, at a minimum, include:

- The client's name;
- The client's contact name;
- The client's telephone number;
- A brief narrative description and scope of the service(s) and the dates the services were provided.

**Tab 7: Equal Employment Opportunity/Supplier Diversity:** The bidder 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 Section 3.6 herein pertaining to supplier diversity (e.g. small, minority-, and women-owned businesses).

**Tab 8: Subcontractor/Joint Venture Information (Optional Item):** The proposer shall identify hereunder whether or not he/she intends to use any subcontractors for this job, if awarded, and/or if the proposal is a joint venture with another firm. Please remember that all information required from the proposer under the proceeding tabs must also be included for any major subcontractors (10% or more) or from any joint venture.

**Tab 9: Section 3 Business Preference Documentation (Optional Item):** For any proposer claiming a Section 3 Business Preference, he/she shall under this tab include the fully completed and executed Section 3 Business Preference Certification Form attached hereto as Attachment D and any documentation required by that form.

**Tab 10: Other Information (Optional Item):** The proposer may include hereunder any other general information that the proposer believes is appropriate to assist the LMHA in its evaluation.

**No Information Placed under a Tab:** If no information is to be placed under any of the above noted tabs (especially the "Optional" tabs), place a statement such as "NO INFORMATION IS BEING PLACED UNDER THIS TAB" or "THIS TAB LEFT INTENTIONALLY BLANK." DO NOT 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 LMHA can, if needed, remove the binding (i.e. "comb-type;" etc.) or remove the pages from the cover (i.e. 3-ring binder; etc.) to make copies, and then conveniently return the proposal submittal to its original condition.

**IV. ENTRY OF PROPOSED FEES:**

1. **The proposed fees shall be submitted by the proposer and received by the LMHA via email to nbrown@lickingmha.org. Do not submit, enter or refer to any fees or costs within the 10-tab “hard copy” proposal submittal detailed within Section III any proposer that does so may, at the LMHA’s discretion, be rejected without further consideration.**
2. Unless otherwise stated, 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; and document copying not specifically agreed to by the LMHA; etc.

[Table 1]

Item Number	Quantity	Unit of Measure	Description
1	100	Hours	Partner (Per Hour), including clerical
2	10	Hours	Associate (Per Hour), including clerical
3	10	Hours	Paralegal (Per Hour), including clerical

3. Additional Information pertaining to the Pricing Items:
  - a. **Quantities:** All quantities entered by the LMHA herein are for calculating purposes only. As may be further detailed herein, the LMHA does not guarantee any minimum or maximum amount of work as a result of any award ensuing from this RFP, as the ensuing contract will be a Requirements Contract, in that the LMHA shall retain one contractor only and shall retain the right to order from that contractor (successful proposer), on a task order basis, any amount of services the LMHA requires. Please note the immediate following exception to the aforementioned “Requirements Contract” language.
  - b. **Exception:** Though the LMHA anticipates that it will make award to one firm only, the LMHA retains the right to, at any time during the ensuing contract period(s), complete award to more than one contractor if the LMHA determines that such is in its best interests. If such occurs, the ensuing contract(s) awards shall become an Indefinite Quantities Contract (IQC), and the following clause shall apply:
    - i. **Guaranteed Contract Minimum Amount and Not-to-exceed Maximum Amount:** As may be further detailed herein, most specifically within Exception Section above, if the ensuing contract becomes an Indefinite Quantities Contract (IQC), which, pursuant to HUD regulation, requires the LMHA to award to each responsive and responsible contractor a Guaranteed Contract Minimum Amount (GCMA) and a Not-to-exceed Maximum Contract Amount (NMCA) of work, those required minimum and maximum contract levels are: (a) GCMA: \$2,000; (b) NMCA: \$200,000 (each shall be annual amounts).
    - ii. **Quantities Listed within Table 1:** We based the quantities listed within the preceding [Table1] herein loosely on our past usage. During the past 3 years we have averaged approximately \$9,426/year on legal services.

**IMPORTANT NOTICE!!! Entry of Costs:** Proposers must submit, a cost for each and every Pricing Item detailed within the preceding [Table 1] herein. Any proposer that chooses to not enter a cost for any or all of the Lots will be automatically deemed nonresponsive and his/her proposal will NOT be considered.

