



**Housing Authority of the City of Fort Myers
4224 Renaissance Preserve Way
Fort Myers, FL 33916**

**REQUEST FOR PROPOSALS (RFP) 2023-07
PROFESSIONAL FINANCIAL AUDIT SERVICES**

DATE ISSUED: August 15, 2023

DESCRIPTION: In compliance with 2 CFR 200, the Housing Authority of the City of Fort Myers (HACFM) hereby request quotes from qualified firms/independent professionals to provide Financial Auditing Services

CONTACT PERSON: Catherine Lamberg, Chief Operating Officer
CatherineL@hacfm.org

LAST DAY FOR QUESTIONS: Thursday, August 31, at 4:00 P.M. (EST)
QUESTIONS: All questions about the meaning or intent of the RFP documents are to be directed to Catherine Lamberg, e-mail: CatherineL@hacfm.org. Questions received less than ten (10) days prior to solicitation dues date may not be answered.

Only questions answered by formal written addenda will be binding. Oral and other interpretations or clarifications will be without legal effect.

SUBMISSION DEADLINE: HACFM will receive electronic submissions of Proposals on or before **September 12, 2023 @ 4:00 PM EST**. Proposals should be emailed to procurement@hacfm.org. Late submissions will not be accepted.

page

ADVERTISEMENT

Request For Proposal (RFP 23-07) Professional Financial Audit Services

The Housing Authority of the City of Fort Myers and its affiliates are accepting proposals from qualified CPA firms, independent professionals or Independent Public Accountants (IPAs) to conduct financial examinations and auditing services for two entities for FY 2023 ending March 31, 2024 and at the option of HACFM, subject to all necessary approvals, four (4) additional fiscal years 2024, 2025, 2026 and 2027).

Specifications and solicitation documents may be examined or obtained online at: <https://www.hacfm.org/doing-business/contracting-and-bidding-opportunities/> HACFM will receive electronic submissions of Proposals on or before **September 12, 2023@ 4:00 P.M.** EST. Proposals should be emailed to procurement@hacfm.org. Late submissions shall not be accepted.

The HACFM reserves the right to waive irregularities, to reject any or all proposals submitted, and to award the contract in the best interest of the Housing Authority. The HACFM is an Equal Opportunity Employer and a Drug Free Workplace.

HACFM encourages Minority and Section 3 participation. TTY # (800) 995-8771

TABLE OF CONTENTS

PART I — GENERAL INFORMATION

- 1.1 Introduction
- 1.2 Method of Solicitation
- 1.3 Obtain Copies of this Solicitation

PART II — SUPPLEMENTAL INSTRUCTIONS TO RESPONDENTS

- 2.1 Submission of Proposals
- 2.2 Interpretation/Questions
- 2.3 Addendum and Update Procedures for the RFP
- 2.4 Proposal Format
- 2.5 Insurance
- 2.6 Acceptance of Proposals
- 2.7 Time for Reviewing Proposals
- 2.8 Withdrawal of Proposals
- 2.9 Award of Contract
- 2.10 HUD Debarment and Suspension List
- 2.11 Certification of Legal Entity
- 2.12 Cost Borne by Respondent
- 2.13 Best Available Data
- 2.14 Contact with HACFM, Staff, Board Members and Residents
- 2.15 Licenses
- 2.16 Respondent Responsibilities
- 2.17 No Claim Against HACFM

PART III — SUBMISSION REQUIREMENTS

- 3.1 Company Information
- 3.2 Staffing and Qualifications
- 3.3 Relevant Experience and Past Performance
- 3.4 References
- 3.5 Respondent's Approach and Response to Scope of Services
- 3.6 Proposal Cost
- 3.7 Required Certifications/Forms

PART IV — SCOPE OF SERVICES

PART V — PROCUREMENT PROCESS

- 5.1 Proposal Evaluation/Contract Award
- 5.2 Evaluation Criteria
- 5.3 Summary of Evaluation Criteria

PART I — GENERAL INFORMATION

Introduction

In compliance with 2 CFR 200, the Housing Authority City of Fort Myers (HACFM) hereby request proposals from qualified firms/independent professionals, Independent Public Accountants (IPAs) to conduct financial examinations and audits of two entities for FY 2023 ending March 31, 2024, and at the option of HACFM, subject to all necessary approvals, four (4) additional fiscal years 2024, 2025, 2026 and 2027).

