



## CALIFORNIA TAX CREDIT ALLOCATION COMMITTEE

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ctcac@treasurer.ca.gov  
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### MEMBERS

JOHN CHIANG, CHAIRMAN  
State Treasurer

BETTY YEE  
State Controller

MICHAEL COHEN  
Director of Finance

**EXECUTIVE DIRECTOR**  
Mark Stivers

### REQUEST FOR PROPOSAL

### TENANT DEMOGRAPHIC DATA COLLECTION NO. CTCAC06-17

**December 4, 2017**

You are invited to review and respond to the Request for Proposal (RFP), entitled Tenant Demographic Data Collection (RFP CTCAC06-17). In submitting your proposal, you must comply with the following instructions:

- Proposals for these services must comply with the instructions included in the RFP. The RFP includes the Sample Standard Agreement the selected firm will be expected to execute. The agreement that will be entered into with the State of California ("State") will include by reference the General Terms and Conditions and Contractor Certification Clauses which may be viewed and downloaded online at [www.dgs.ca.gov/ols/Resources/standardcontractlanguage.aspx](http://www.dgs.ca.gov/ols/Resources/standardcontractlanguage.aspx). The General Terms and Conditions and all Exhibits that are part of the Sample Standard Agreement are not negotiable. By submitting a proposal, your firm agrees to the terms and conditions stated in this RFP.

The California Tax Credit Allocation Committee is soliciting bids from firms to collect and transmit certain demographic and tenant data to HUD on an annual basis. The data collected would be for approximately 3,600 placed in service and extended use low income housing tax credit projects. The data will be collected from management or owners of tax credit projects, then reviewed by the contracted firm and submitted to HUD each year.

TCAC anticipates the resulting contract from this solicitation to be for a three (3) year term for a dollar value not to exceed \$100,000 per year with the option to extend the contract for (1) year for an additional \$100,000. Please refer to the Sample Cost Worksheet (Attachment 3) to outline the cost portion of your submitted proposal.

Read the attached document carefully.

**The response due date is: January 8, 2018 at 4:00 p.m. (PST).**

Please submit four (4) copies of your response to this RFP in hard copy form either in person or via U.S. mail or courier service to the department contact below:

California Tax Credit Allocation Committee  
Attn: Elizabeth Gutierrez-Ramos  
915 Capitol Mall, Room 485  
Sacramento, CA 95814  
(916) 654-6340  
[egutierrez@treasurer.ca.gov](mailto:egutierrez@treasurer.ca.gov).

If you have any questions related to this solicitation or should you need any clarifying information, please contact Elizabeth Gutierrez-Ramos via email at [egutierrez@treasurer.ca.gov](mailto:egutierrez@treasurer.ca.gov).

Thank you for your interest in doing business with the California Tax Credit Allocation Committee.

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## **A) Purpose and Description of Services**

### **1. Introduction**

The federal Low-Income Housing Tax Credit (LIHTC) Program was authorized by Congress in 1986 to encourage the production of affordable rental housing. The program has been since 1987, the largest production and incentive program for the new construction and rehabilitation of affordable rental housing.

The LIHTC program is contained in the federal tax code, and is administered at the federal level by the Internal Revenue Service (IRS). Internal Revenue Code Section 42 specifies that each state legislature designate the housing credit agency to administer the state's program. In California, the responsibility for administration of the program was assigned to the Tax Credit Allocation Committee (CTCAC), by gubernatorial proclamation and enactment of SB 113, Chapter 658, Statutes of 1987.

In addition to the federal LIHTC program, the state legislature authorized a state low income housing tax credit program to augment the federal tax credit. Authorized by Chapter 1138, Statutes of 1987, the state credit is only available to a project which has previously received, or is concurrently receiving, an allocation of federal credits. The state program does not stand alone, but instead, supplements the federal tax credit.

The State Treasurer chairs the Tax Credit Allocation Committee. Other voting Committee members are the State Controller and the State Director of Finance. Advisory members are the Director of the State Housing and Community Development Department, the Executive Director of the California Housing Finance Agency and a representative of cities appointed by the speaker of the Assembly and a representative of counties appointed by the Senate Rules Committee.