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- c. **Realistic Cost for each Pricing Item:** Each proposer is strongly encouraged to enter a realistic cost for each Pricing Item, especially the hourly fees required. For example, if the successful proposer enters \$1.00 per hour for any hourly fee Pricing Item (proposers typically do so in an effort to improve their position in regards to Evaluation Factor No. 1, as detailed within the following Table No. 6 herein), then the \$1.00 per hour is what the successful proposer will charge the LMHA for any work that the LMHA may retain the successful proposer to provide if the LMHA deems such retention is in the LMHA's best interests to do so. Accordingly, it is the LMHA's opinion that it is very much in the best interests of the proposer to propose a realistic hourly fee for each Pricing Item. If, despite this warning, the successful proposer proposes an hourly fee that the LMHA deems is not realistic, then the LMHA reserves the right to require the successful proposer to, at contract execution, present a cash bond in a suitable amount (e.g. \$5,000.00, which the LMHA will hold during the term of the ensuing contract period) to ensure that the successful proposer will fulfill his/her obligation in this matter.
- d. **Pricing Items No. 1-3, Partner, Associate, and Paralegal:** Each proposer must submit a reasonable cost for each service level. For any proposer that does not currently have an Associate or Paralegal in their firm, such proposer still must enter a reasonable cost for those services (it would even be acceptable to enter the same cost for each level of service—however, such is the proposer's choice).
- e. **Price Escalation:** Pertaining to the ensuing contract, there shall be no escalation of the proposed unit costs allowed at any time during the awarded contract periods. The successful proposer guarantees, by submitting a proposal, that he/she will hold all proposed costs for a period of 2 years. For the 3<sup>rd</sup>-year contract period, if the successful proposer chooses to not hold or guarantee the originally proposed costs, the LMHA will not force the successful proposer to renew the contract at the original pricing but will conduct a new competitive solicitation process, which the successful proposer may respond to (unless otherwise barred by the LMHA for default or poor performance or other similar cause); and the successful proposer may reject such extension by delivery to the LMHA of a written notice delivered to the CO at least 120 days prior to the end of the contract period.
- f. **Prior LMHA Approval Required:** Please note that the successful proposer shall NOT conduct any work without the prior written authorization of the LMHA representative (this "prior written authorization" may take the form of an e-mail sent to the successful proposer by the LMHA and acknowledged by return e-mail by the successful proposer). Failure to abide by this directive shall release the LMHA of any obligation to pay the successful proposer for any work conducted without the noted prior written authorization.
- g. **Overtime:** Pursuant to the Contract Work Hours and Safety Standards Act, overtime shall not be less than time and one-half for hours worked in excess of 40 hours per week. The LMHA shall consider regular-time to be Monday-Thursday (excluding holidays), 7:00am – 5:30pm. Accordingly, the LMHA will pay a rate of 1.5 of the listed hourly rates for any work the LMHA requires the successful proposer to perform specifically during non-regular-time hours (the LMHA shall NOT be responsible to pay the successful proposer for any work that the successful proposer CHOOSES to work during non-regular-time hours, only such hours that the LMHA gives prior approval for).

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- h. The LMHA shall NOT be responsible to pay the successful proposer for any work that the successful proposer CHOOSES to work during non-regular-time hours; meaning, if the necessity for the work “after hours” is due to, for example, the Contractor’s lack of staffing or due to other work that the Contractor may have with other clients, the LMHA expects that such work will be provided during normal work hours.
- i. **No Retainer:** The LMHA will NOT pay any retainer fees as a result of award of the ensuing contract. This means that the LMHA will pay the successful proposer(s) for actual hours worked only. The Contractor will be required to submit a full back-up detail of all hours worked, listed by no less than the “10-minute” standard.

**V. PROPOSAL SUBMISSION:**

All proposals must be submitted and time-stamped received in the designated LMHA office by no later than the submittal deadline stated herein (or within any ensuing addendum). A total of 1 original signature copy (marked "ORIGINAL") and 2 exact copies (each of the 3 separate proposal submittals shall have a cover and extending tabs) of the proposal submittal, shall be placed unfolded in a sealed package and addressed to:

**Licking Metropolitan Housing Authority  
Administrative Offices  
Attention: Nancy Brown, Executive Assistant  
144 West Main Street  
Newark, Ohio 43055**

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.