DESCRIPTION OF AUTHORITY

HACFM is a public housing authority established on June 22,1960 and created pursuant to Florida Statute 421. HACFM is not considered a component unit of any other entity. It operates under HUD established 2007 Operating Fund Rule that requires certain PHA's to report financial performance at the asset management project level (AMP) and fee for service to cover its Central Office Cost Center (COCC) outlays.

HACFM is governed by a seven-member Board of Commissioners that is appointed by the Mayor and City Council of the City of Fort Myers. The Board hires the Executive Director, establishes policies, approves contracts and sets the long-range goals for HAACFM. This Board is a dual serving Board for SWFLAHCF. HACFM operated under the 20007 Operating Fund Rule that requires certain PHA's to report financial performance at the asset management project level (AMP) and fee for service to cover its Central Office Cost Center (COCC) outlays.

Southwest Florida Affordable Housing Choice Foundation, Inc. (SWFLAHCF) is a 501(c)(3) corporation that develops affordable housing and is considered a component unit of the Housing Authority.

There is an Executive Director and Director of Finance. The Senior Advisor has the Treasury function and oversight. The agency employs approximately 60 persons and the 03/31/2023 audit is currently underway.

PROGRAM/PROPERTY SUMMARY

Proprietary Fund:

- **Low Income Public Housing**
Southward Village: 1 community/administration building and 195 family units
Bonair Towers: 101 elderly units
Royal Palm Towers: 101 elderly units
Horizons Apartments: 170 family units

- **Housing Choice Voucher Program**

HACFM currently administers 2421 Conventional, VASH and Project Based Section 8 vouchers, 200 Mainstream Vouchers, 86 Emergency Housing Vouchers. In addition, HACFM was also issued Tenant Protection Vouchers.

Grants

Capital Fund Programs

ROSS FSS Grant

ROSS Grant

ROSS Jobs Plus Grant

CNI (URP) Grant

County Grant

CNI Supplemental Grant

FEMA

Housing Management Arm (SWFLHM)

- Manages the LIHTC properties and employees are leased

Discretely Presented Component Unit

- **LIHTC**

HACFM is a general partner in seven LIHTC partnerships. HACFM is a managing partner in some of the partnerships.

Blended Component Unit

- Non-Profit with Five (5) self-managed properties

1.2 Method of Solicitation

HACFM is soliciting competitive proposals from qualified firms with a documented track record of providing the required services through a formal Request for Proposal (RFP) process. Proposals should demonstrate detailed plans on how the respondent intends to provide the required services in a manner that will result in the successful and timely completion of the service(s). In addition, the proposal should demonstrate the respondent's capacity and readiness to perform the Scope of Services immediately upon execution of a contract with HACFM. Finally, the proposal should include evidence of the respondent's previous experience and qualifications relative to the provision of such services.

1.3 Obtain Copies of this Solicitation

The RFP package may be obtained, at no cost, by visiting the HACFM website at: <https://www.hacfm.org/doing-business/contracting-and-bidding-opportunities/>

PART II — SUPPLEMENTAL INSTRUCTIONS TO RESPONDENTS

2.1 Submission of Proposals

Offerors should submit their proposal via email to procurement@hacfm.org. Proposals must be dated and signed by an official of the company. The email date and time stamp shall serve as the official receipt and late submissions shall not be accepted. Refer to form HUD 5369-B, Section 6 regarding late submissions and withdrawals.

IMPORTANT: Please be sure to label the email Subject Line as follows: "**Financial Audit Services (RFP 2023-07) - DEADLINE Thursday, September 12, 2023, at 4:00 p.m. (EST)**". Proposals should be emailed to procurement@hacfm.org.