CTCAC is responsible for administering both the federal and state tax credit programs. Staff receives and reviews applications for tax credits according to the requirements and criteria set forth in the Qualified Action Plan and program regulations. Reviews include a detailed feasibility and development cost analysis. Based on staff recommendations, the Committee awards tax credits to eligible projects.

CTCAC has the responsibility to monitor all projects allocated credits for compliance with state and federal laws and regulations. Each project enters into a regulatory agreement, which embodies the compliance requirements, including additional use restrictions. CTCAC staff must determine that the rents and incomes of tax credit households do not exceed the maximum allowed by Section 42 and that the project does not violate the requirements set forth in 26 CFR 1.42-5. In addition to reviewing the rent and incomes files, CTCAC staff must physically inspect all tax credit projects. The requirements mandate the physical inspection of 20% of the tax credit units within each project, plus the projects common areas, building exteriors and grounds once every 3 years. In addition, for new projects, the buildings and units must be inspected by the end of the second calendar year following the year the last building in the project is placed in service.

In July 2008, Congress passed the Housing and Economic Recovery Act (HERA), which directed CTCAC to collect and submit to the U.S. Department of Housing and Urban Development (HUD) on an annual basis, certain demographic and economic information on tenants residing in Low-Income Housing Tax Credit (LIHTC) financed properties. There are two parts to the data collection: tenant-specific information and property specific information.

### **2. Scope of Services**

The CTCAC is soliciting a contractor to collect, review, and submit data on behalf of the CTCAC to HUD. CTCAC anticipates the contractor will be responsible for providing data collection and review services for approximately 3600 LIHTC projects (from 2 units thru 800 units) for 2017, 2018, & 2019 tenant demographic data.

Data collected by the contractor is deemed confidential and shall be protected by contractor, is solely owned by CTCAC and cannot be released without written approval of CTCAC.

The number of properties subject to tenant data collection requirements may slightly increase over the life of the contract.

The 2017 data must be submitted to HUD by September 1, 2018, unless renegotiated and approved by both CTCAC and HUD.

The 2018 data must be submitted to HUD by September 1, 2019, unless renegotiated and approved by both CTCAC and HUD.

The 2019 data must be submitted to HUD by September 1, 2020, unless renegotiated and approved by both CTCAC and HUD.

The services shall be performed at the offices of the contractor.

The services shall be provided during regular work hours, Monday through Friday 8:00 AM – 5:00 PM (PST).

No work shall be performed until notification of contract execution is provided by CTCAC.

CTCAC has identified the necessary requirements for collecting HUD LIHTC data on behalf of the CTCAC:

1. Collect and review information from CTCAC's Tenant Income Certification (TIC), Tenant Household Information (THIF) and Supplemental Information forms, which includes, but not limited to the following tenant data elements:
  - a. Type of certification (Initial, Recertification, Other)
  - b. Effective and/or move-in date of household
  - c. Development Data (Property Name, County, BIN #, Address, Unit Number, and Number of Bedrooms, Square Footage)
  - d. Vacancy Date (if applicable)
  - e. Household Composition (Last Name, First Name and Middle Initial of Tenant(s), Relationship to Head of Household, Race, Ethnicity, Disability Status, Date of Birth, Full Time Student Status, and Last 4 Digits of Social Security)
  - f. Gross Annual Income for all household members (Employment or Wages, Social Security/Pension, Public Assistance, or Other Income)
  - g. Income from Assets for all household members (Type of Asset, Interest (if applicable), Cash Value of Assets, and Annual Income from Assets).
  - h. Total Annual Household Income from all Sources, both Gross Annual Income + Income from Assets.
  - i. Effective Date of Move-in Certification
  - j. Household Size at Move-in Certification
  - k. Household Income at of Move-in
  - l. Household Size at Move-in
  - m. Determination of Income Eligibility (Total Annual Household Income from all Sources, Current Income Limit per Family Size, Household Income at Move-in, Household Income Restriction Percentages, 140% Income Limit for Current Household Income).
  - n. Rent (Tenant Rent, Utility Allowance, Gross Rent for Unit, Maximum Rent Limit for this Unit, Federal Rental Assistance and Source, Non-Federal Assistance, Total Monthly Rental Assistance, Other Non-Optional Charges, Rent Restriction Percentage)
  - o. Student Status (Student Status, Student Exemption)
  - p. Program Type (Program Type and Income Status)
  - q. Tenant Demographic Profile (Race, Ethnicity, and Disability Status)
2. Provide LIHTC owners/management companies with an online tutorial on how to collect data and submit data to contractor.
3. Provide a point of contact for owners/management companies.
4. Respond to questions/calls from tax credit project owners, management agents and HUD relating to HUD tenant specific information.
5. On a quarterly basis, provide CTCAC with updates and documentation on properties that have and/or have not submitted data.
6. Collect and transmit data for both the 15-year federal compliance period and in the extended use period to HUD and CTCAC upon request.
7. Review collected tenant data for accuracy of information provided by property owners.