- a. **Submission Conditions:** DO NOT FOLD OR MAKE ANY ADDITIONAL MARKS, NOTATIONS OR REQUIREMENTS ON THE DOCUMENTS TO BE SUBMITTED! Proposers are not allowed to change any requirements or forms contained herein, either by making or entering onto these documents or the documents submitted any revisions or additions; and if any such additional marks, notations or requirements are entered on any of the documents that are submitted to the LMHA by the proposer, such may invalidate that proposal. If, after accepting such a proposal, the LMHA decides that any such entry has not changed the intent of the proposal that the LMHA intended to receive, the LMHA may accept the proposal and the proposal shall be considered by the LMHA as if those additional marks, notations or requirements were not entered on such. By accessing the noted Internet System, registering and downloading these documents, each prospective proposer that does so is thereby agreeing to confirm all notices that the LMHA 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.
- b. **Submission Responsibilities:** It shall be the responsibility of each proposer to be aware of and to abide by all dates, times, conditions, requirements and specifications set forth within all applicable documents issued by the LMHA, including the RFP document, the documents listed within the following Section VI 6. a - 1, and any addenda and required attachments submitted by the proposer. By virtue of completing, signing and submitting the completed documents, the proposer is stating his/her agreement to comply with the all conditions and requirements set

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forth within those documents. Written notice from the proposer not authorized in writing by the CO to exclude any of the LMHA requirements contained within the documents may cause that proposer to not be considered for award.

- c. **Proposer's Responsibilities - Contact with the LMHA:** It is the responsibility of the proposer to address all communication and correspondence pertaining to this RFP process to the CO only. Proposers must not make inquiry or communicate with any other LMHA staff member or official (including members of the Board of Commissioners) pertaining to this RFP. Failure to abide by this requirement may be cause for the LMHA to not consider a proposal submittal received from any proposer who may have not abided by this directive.
- d. **Addendums:** All questions and requests for information must be addressed in writing to the CO. The CO 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 CO will NOT conduct any *ex parte* (a substantive conversation - "substantive" meaning, when decisions pertaining to the RFP are made - between the LMHA 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 CO - 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 CO may not respond to the prospective proposer's inquiries but will direct him/her to submit such inquiry in writing so that the CO may more fairly respond to all prospective proposers in writing by addendum.

### VI. **PROPOSERS RESPONSIBILITIES - Equal Employment Opportunity and Supplier Diversity:**

Both the Contractor and the LMHA have, pursuant to HUD regulation, certain responsibilities pertaining to the hiring and retention of personnel and subcontractors.

- 1. Within **24 CFR 85.36(e)** it states:
  - a. (e) Contracting with small and minority firms, women's business enterprise and labor surplus area firms.
  - b. (1) The grantee and subgrantee will take all necessary affirmative steps to assure that minority firms, women's business enterprises, and labor surplus area firms are used when possible.
  - c. (2) Affirmative steps shall include:
    - d. (i) Placing qualified small and minority businesses and women's business enterprises on solicitation lists;
    - e. (ii) Assuring that small and minority businesses, and women's business enterprises are solicited whenever they are potential sources;
    - f. (iii) 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;

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- g. (iv) Establishing delivery schedules, where the requirement permits, which encourage participation by small and minority business, and women's business enterprises;
  - h. (v) Using the services and assistance of the Small Business Administration, and the Minority Business Development LMHA of the Department of Commerce; and
  - i. (vi) Requiring the prime contractor, if subcontracts are to be let, to take the affirmative steps listed in paragraphs (e)(2) (i) through (v) of this section.
2. 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 <LMHA> shall make every effort to ensure that small businesses, MBEs, WBEs, and labor surplus area businesses participate in <LMHA> contracting.
  - b. Section 15.5.B, Goals. <The LMHA> 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.
3. Within our **LMHA Procurement Policy** it states that LMHA will Provide Assistance to Small and Other Business, Required Efforts:
- a. Including such firms, when qualified, on solicitation mailing lists;
  - b. Encouraging their participation through direct solicitation of bids or proposals whenever they are potential sources;
  - c. Dividing total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by such firms;
  - d. Establishing delivery schedules, where the requirement permits, which encourage participation by such firms;
  - e. Using the services and assistance of the Small Business Administration, and the Minority Business Development Agency of the Department of Commerce;
  - f. 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 business concerns which provide opportunities to low-income residents, as described in 24 CFR Part 135 (so-called Section 3 businesses); and
  - g. Requiring prime contractors, when subcontracting is anticipated, to take the positive steps listed above.