Submittals received after deadline date and time will be determined unacceptable and remain unopened. Refer to form **HUD 5369-B, Section 6** regarding late submissions and withdrawals.

2.2 Interpretations/Questions

During the period between issuance of this RFP and the proposal due date, no oral interpretation of the RFP's requirements will be given to any prospective respondent. Requests for interpretation must be made, in writing, at least 10 days before the submission due date and time via email to: CatherineL@hacfm.org.

2.3 Addendum and Update Procedures for the RFP

During the period of advertisement for this RFP, HACFM may wish to amend, add to, or delete from, the contents of this RFP. In such situations, HACFM will issue an addendum to the RFP setting forth the nature of the modification(s). All ADDENDUMS shall be placed on the HACFM website. Bidders will not be notified when an ADDENDUM is issued. Interested parties may view addenda on HACFM's website <https://www.hacfm.org/doing-business/contracting-and-bidding-opportunities/>. It shall be the responsibility of each respondent to ensure; they have any/all additional addenda relative to this RFP.

2.4 Proposal Format

All proposals shall be electronically submitted. The format of the respondent's proposal should be structured the same as the format of the RFP. Proposals should be organized into sections for ease of review. Provide a comprehensive Table of Contents at the front of the proposal. Organize the proposal in response to the Submission Requirements, taking care to address all issues identified in the Scope of Services. The first page of the proposal should bear the name and number of the RFP, the date, and the respondent's name, address, phone, fax number, and email address.

2.5 Insurance

All forms that require a signature or initials must bear an original initial or signature. Respondents shall enforce and maintain throughout the term of the contract:

1. Comprehensive General Liability Limits: \$1,000,000 combined single limit with the Housing Authority of the City of Fort Myers named as additional insured with respect to the services being procured.
2. Workers Compensation, as required by applicable law.
3. Automobile Liability Limits - \$1,000,000, if applicable.

2.6 Acceptance of Proposals

Proposals must be signed, emailed, and received in completed form in the procurement inbox procurement@hacfm.org, no later than the proposal closing date and time. Proposals submitted after the designated closing date and time will not be accepted for any reason.

HACFM reserves the right to accept or reject any or all proposals, to take exception to these RFP specifications or to waive any formalities. Respondents may be excluded from further considerations for failure to comply with the specifications of this RFP.

HACFM also reserves the right to reject the proposal of respondents, who have previously failed to perform properly or to complete on time, a contract of similar nature; not in a position to perform the contract. Alternatively, who habitually without just cause neglected the payment of bills or disregarded its obligations to subcontractors, providers of materials, or employees.

2.7 Time for Reviewing Proposals

Proposals received prior to the closing date and time will be securely kept, unopened. No proposals received after the closing date and time will be considered. All proposals properly received will be evaluated by HACFM's Evaluation Committee appointed by the Executive Director. The Evaluation Committee will analyze proposals within the 180 days of the date and time due and provide a recommendation for award of contract or not to award to the HACFM Executive Director.

2.8 Withdrawal of Proposals

Proposals may be withdrawn, by means of a written request, or faxed requests dispatched by the respondent in time for delivery in the normal course of business prior to the time fixed for receipt, if written confirmation of withdrawal has the signature of the respondent. In addition, withdrawals must be postmarked prior to the date and time set for proposal opening. Negligence on the part to the respondent in preparing their proposal confers no right to make modifications or withdraw proposal after the due date and time.

2.9 Award of Contract

A contract shall be awarded to the highest scoring proposal subject to performance review according to the evaluation criteria contained herein, provided the proposal is in the best interest of HACFM. The respondent to whom the award is made will be notified at the earliest practical date.

2.10 HUD Debarment and Suspension List

The respondents and all subcontractors' names or businesses must not appear on the HUD's Debarment and Suspension list.

2.11 Certification of Legal Entity

Prior to execution of the contract agreement, the respondent shall certify that joint ventures, partnerships, team agreements, new corporations, or other entities that either exist or will be formally structured are, or will be, legal and binding under the Florida State Law and the City of Fort Myers, Florida.