8. Provide CTCAC with data collected prior to HUD submittal.
9. Provide data collected to CTCAC:
  - a. Spreadsheet of projects with CTCAC numbers that have not submitted the HUD data or where HUD data is missing.
  - b. Executive report, detailing the HUD data collected for each reporting year, sorted by race, ethnicity, income, rent, and any other fields requested by CTCAC.
  - c. Comparative Report, detailing data reported in previous years, compared to the current year's submittal.
  - d. Any reports requested by TCAC, for any Public Records Act Request.

### **3. Term of Contract**

The term of this contract will be from February 6, 2018 (or upon contract execution) through January 1, 2021, with a maximum contract amount of \$100,000 per year. The contract is a three (3) year contract with the option to extend for one (1) year for an additional \$100,000.

### **B) Minimum Qualifications for Proposers**

1. Ability to collect, review, analyze and submit data to HUD on behalf of the CTCAC.
2. At least five (5) years' experience capturing large amounts of data (approximately 1.2 GB or more) from various sources and transmitting such data to a 3<sup>rd</sup> party.
3. Demonstrates the ability to convert data to XML format.
4. Demonstrates complete understanding and knowledge of the Federal Low Income Housing Tax Credit program (IRC Section 42) and HUD Tenant Demographic Data requirements.
5. Has the ability to provide CTCAC with an executive report detailing demographic data collected and data should be sorted by region, race, ethnicity, etc., as prescribed by CTCAC.
6. The firm(s) must be available to immediately assume services.

The firm selected must be technically and professionally capable of providing the services. The firm must be free from actual conflicts of interest not only at the time of selection, but also throughout the term of the contract.

### **C) Proposal Requirements and Information**

#### **1. Key Action Dates**

<u>Event</u>	<u>Date</u>
RFP available to prospective proposers	December 4, 2017
Pre-proposal Conference Call (optional) - (916) 654-6340	December 18, 2017 at 10:00 a.m. (PST)
Written Question Submittal Deadline	December 27, 2017, at 4:00 p.m. (PST)
Final Date for Proposal Submission	January 8, 2018, at 4:00 p.m. (PST)
Notice of Intent to Award	January 16, 2018
Proposed Award Date	February 6, 2018

#### **2. Optional Pre-Proposal Conference**

- a. An optional pre-proposal conference call is scheduled at December 18, 2017 at 10:00 a.m. via conference call by calling (916) 654-6340 for the purpose of discussing concerns regarding this RFP.
- b. In the event a potential proposer is unable to attend the optional pre-proposal conference call, an authorized representative may attend on their behalf. The representative may only sign-in for one (1) company. Subcontractors may not represent a potential proposer at the optional pre-proposal conference.

- c. For contractors who need assistance due to a physical impairment, a reasonable accommodation will be provided by the awarding agency, upon request for the pre-proposal conference call. The Contractor must call Elizabeth Gutierrez-Ramos at (916) 651-0410 no later than the fifth working day prior to the scheduled date and time of the pre-proposal conference call to arrange for a reasonable accommodation

### **3. General Qualification and Experience**

Proposals will be evaluated on the basis of the proposer's ability to demonstrate a high degree of experience, training and proficiency in the conduct of the various functions performed. The CTCAC will consider specifically the proposer's understanding, knowledge and experience in the following areas:

- a. Demonstrated knowledge and experience in the Low Income Housing Tax Credit Program.
- b. Demonstrated knowledge in HUD Tenant Demographic Data requirements.
- c. Demonstrated knowledge in collecting a large amount of tenant demographic data.
- d. Demonstrated experience in converting data to XML format and submitting data (approximately 1.2 GB or more) to HUD.
- e. Ability to report findings in a concise and accurate manner.