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- 4 Requirements:** Accordingly, please see Section III, Tab 7 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.
- 5 Pre-proposal Conference:** No pre-proposal conference is scheduled pertaining to this RFP.
- 6 Recap of Attachments.** It is the responsibility of each proposer to verify that he/she has downloaded the following attachments pertaining to this RFP, which are hereby by reference included as a part of this RFP:

**This RFP Document**

**Attachment A:** Form or Proposal

**Attachment B:** HUD-5369-C (8/93), Certification and Representations of Offerors, Non-Construction Contract

**Attachment C:** Profile of Firm

**Attachment D:** Section 3 Submittal Form

**Attachment D-1:** Section 3 Explanation

**Attachment E:** HUD-5369-B (8/93), Instructions to Offerors, Non-Construction

**Attachment F:** LMHA Supplemental Instructions To Proposers & Contractors

**Attachment G:** LMHA Sample Contract \*LMHA reserves the right to revise any clause herein and/or to include within the ensuing contract any additional clauses that the LMHA feels it is in its best interest to do so\*.

**Attachment G-1:** LMHA Sample Contract Appendix 1: HUD 5370-C (1/2014), General Conditions for Non-Construction Contracts Section I (With or without Maintenance Work)

**Attachment G-2:** LMHA Sample Contract Appendix 2: Section 3 Plan

**Attachment H:** LMHA Profile of Properties

**VII. PROPOSAL EVALUATION:**

1. Evaluation Factors: The following factors will be utilized by the LMHA 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:

[Table 2]

<b>NO.</b>	<b>MAX POINT VALUE</b>	<b>FACTOR TYPE</b>	<b>FACTOR DESCRIPTION</b>
<b>1</b>	<b>20 points</b>	<b>Objective</b>	The <b>PROPOSED COSTS</b> the proposer proposes to charge the LMHA.
<b>2</b>	<b>10 points</b>	<b>Subjective (Technical)</b>	The proposer's <b>DEMONSTRATED UNDERSTANDING of the LMHA'S REQUIREMENT.</b>
<b>3</b>	<b>10 points</b>	<b>Subjective (Technical)</b>	The <b>APPROPRIATENESS</b> of the <b>TECHNICAL APPROACH</b> and the <b>QUALITY</b> of the <b>SERVICES PROPOSED.</b>
<b>4</b>	<b>20 points</b>	<b>Subjective (Technical)</b>	The proposer's <b>TECHNICAL CAPABILITIES</b> (in terms of personnel) and the <b>MANAGEMENT PLAN</b> (including the ability to provide the services detailed herein).
<b>5</b>	<b>30 points</b>	<b>Subjective (Technical)</b>	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. (NOTE: The LMHA will place particular emphasis on the proposer's above described EXPERIENCE and PAST PERFORMANCE with HUD-related work).
<b>6</b>	<b>10 points</b>	<b>Subjective (Technical)</b>	The <b>OVERALL QUALITY</b> and <b>PROFESSIONAL APPEARANCE OF THE PROPOSAL SUBMITTED</b> , based upon the opinion of the evaluators.
	<b>100 points</b>	<b>100 points</b>	<b>Total Points (other than preference points)</b>



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

[Table 3]