2.12 Cost Borne by Respondent

All cost related to the preparation of this RFP and any related activities are the responsibility of the respondent. HACFM assumes no liability for any costs incurred by the respondent throughout the entire selection process.

2.13 Best Available Data

All information contained in this RFP is the best data available to HACFM at the time the RFP was prepared. The information given in the RFP is not intended as representation having binding legal effect. This information is furnished for the convenience of respondents and HACFM assume no liability for any errors or omissions.

2.14 Contact with HACFM Staff, Board Members, and Residents

Beyond the above referenced written communications, respondents and their representatives may not make any other form of contact with HACFM Staff, Board Members, or Residents. Any improper contact by or on behalf of Respondents may be grounds for disqualification.

2.15 Licenses

The awarded individual/firm shall have and maintain all required licenses necessary to conduct business in the City of Fort Myers and the State of Florida. All licenses must be kept up to date for the duration of this contract. Copies of all licenses must be in the Procurement Office prior to contract execution.

2.16 Respondent Responsibilities

Each respondent is presumed by HACFM to have thoroughly studied this RFP and become familiar with the contents, locations, nature of requests, covered by the **RFP**. Any failure to understand completely any aspect of this RFP is the responsibility of the respondent.

2.17 No Claim Against HACFM

The respondent shall not obtain, by submitting a proposal in response to this RFP, any claim against HACFM or HACFM's property for reason of all or any part of the following: the selection

process; the rejection of any or all offers; the acceptance of any offer; entering into any agreements or the failure to enter any agreements; any statement, representations, acts or omissions of HACFM or any person or entity acting on its behalf; the exercise of any discretion set forth in or concerning any of the foregoing; and any other matters arising out of the foregoing.

PART III — SUBMISSION REQUIREMENTS

Listed below are the sections that must be included in respondent's proposal. Each section must be clearly labeled using the bold-faced titles listed below:

3.1 Company Information

Please furnish a brief history of your company including how long you have been in business, major offices located in Fort Myers and/or major offices located in the southeast United States. Please provide evidence of State of Florida licensure.

3.2 Staffing and Qualifications

Provide information regarding staff experience and qualifications that demonstrates the respondent's capacity to perform the required services. Include an organizational chart that illustrates respondent's overall staffing approach for completing the required work. Include in the chart all key personnel, specialists, and consultants who will be assigned work under a contract potentially resulting from this RFP.

3.3 Relevant Experience and Past Performance

- A. Identify similar or related work performed for public housing authorities or other agencies that have been completed to date, or is currently active. Include projects completed or currently underway by the responding entity and/or each major participant in the proposal. For each project identified provide:
 - 1. Project name and address
 - 2. Contact person, title, phone number, email, fax and address
 - 3. Detailed description of Scope of Services
 - 4. The client for whom the respondent's services were performed
 - 5. The size of the project
 - 6. The services performed by the respondent on the project
 - 7. The dollar value of the contract for the services
 - 8. The duration of the project including start and completion dates, or projected completion date if still active
 - 9. A reference contact for the project with name, address, email and phone number
- B. Identify past experience in performing work for public housing authorities or other agencies by the respondent and/or its participants.
- C. Demonstrate ability to perform the services that are well regarded in the industry in terms of

content, timeliness, and responsiveness.

- D. If the respondent is a joint venture, or another entity formed solely for responding to this RFP, provide evidence of prior successful collaborations.

3.4 References

Provide a list of clients, previous and current. This list must include the name and title of the contact person, with an address, email, phone number, and fax number.

3.5 Respondent's Approach and Response to Scope of Services

- A. Provide a detailed narrative that demonstrates the approach intended for use by the respondent.
- B. The respondent should outline its anticipated approach for each element of work identified in the Scope of Services.
- C. The approach outlined should be consistent with the objectives and requirements set forth in the RFP and should address how services will be immediately provided upon execution of a contract.
- D. Provide a narrative and bar graph type schedule indicating on how the work will proceed under the contract.