### **4. Proposal Content**

- a. Qualifications and Experience of the Firm:
  - i. A brief description of the firm's qualifications and experience that demonstrates its capability as a firm with knowledge in low income housing tax credits and HUD's tenant demographic data requirements.
  - ii. A reference list of similar types of contracts successfully completed with a sample of the work. The list of contracts shall include:
    - 1. The name of the client.
    - 2. The contact person
    - 3. The address and telephone number
    - 4. A detailed description of the services performed and dates you were involved with project.
    - 5. Brief description of the development, including occupancy, location, number of units and tenancy.
    - 6. Brief description of services rendered. Be specific as to your firm's role (planning, training, etc.) in each.
  - iii. A listing of clients with whom the firm is currently working, the nature of the work, and the length of time associated with each client.
- b. Qualifications and Experience of Personnel:
  - i. An organization chart showing functions, positions and titles of professionals in the organization, including any subcontractor firms. Describe the minimum LIHTC training criteria for staff and provide certificates for seminars attended and overall experience (expressed in years) level of the organization.
  - ii. A listing of the names of the personnel that will be directly involved in providing the services under this contract, including any subcontractor employees. The listing should identify the personnel with primary contract responsibility. This includes the resumes of senior

management staff, to verify that there is sufficient experience in capturing and submitting tenant demographic documentation.

- iii. Detailed resumes for personnel that will be directly involved in providing the services under this contract, including any proposed subcontractors and their employees.
- c. Work Plan and Work Schedule Requirements

The proposer shall develop a work plan or schedule for task completion. Identify tasks and specific milestones by which progress can be measured and payments made.

Please address the following tasks in your work plan and work schedule:

Tasks/Milestones:

- i. Timeline detailing data submission due dates, date data will be submitted to HUD and when online tutorial will be made available?
- ii. Describe how LIHTC properties will provide data to contractors.
  - What methods will the firm use to deal with missing and required tenant demographic information and ensure necessary corrections are received and reviewed?
- iii. Describe how firm will ensure data being submitted to HUD and CTCAC is complete and correct?
- iv. Describe what tracking system/reports you will develop to provide CTCAC with a quarterly update on the progress of the data collection efforts.

## 5. Submission of Proposals

- a. Proposals must be **received** no later than **4:00 p.m. (PST) on January 8, 2018**. Late proposals will not be accepted. A minimum of **Four Copies** of the proposal shall be submitted to the following location:

**California Tax Credit Allocation Committee  
915 Capitol Mall, Room 485  
Sacramento, CA 95814**

The proposal envelopes must be plainly marked with the RFP number and title, your firm name and address, and must be marked with "DO NOT OPEN", as shown in the following example:

<p>California Tax Credit Allocation Committee 915 Capitol Mall, Room 485 Sacramento, CA 95814 RFP #CTCAC06-17 Tenant Demographic Data Collection</p> <p><b>DO NOT OPEN</b></p>
--

If the proposal is made under a fictitious name or business title, the actual legal name of proposer must be provided.

Proposals not submitted under sealed cover and marked as indicated may be rejected.

- b. Questions relating to this RFP should be in writing directed to the person listed below by the deadline date of December 27, 2017 at 4:00 p.m. (PST). All responses will be in writing and made available to the general public.