NO.	MAX POINT VALUE	FACTOR TYPE	FACTOR DESCRIPTION
7		Objective	<b>SECTION 3 BUSINESS PREFERENCE PARTICIPATION.</b> A firm may qualify for Section 3 status as detailed within Attachments D and D-1 (NOTE: A max of 15 points awarded).
7a	15 points		<b>Priority I, Category 1a.</b> Business concerns that are 51 percent or more owned by residents of the housing development or developments for which the Section 3-covered assistance is expended.
7b	13 points		<b>Priority II, Category 1b.</b> Business concerns whose workforce includes 30 percent of residents of the housing development for which the Section 3-covered assistance is expended, or within three (3) years of the date of first employment with the business concern, were residents of the Section 3-covered housing development.
7c	11 points		<b>Priority III, Category 2a.</b> Business concerns that are 51 percent or more owned by residents of any other housing development or developments.
7d	9 points		<b>Priority IV, Category 2b.</b> Business concerns whose workforce includes 30 percent of residents of any other public housing development or developments, or within three (3) years of the date of first employment with the business concern, were “Section 3” residents of any other public housing development.
7e	7 points		<b>Priority V, Category 3.</b> Business concerns participating in HUD Youthbuild programs being carried out in the metropolitan area in which the Section 3-covered assistance is expended.
7f	5 points		<b>Priority VI, Category 4a.</b> Business concerns that are 51 percent or more owned by Section 3 residents in the metropolitan area, or whose permanent, full-time workforce includes no less than 30 percent of Section 3 residents in the metropolitan area, or within three (3) years of the date of employment with the business concern, were Section 3 residents in the metropolitan area.
7g	3 points		<b>Priority VII, Category 4b.</b> Business concerns that subcontract in excess of 25 percent of the total amount of subcontracts to Section 3 business concerns.
7h	15 points		<b>Maximum Available Preference Points (Additional)</b>
	115 points	<b>Total Possible Points</b>	

**3. Evaluation Method:**

- a. Initial Evaluation for Responsiveness: Each proposal received will first be evaluated for responsiveness (i.e. meets the minimum of the requirements).
- b. **Evaluation Packet: An evaluation packet will be prepared for each evaluator, 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.
- c. **Evaluation Committee.** The LMHA 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. As detailed within Section 3.4 of this document, the designated CO is the only person at the LMHA 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.
- d. **Evaluation:** The CO will evaluate and award points pertaining to Evaluation Factors No. 1 and 7 (the “Objective” Factors). The appointed evaluation committee, independent of the CO or any other person at the LMHA, shall evaluate the responsive proposals submitted and award points pertaining to Evaluation Factors No. 2, 3, 4, 5 and 6 (the “Subjective” Factors). Upon final completion of the proposal evaluation process, the evaluation committee will forward the completed evaluations to the CO.
- e. **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 VII 1.):

[Table 4]

Points Awarded Range						
Classification*	Rating	%	10	20	30	100**
Acceptable	Excellent	95%/+	10	19-20	29-30	95-100
Acceptable	Very Good	90%/+	9	18	27-28	90-94
Potentially Acceptable	Good	80%/+	8	16-17	24-26	80-89
Potentially Acceptable	Average	70%/+	7	14-15	21-23	70-79
Unacceptable	Poor	<70%	0-6	0-13	0-22	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.

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- f. **Potential “Best and Finals” Negotiations:** The LMHA 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 LMHA in a timely manner as possible, but in any case within no longer than 5 days after the beginning of such negotiations with the firms deemed to be in the competitive range.
- g. **Determination of Top-ranked Proposer:** The points awarded by the evaluation committee shall be combined with the points awarded by the CO to determine the final rankings, which shall be forwarded by the CO to the ED for approval. If the evaluation was performed to the satisfaction of the ED, the final rankings will be forwarded to the Housing Authority Board of Commissioners (BOC) at a scheduled meeting for approval. Contract negotiations may, at the LMHA's option, be conducted prior to or after the BOC approval.
  - 1. **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 115 total possible points detailed within Section 4.1 herein).
  - 2. **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.”
- h. **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:
  - 1. Which proposer received the award
  - 2. Where each proposer placed in the process as a result of the evaluation of the proposals received;
  - 3. The cost or financial offers received from each proposer;
  - 4. Each proposer’s right to a debriefing and to protest.
- i. **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 LMHA evaluation committee. Similarly, all persons having ownership interest in and/or contract with a proposer entity will be excluded from participation on the LMHA evaluation committee.