3.6 Proposal Cost

Respondents shall provide a firm total cost along with a detailed itemized breakdown of total cost. Please show all expected expenditures to include all anticipated travel. Total cost must be all-inclusive.

3.7 Required Certifications/Forms

Each proposal must contain a copy of the following HUD forms, which are attached to this RFP

- Form HUD-5369-B Instructions to Offerors -Non Construction
- Form HUD 5369-C Certifications and Representations of Offerors - Non-Construction Contract
- Form HUD SF-LLL Disclosure of Lobbying Activities
- Form HUD 50070 Certification for a Drug-Free Workplace
- Form HUD 50071 Certification of Payments to Influence Federal Transactions

Proposals should be written in a concise, straightforward and forthright manner. Superficial marketing statements and materials should be avoided.

Please tab and submit documents/information in the following order:

1. Company Information
2. Staffing and Qualifications
3. Relevant Experience and Past Performance
4. Three references (previous or current clients) including the name and title of the contact person, with an address, email, phone number and fax number
5. Approach and Response to Scope of Services
6. Proposal Cost (**Cost Proposal form enclosed**)
7. Required **HUD** Forms
8. Business License and other necessary certificates
9. Statement that the proposal constitutes a firm offer of pricing, which may be accepted at any time within one hundred eighty (180) days from and after the date of proposal opening
10. Name, address and telephone number of the person to answer questions or provide clarification concerning the offeror's proposal

PART IV - SCOPE OF SERVICES

4.1 Scope of Services

The HACFM audit shall be conducted in accordance with generally accepted auditing standards and Government Auditing Standards, issued by the Comptroller General of the United States. The audit and financial statements shall meet the requirements of federal singular audit regulations as prescribed by OMB Circular A-133, Audits of States, Local Governments and Nonprofit Organizations, OMB Circular A-128, Audit for State and Local Governments, GASB-34 Basic Financial Statement's and Management's Discussion and Analysis for State and Local Governments and Department of Housing and Urban Development's Public and Indian Housing Compliance Supplements. The financial statements are to be prepared by the auditor in accordance with Generally Accepted Accounting Principles (GAAP) and HUD's timetable for submission. This includes to provide and/or assistance with electronically submitting Financial Data Schedules (FDS) via the Internet as required by the Real Estate Assessment Center (REAC).

The auditor agrees to be bound by applicable Federal, State and Local Laws, regulations and directives as they pertain to the performance of the audit contract.

HACFM utilizes SACS Software for Property/Asset Management.

A comparative financial statement and compliance audit of HACFM for fiscal years ending March 31, 2024, performed in accordance with the Scope of Service in this RFP.

- A. The final audit report should include the following:
 1. Statement of Net Position
 2. Statement of Revenues, Expenses and Changes in Net Position
 3. Statement of Cash Flows
 4. Notes of Financial Statements

5. Combining Schedule of Program Net Position by fund/program
6. Combining Schedule of Program Revenues, Expenses and Changes in Net Position
7. Break out for the non profit activities for ease of reading for lenders and investors
8. Schedule of Expenditures of Federal Awards
9. Statement of Certification of Actual Capital Fund Grant Cost, as needed.

B. Report on compliance with applicable laws, regulations and grant agreements for:

1. Housing Choice Voucher Program
2. Low Income Public Housing Program
3. Capital Fund Program
4. Mixed Finance
5. Not for Profit
6. Internal Controls in accordance with OMB Circular, A-133

The attestation by auditors on Financial Data System (FDS) data as to its “fair presentation in relation to audited basic financial statements” in accordance with Government Auditing standards.

The above procedures should be performed in accordance with OMB Circular A-133 and the Public and Indian Housing Compliance Supplement.

If the need for other audit services arises concerning the fiscal year under audit, the MHA expects to be able to negotiate with the selected auditor to obtain the additional services needed.