Elizabeth Gutierrez-Ramos  
Compliance Program Manager  
California Tax Credit Allocation Committee  
915 Capitol Mall, Room 485  
Sacramento, CA 95814  
Fax: (916) 654-6033  
Email: [egutierrez@treasurer.ca.gov](mailto:egutierrez@treasurer.ca.gov)

- c. Proposals should provide straightforward and concise descriptions of the proposer's ability to satisfy the requirements of this RFP. The proposal must be complete and accurate. Omissions, inaccuracies or misstatements may be cause for rejection of a proposal.
- d. The proposal package should be prepared in the least expensive method.
- e. All proposals must be submitted under **sealed** cover and sent to CTCAC by dates and times shown in Section C, Proposal Requirements and Information, Item 1) Key Action Dates (page 3). Proposals received after this date and time will not be considered.
- f. The original proposal must be marked "ORIGINAL COPY". All documents contained in the original proposal package must have original signatures and must be signed by a person who is authorized to bind the proposing firm. All additional proposal sets may contain photocopies of the original package.
- g. All proposals shall include the documents identified in Section E, Required Attachment Checklist. Proposals not including the proper "required attachments" shall be deemed non-responsive. A non-responsive proposal is one that does not meet the basic proposal requirements.
- h. Proposals must be submitted for the performance of all the services described herein. Any deviation from the work specifications will not be considered and will cause a proposal to be rejected.
- i. A proposal may be rejected if it is conditional or incomplete, or if it contains any alterations of form or other irregularities of any kind. The State may reject any or all proposals and may waive an immaterial deviation in a proposal. The State's waiver of an immaterial deviation shall in no way modify the RFP document or excuse the proposer from full compliance with all requirements if awarded the agreement.
- j. Costs incurred for developing proposals and in anticipation of award of the agreement are entirely the responsibility of the proposer and shall not be charged to the State of California.
- k. An individual who is authorized to bind the proposing firm contractually shall sign the Attachment 2, Proposal/Proposer Certification Sheet (page 13). The signature must indicate the title or position that the individual holds in the firm. An unsigned proposal may be rejected.
- l. A proposer may modify a proposal after its submission by withdrawing its original proposal and resubmitting a new proposal prior to the proposal submission deadline as set forth in the Key Action Dates (page 3). Proposal modifications offered in any other manner, oral or written, will not be considered.
- m. A proposer may withdraw its proposal by submitting a written withdrawal request to the State, signed by the proposer or an authorized agent in accordance with l) above. A proposer may thereafter submit a new proposal prior to the proposal submission deadline. Proposals may not be withdrawn without cause subsequent to proposal submission deadline.
- n. The awarding agency may modify the RFP prior to the date fixed for submission of proposals by the issuance of an addendum to all parties who received a proposal package.

- o. The awarding agency reserves the right to reject all proposals. The agency is not required to award an agreement.
- p. Before submitting a response to this solicitation, bidders should review, correct all errors and confirm compliance with the RFP requirements.
- q. Where applicable, proposer should carefully examine work sites and specifications. No additions or increases to the agreement amount will be made due to a lack of careful examination of work sites and specifications.
- r. More than one proposal from an individual, firm, partnership, corporation or association under the same or different names, will not be considered.
- s. CTCAC will enter into a tenant demographic data contract with selected contractor and CTCAC reserves the right to make multiple awards with multiple firms.
- t. The State does not accept alternate contract language from a prospective contractor. A proposal with such language will be considered a counter proposal and will be rejected. The State's General Terms and Conditions (GTC) are not negotiable.
- u. No oral understanding or agreement shall be binding on either party.
- v. CTCAC reserves the right to reject the lowest cost bidder.
- w. CTCAC will require the contractor to identify any conflicts of interest and we reserve the right to exclude such projects from the final contract.

**6. Evaluation and Selection**

An evaluation team will rate bidders on the basis of the following weighted factors. The CTCAC staff will review all eligible proposals (i.e., those that are received in the time and manner prescribed) to determine which ones meet the minimum qualifications specified in the RFP. Those proposals that meet the requirements shall be submitted to a CTCAC evaluation committee that will evaluate and score the proposals using the criteria specified below. As part of its final evaluation process, the evaluation committee may request oral presentations (either in person or by telephone). If this option is exercised, the CTCAC will provide firms with at least 48 hours' notice. Presenters from the firms must include the personnel who will have primary responsibility for the contract.