### VIII. **CONTRACT AWARD (Contract Award Procedure: If a contract is awarded pursuant to this RFP, the following procedures will be followed):**

- 1. By completing, executing and submitting the Form of Proposal, Attachment A, the “proposer is thereby agreeing to abide by all terms and conditions pertaining to this RFP as issued by the LMHA, including the contract clauses already attached as Attachment G, G-1, and G-2. Accordingly, the LMHA has no responsibility to conduct after the submittal deadline any negotiations pertaining to the contract clauses already published.

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2. **Contract Conditions:** The following provisions are considered mandatory conditions of any contract award made by the LMHA pursuant to this RFP:
3. **Contract Form:** The LMHA will not execute a contract on the successful proposer's form—contracts will only be executed on the LMHA form (please see Sample Contract, Attachments G, G-1, and G-2), and by submitting a proposal the successful proposer agrees to do so (please note that the LMHA reserves the right to amend this form as the LMHA deems necessary). However, the LMHA will during the RFP process (prior to the submittal deadline) consider any contract clauses that the proposer wishes to include therein and submits in writing a request for the LMHA to do so; but the failure of the LMHA to include such clauses does not give the successful proposer the right to refuse to execute the LMHA's contract form. It is the responsibility of each prospective proposer to notify the LMHA, 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. The LMHA will consider and respond to such written correspondence, and if the prospective proposer is not willing to abide by the LMHA's response (decision), then that prospective proposer shall be deemed ineligible to submit a proposal.
4. **HUD Forms:** Please note that the LMHA 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.
5. **Assignment of Personnel:** The LMHA shall retain the right to demand and receive a change in personnel assigned to the work if the LMHA believes that such change is in the best interest of the LMHA and the completion of the contracted work.
6. **Unauthorized Sub-contracting Prohibited:** The successful proposer shall not assign any right, nor delegate any duty for the work proposed pursuant to this RFP (including, but not limited to, selling or transferring the contract) without the prior written consent of the CO. Any purported assignment of interest or delegation of duty, without the prior written consent of the CO shall be void and may result in the cancellation of the contract with the LMHA, or may result in the full or partial forfeiture of funds paid to the successful proposer as a result of the proposed contract; either as determined by the CO.
7. **Contract Period.** The LMHA anticipates that it will initially award a contract for the period of 1 year with the option, at the LMHA's discretion, of 2 additional one-year option periods, for a total maximum contract period of 3 years.

**IX. LICENSING AND INSURANCE REQUIREMENTS:** Prior to award (but not as a part of the proposal submission) the *successful proposer* will be required to provide:

1. **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);
2. **General Liability Insurance.** An original certificate evidencing General Liability coverage, naming the LMHA as an additional insured, together with the appropriate endorsement to said policy reflecting the addition of the LMHA 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

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person of \$5,000), with a commercially reasonable deductible (e.g. “commercially reasonable,” meaning at least 1% of the “general aggregate minimum” of the policy, with a maximum deductible amount of \$50,000;

3. **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 (e.g. “commercially reasonable,” meaning at least 1% of the “general aggregate minimum” of the policy, with a maximum deductible amount of \$50,000;
4. **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.
5. **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 Newark, Licking County, and/or the State of Ohio.
6. **Certificates/Profile of Firm Form:** Pertaining to the aforementioned (within Sections IX 1. - 5.) insurance certificates and licenses, each proposer is required to enter related information where provided for 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).
7. **Right to Negotiate Final Fees:** The LMHA shall retain the right to negotiate the amount of fees that are paid to the successful proposer, meaning the fees proposed by the top-rated proposer may, at the LMHA's options, be the basis for the beginning of negotiations. Such negotiations shall begin after the LMHA has chosen a top-rated proposer. If such negotiations are not, in the opinion of the CO successfully concluded within 5 business days, the LMHA shall retain the right to end such negotiations and begin negotiations with the next-rated proposer. The LMHA shall also retain the right to negotiate with and make an award to more than one proposer, as long as such negotiation(s) and/or award(s) are addressed in the above manner (i.e. top-rated first, then next-rated following until a successful negotiation is reached).
8. **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.
9. **Prompt Return of Contract Documents:** Any and all documents required to complete the contract, including contract signature by the successful proposers, shall be provided to the LMHA within 10 work days of notification by the LMHA.