One electronic and ten (10) bound copies of each audit opinion, financial statements and compliance report shall be submitted to the Executive Director within nine (9) months of the close of HACFM’s fiscal year. It is anticipated that financial records will be closed and ready for audits no later than June of each year. HACFM reserves the right to request audits to begin earlier if books are closed and ready. The Single Audit Act and REAC stipulates a submission due date of nine (9) months after the fiscal year end.

The Auditor will be responsible for preparations of the Data Collection Form for submission to the Federal Audit Clearinghouse.

The Auditor will complete any other reports as requested by HACFM and/or required by HUD’s Uniform Financial Reporting Standards (UFRS) for Public Housing Authorities.

The Auditor is expected to provide a letter to the Executive Director on the non-reportable conditions and immaterial instances of noncompliance. This letter will also include general recommendations on observations made during the audit that could be helpful to the management of HACFM.

The Auditor is expected to attend a meeting with the Executive Director and Board of Commissioners to present the audit report and review the management letter.

HACFM’s fiscal year begins April 1st and ends March 31st. The last audit currently being prepared is for fiscal year that ended March 31, 2023.

4.2 Auditors Requirements Regarding the HACFM Financial and Audit Committee

The Auditors shall be required to apprise HACFM's Financial and Audit Committee of issues and developments concerning the audit including informing the Financial and Audit Committee of each of the following:

1. The auditor's responsibility under Generally Accepted Auditing Standards.
2. Significant accounting policies.
3. Management judgments and accounting estimates.
4. Significant audit adjustments.
5. Other information in documents containing audited financial statements.
6. Disagreement consultations with other auditors.
7. Management consultations with other auditors.
8. Major issues discussed with management prior to retention.
9. Difficulties encountered in performing the audit.
10. All other required appraisals and disclosures.

4.3 Other considerations

The U.S. Department of Housing and Urban Development is HACFM's cognizant agency for purposes of OMB Circular A-133 and Uniform Guidance as applicable. The selected firm shall be required to comply with all applicable requirements of HUD in this regard.

PART V – PROCUREMENT PROCESS

5.1 Proposal Evaluation/Contract Award

Proposals received in response to this solicitation will be evaluated using the following evaluation process.

- A. The evaluation process will be used to determine the firms that will comprise the short list, from which final selection for contract award will ultimately be made.
 1. During the evaluation process, technical proposals will be evaluated and scored by an Evaluation Committee appointed by the Executive Director.
 2. Each member of the selection committee will score each proposal.
 3. Scoring will be based on predetermined Evaluation Criteria. The available points associated with each area of consideration are shown below in Item 5.2.
 4. The results of the evaluation of both technical and cost proposals will be used to determine those proposals to be considered in the competitive range.
 5. Proposals will be considered in the competitive range if they have a minimum score of 85 points or above.
 6. The Authority may request that proposers whose submittals are in the competitive range make oral presentations concerning their qualifications to the Authority's Evaluation Committee.

7. Cost proposals will be considered acceptable if the proposed cost is clearly not excessive compared to the proposed costs of other respondents with acceptable technical proposals. Best and Final offers may be requested.
 8. Respondents with acceptable technical and cost proposals may be requested to supply additional information to assist in completing the due diligence review. Failure to satisfactorily complete the due diligence review within the timeframe established by HACFM will result in disqualification of respondent's proposal.
- B. Scoring will be based upon how well the proposal meets the criteria established in this RFP.
- C. HACFM reserves the right to make no award or decline to enter negotiations should it believe that no respondent to this RFP would be capable of delivering the necessary level of service within an acceptable price range and/or the time period.
- D. The Evaluation Committee will evaluate the merits of proposals received in accordance with the evaluation factors stated in the RFP and formulate a recommendation. However, while a numerical rating system may be used to assist the Evaluation Committee in selecting the competitive range (if necessary) and making an award recommendation decision, the award decision is ultimately a business decision that will reflect an integrated assessment of the relative merits of the proposal using the factors and their relative weights disclosed in the RFP.