<u>Criteria</u>	<u>Maximum Points</u>
a. Years and breadth of experience with single or multiple agencies in collecting and transmitting via XML large amounts of data. CTCAC will award on a sliding scale 1 point for each year of firm experience in collecting and transmitting data. A maximum of 30 points for 30 years of experience.	30
b. Knowledge with LIHTC program as well as HUD Tenant Demographic data Requirements. CTCAC will award on a sliding scale 1 point for each year of firms knowledge with the LIHTC program as well as HUD Tenant Demographic data requirements. A maximum of 30 points for 30 years of experience.	30
c. Qualifications of Personnel (including experience and qualifications of specific personnel who will provide the services, their professional and educational background).	10
d. Fee (cost including actual fees proposed)	30
<b>TOTAL MAXIMUM POSSIBLE POINTS</b>	<b>100</b>

## **7. Award and Protest**

Notice of the proposed award shall be posted in a public place in the office of CTCAC, 915 Capitol Mall, Room 485, Sacramento, CA 95814, and on the following Internet site: [www.treasurer.ca.gov/ctcac](http://www.treasurer.ca.gov/ctcac) for five (5) working days prior to awarding the contract.

- a. If any proposer, prior to the award of contract, files a protest with the CTCAC and the Department of General Services, Office of Legal Services, 707 Third Street, 7<sup>th</sup> Floor, Suite 7-330, West Sacramento, CA 95605, on the grounds that the (protesting) proposer would have been awarded the contract had the agency correctly applied the evaluation standard in the RFP, or if the agency followed the evaluation and scoring methods in the RFP, the agreement shall not be awarded until either the protest has been withdrawn or the Department of General Services has decided the matter. It is suggested that you submit any protest by certified or registered mail.
- b. Within five (5) days after filing the initial protest, the protesting proposer shall file with the Department of General Services, Office of Legal Services and the CTCAC a detailed statement specifying the grounds for the protest.
- c. Upon resolution of the protest and award of the contract, Contractor must complete and submit to the awarding agency the Payee Data Record (STD 204), to determine if the Contractor is subject to state income tax withholding pursuant to California Revenue and Taxation Code Sections 18662 and 26131. This form can be found on the Internet at [www.osp.dgs.ca.gov](http://www.osp.dgs.ca.gov) under the heading STD Forms Directory. No payment shall be made unless a completed STD 204 has been returned to the awarding agency.
- d. Upon resolution of the protest and award of the contract, Contractor must sign and submit to the awarding agency, *page one (1)* of the Contractor Certification Clauses (CCC) 04/2017, which can be found on the Internet at [www.dgs.ca.gov/ols/Resources/standardcontractlanguage.aspx](http://www.dgs.ca.gov/ols/Resources/standardcontractlanguage.aspx).

## **8. Disposition of Proposals**

Upon proposal opening, all documents submitted in response to this RFP will become the property of the State of California, and will be regarded as public records under the California Public Records Act (Government Code Section 6250 et seq.) and subject to review by the public.

## **9. Agreement Execution and Performance**

- a. Performance shall start not later than 45 days, or on the express date set by the awarding agency and the Contractor, after all approvals have been obtained and the agreement is fully executed. Should the Contractor fail to commence work at the agreed upon time, the awarding agency, upon five (5) days written notice to the Contractor, reserves the right to terminate the agreement. In addition, the Contractor shall be liable to the State for the difference between Contractor's Proposal price and the actual cost of performing work by another contractor.
- b. All performance under the agreement shall be completed on or before the termination date of the agreement.

## **D) Preference Programs**

### **1. Small Business or Microbusiness Preference – [www.pd.dgs.ca.gov/smbus/default.htm](http://www.pd.dgs.ca.gov/smbus/default.htm)**

A five percent (5%) preference will be applied to certified small business firms submitting proposals. To obtain the preference, firms must be certified as a small business at the time the bid is submitted. The firm MUST include an updated copy of their Small Business Certificate to obtain the preference. The 5% preference is issued only for computation purposes to arrive at the successful firm(s), and does not alter the amount of the actual bids. Once each bid has been scored, if the highest responsible firm is not a certified small business or microbusiness, 5% of the highest scoring bid is added to the total "earned" points

for each bid submitted by a certified small business. These final numbers, with the 5% included, are then used to determine the highest scoring bid.

Questions regarding the small business certification or preference approval should be directed to the Office of Small Business & DVBE Services (OSDS) at (916) 375-4940 or can be found at the website listed above.