5.2 Evaluation Criteria

- A. Organizational Capacity: 30 Points**
1. Respondent's organizational capacity will be evaluated through an assessment of the respondent's staff, specialists', and consultants' experience and qualifications. In addition, the respondent's ability to perform the work in a timely manner will be evaluated through a review of previous performance on similar projects, as well as current and projected capacity and workload.
 2. Maximum consideration will be given to those respondents having staff with the greatest amount of experience in performing work as required herein, and who can demonstrate sufficient capacity to perform the work timely given current and projected workload.
- B. Relevant Experience and Past Performance: 25 Points**
1. Relevant experience and past performance will be evaluated through an assessment of previous, similarly related projects completed to date.
 2. Maximum consideration will be given to those respondents, who demonstrate through their submittal, a documented track record of successfully completing projects of the same type required by this RFP.
 3. Maximum consideration will also be given to those respondents who exhibit a successful track record of performing similar services for public housing authorities.
- C. Respondent's Approach and Response to Scope of Service: 25 Points**

1. The respondent’s approach and response to the Scope of Services will be evaluated through an assessment of the proposed approach for each element of work identified in the Scope of Services.
2. Maximum consideration will be given to those respondents, who demonstrate through their submittal, a clear and prudent plan for performing the required work within the established timeframe.

D. Proposal Cost: 20 Points

1. Proposal cost will be evaluated through a careful analysis of cost compared to the other respondent’s proposals.
2. Maximum consideration will be given to those respondents, who demonstrate through their submittals, the ability to perform the required work at minimum cost to HACFM.

Additional Points:

Disadvantaged Business Enterprise (DBE) and Section 3 Participation Plan:

DBE/WBE participation: 5 Points
Section 3 participation: 5 Points

1. The level of Disadvantaged Business Enterprise (DBE), Woman Business Enterprise (WBE) and Section 3 participation will be evaluated through an assessment of the action plans and participation schedules submitted.
2. Maximum consideration will be given to those Respondents, who demonstrate through their submittals, that MHA’s stated participation goals, in terms of DBE, WBE, and Section 3 business enterprise contracting, and Section 3 resident employment and training, will be met.

5.3 Summary of Evaluation Criteria

Evaluation Criteria Points

TECHNICAL POINTS:

Organizational Capacity	30 Points
Relevant Experience and Past Performance	25 Points
Respondent’s Approach/Response to Scope of Services	25 Points
Proposal Cost	20 Points
Total	100 Points

ADDITIONAL POINTS:

DBE and WBE Participation Plan 5 Points

Section 3 Participation Plan 5 Points

TOTAL 10 Points

TOTAL POSSIBLE POINTS 110 Points

**REQUEST FOR PROPOSALS (RFP) 2023-07
PROFESSIONAL FINANCIAL AUDIT SERVICES**

DATE: Tuesday, August 15, 2023

DESCRIPTION: In compliance with 2 CFR 200, the Housing Authority of the City of Fort Myers (HACFM) hereby request quotes from qualified firms/independent professionals to provide Financial Auditing Services

CONTACT PERSON: Catherine Lamberg, Chief Operating Officer
CatherineL@hacfm.org

SUBMISSION DEADLINE: Tuesday, September 12, 2023 at 4:00 PM (EST)

SUBMISSION EMAIL ADDRESS: Procurement@hacfm.org

The undersigned do agree that should this Proposal be accepted, to execute the form of contract and present the same to the Housing Authority within ten (10) days after being notified of the awarding of the contract.

In WITNESS, WHEREOF, WE have hereunto subscribed our names on the _____ day of _____, 2023 in the County of _____ State of _____

Firm's Complete Legal Name

_____ Signature	_____ Telephone Number	_____ Title
_____ Printed Name	_____ Telephone Number	_____ Email Address
_____ Mailing Address: City	_____ State	_____ Zip
_____ Web address		

ATTACH ALL REQUESTED DOCUMENTS

Instructions to Offerors Non-Construction

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



- 03291 -

1. Preparation of Offers

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

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

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

2. Submission of Offers

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

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

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

3. Amendments to Solicitations

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

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

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

4. Explanation to Prospective Offerors

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

5. Responsibility of Prospective Contractor

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

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

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

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

6. Late Submissions, Modifications, and Withdrawal of Offers

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

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

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

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

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

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

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

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

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

7. Contract Award

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

(b) The HA may

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

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

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

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

8. Service of Protest

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

9. Offer Submission

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

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

[Describe bid or proposal preparation instructions here:]

Certifications and Representations of Offerors Non-Construction Contract

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

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

1. Contingent Fee Representation and Agreement

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

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

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

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

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

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

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

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

(Check the block applicable to you)

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

3. Certificate of Independent Price Determination

(a) The bidder/offeror certifies that—

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

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

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

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

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

4. Organizational Conflicts of Interest Certification

(a) The Contractor warrants that to the best of its knowledge and belief and except as otherwise disclosed, it does not have any organizational conflict of interest which is defined as a situation in which the nature of work under a proposed contract and a prospective contractor's organizational, financial, contractual or other interest are such that:

- (i) Award of the contract may result in an unfair competitive advantage;
- (ii) The Contractor's objectivity in performing the contract work may be impaired; or
- (iii) That the Contractor has disclosed all relevant information and requested the HA to make a determination with respect to this Contract.

(b) The Contractor agrees that if after award he or she discovers an organizational conflict of interest with respect to this contract, he or she shall make an immediate and full disclosure in writing to the HA which shall include a description of the action which the Contractor has taken or intends to eliminate or neutralize the conflict. The HA may, however, terminate the Contract for the convenience of HA if it would be in the best interest of HA.

(c) In the event the Contractor was aware of an organizational conflict of interest before the award of this Contract and intentionally did not disclose the conflict to the HA, the HA may terminate the Contract for default.

(d) The Contractor shall require a disclosure or representation from subcontractors and consultants who may be in a position to influence the advice or assistance rendered to the HA and shall include any necessary provisions to eliminate or neutralize conflicts of interest in consultant agreements or subcontracts involving performance or work under this Contract.

5. Authorized Negotiators (RFPs only)

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

6. Conflict of Interest

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

7. Offeror's Signature

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

Signature & Date:

Typed or Printed Name:

Title:

DISCLOSURE OF LOBBYING ACTIVITIES

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

Approved by OMB

0348-0046

(See reverse for public burden disclosure.)

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

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

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

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

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

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

Certification for a Drug-Free Workplace

U.S. Department of Housing and Urban Development

Applicant Name

Program/Activity Receiving Federal Grant Funding

Acting on behalf of the above named Applicant as its Authorized Official, I make the following certifications and agreements to the Department of Housing and Urban Development (HUD) regarding the sites listed below:

I certify that the above named Applicant will or will continue to provide a drug-free workplace by:

a. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the Applicant's workplace and specifying the actions that will be taken against employees for violation of such prohibition.

b. Establishing an on-going drug-free awareness program to inform employees ---

(1) The dangers of drug abuse in the workplace;

(2) The Applicant's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.

c. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph a.;

d. Notifying the employee in the statement required by paragraph a. that, as a condition of employment under the grant, the employee will ---

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

e. Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph d.(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federalagency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

f. Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph d.(2), with respect to any employee who is so convicted ---

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

g. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs a. thru f.

2. Sites for Work Performance. The Applicant shall list (on separate pages) the site(s) for the performance of work done in connection with the HUD funding of the program/activity shown above: Place of Performance shall include the street address, city, county, State, and zip code. Identify each sheet with the Applicant name and address and the program/activity receiving grant funding.)

Check here if there are workplaces on file that are not identified on the attached sheets.

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

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

Name of Authorized Official

Title

Signature

Date

X

Certification of Payments to Influence Federal Transactions

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

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

Applicant Name

Program/Activity Receiving Federal Grant Funding

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

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

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

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

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

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

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

Name of Authorized Official

Title

Signature

Date (mm/dd/yyyy)