**2. Non-Small Business Preference – [www.pd.dgs.ca.gov/smbus/default.htm](http://www.pd.dgs.ca.gov/smbus/default.htm)**

A five percent (5%) bid preference is available to a non-small business claiming twenty-five percent (25%) California certified small business subcontractor participation. If claiming the non-small business subcontractor preference, the bid response must include a list of the small business(es) with which the firm commits to subcontract in an amount of at least 25% of the net bid price with one or more California certified small businesses. Each listed certified small business must perform a “commercially useful function” in the performance of the contract as defined in Government Code Section 14837(d)(4).

The required list of California small business subcontractors must be attached to the bid response and must include the following: 1) subcontractor name, 2) address, 3) phone number, 4) a description of the work to be performed and/or products supplied; and 5) the dollar amount or percentage of the net bid price (as specified in the solicitation) per subcontractor.

Firms claiming the 5% preference must commit to subcontract at least 25% of the net bid price with one or more California certified small businesses. Completed certification application required support documents must be submitted to the OSDS no later than 5:00 p.m. on the bid due date, and the OSDS must be able to approve the application as submitted. Questions regarding certification should be directed to the OSDS at (916) 375-4940.

The preference to a non-small business firm that commits to small business or microbusiness subcontractor participation of 25% of its net bid price shall be 5% of either the lowest, responsive, responsible firm’s price or the highest response, responsible firm’s total score. A non-small business, which qualifies for this preference, may not take an award away from a certified small business.

**3. California Disabled Veteran Business Enterprise (DVBE) Participation – [www.pd.dgs.ca.gov/smbus](http://www.pd.dgs.ca.gov/smbus)**

**This solicitation DOES NOT include a minimum DVBE participation requirement. DVBE participation is not required in the bid or proposal. However, a DVBE incentive will be applied as provided in Attachment 5.**

DVBE INCENTIVE: The State will apply a DVBE incentive for responsive bids or proposals from responsible bidders that propose DVBE participation. The DVBE incentive will vary in relation to the percentage of confirmed DVBE participation (up to five percent (5%)).

**E) Required Attachments**

For this proposal to be considered responsive, all required attachments listed in Attachment 1 on the following page must be included with the RFP by dates and times shown in Section C, Proposal Requirements and Information and Key Action Dates (Refer to Attachment 1, Required Attachment Checklist).

ATTACHMENT 1

REQUIRED ATTACHMENT CHECK LIST

A complete proposal or proposal package will consist of the items identified below.

Complete this checklist to confirm the items in your proposal. Place a check mark or "X" next to each item that you are submitting to the State. For your proposal to be responsive, all required attachments must be returned. This checklist should be returned with your proposal package also.

<u>Attachment</u>	<u>Attachment Name/Description</u>
_____	Attachment 1 Required Attachment Check List
_____	Attachment 2 Proposal/Proposer Certification Sheet
_____	Attachment 3 Cost Worksheet
_____	Attachment 4 Proposer References
_____	Attachment 5 California Disabled Veteran Business Enterprise (DVBE) Participation Instructions and DVBE Declaration form STD 843 (if applicable)
	<b>DVBE Participation is not required for this solicitation; however a DVBE incentive will be applied as provided in Attachment 5.</b>
_____	Attachment 6 Bidder Declaration Form (GSPD-05-105)
_____	Attachment 7 Payee Data Record (STD 204)
_____	Attachment 8 Contractor Certification Clauses (CCC 04/2017)
_____	Attachment 9 Darfur Contracting Act Certification
_____	Attachment 10 California Civil Rights Laws Certification

ATTACHMENT 2

PROPOSAL/PROPOSER CERTIFICATION SHEET

This Proposal/Proposer Certification Sheet must be signed and returned along with all the "required attachments" as an entire package in duplicate with original signatures. The proposal must be transmitted in a sealed envelope in accordance with RFP instructions.

**Do not return Section C, Proposal Requirements and Information (pages 3 through 8) nor the "Sample Agreement" at the end of this RFP.**

- A. Place all required attachments behind this certification sheet.
- B. I have read and understand the DVBE Participation requirements and have included documentation demonstrating that I have met the participation goals or have made a good faith effort.
- C. The signature affixed hereon and dated certifies compliance with all the requirements of this proposal document. The signature below authorizes the verification of this certification.

<b>Item Numbers</b>	<b>Instructions</b>
<b>1, 2, 2a, 3</b>	Must be completed. These items are self-explanatory.
<b>4</b>	Check if your firm is a sole proprietorship. A sole proprietorship is a form of business in which one person owns all the assets of the business in contrast to a partnership and corporation. The sole proprietor is solely liable for all the debts of the business.
<b>5</b>	Check if your firm is a partnership. A partnership is a voluntary agreement between two or more competent persons to place their money, effects, labor, and skill, or some or all of them in lawful commerce or business, with the understanding that there shall be a proportional sharing of the profits and losses between them. An association of two or more persons to carry on, as co-owners, a business for profit.
<b>6</b>	Check if your firm is a corporation. A corporation is an artificial person or legal entity created by or under the authority of the laws of a state or nation, composed, in some rare instances, of a single person and his successors, being the incumbents of a particular office, but ordinarily consisting of an association of numerous individuals.
<b>7</b>	Enter your federal employee tax identification number.
<b>8</b>	Enter your corporation number assigned by the California Secretary of State's Office. This information is used for checking if a corporation is in good standing and qualified to conduct business in California.
<b>9</b>	Complete, if applicable, by indicating the type of license and/or certification that your firm possesses and that is required for the type of services being procured.
<b>10, 11, 12, 13</b>	Must be completed. These items are self-explanatory.
<b>14</b>	If certified as a California Small Business, place a check in the "yes" box, and enter your certification number on the line. If certified as a Disabled Veterans Business Enterprise, place a check in the "Yes" box and enter your service code on the line. If you are not certified to one or both, place a check in the "No" box. If your certification is pending, enter the date your application was submitted to OSBCR.

## Unsigned Proposal/Proposer Certification Sheet

### May Be Cause For Rejection

1. Company Name	2. Telephone Number (    )	2a. Fax Number (    )
3. Address		
Indicate your organization type:		
4. <input type="checkbox"/> Sole Proprietorship	5. <input type="checkbox"/> Partnership	6. <input type="checkbox"/> Corporation
Indicate the applicable employee and/or corporation number:		
7. Federal Employee ID No. (FEIN)	8. California Corporation No.	
9. Indicate applicable license and/or certification information:		
10. Proposer's Name (Print)	11. Title	
12. <b>Signature</b>	13. Date	
<p>14. Are you certified with the Department of General Services, Office of Small Business</p> <p>a. California Small Business Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p style="margin-left: 20px;">If yes, enter certification number: _____</p>		
<p>b. Disabled Veteran Business Enterprise Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p style="margin-left: 20px;">If yes, enter your service code below: _____</p>		
<p><b>NOTE:</b> A copy of your Certification is required to be included if either of the above items is checked <b>"Yes"</b>.</p> <p>Date application was submitted to OSBCR, if an application is pending:</p>		

### Completion Instructions for Proposal/Proposer Certification Sheet

Complete the numbered items on the  
Proposal/Proposer Certification Sheet by following the instructions below.

ATTACHMENT 3 – COST WORKSHEET

<b>Job Title or Classification</b>	<b>Task</b>	<b>Hours</b>	<b>Rate Per Hour</b>	<b>Extended Total</b>	<b>Name of Employee</b>

**Total Costs** \$ \_\_\_\_\_

**\*Note: Travel Costs will not be paid separately in this contract**

ATTACHMENT 4

PROPOSER REFERENCES

Submission of this attachment is mandatory. Failure to complete and return this attachment with your proposal will cause your proposal to be rejected and deemed non-responsive.

List below three references for services performed within the last five years, which are similar to the scope of work to be performed in this contract. If three references cannot be provided, please explain why on an attached sheet of paper.

**REFERENCE 1**

Name of Firm

Street Address

City

State

Zip Code

Contact Person

Telephone Number

Dates of Service

Value or Cost of Service

Brief Description of Service Provided

**REFERENCE 2**

Name of Firm

Street Address

City

State

Zip Code

Contact Person

Telephone Number

Dates of Service

Value or Cost of Service

Brief Description of Service Provided

**REFERENCE 3**

Name of Firm

Street Address

City

State

Zip Code

Contact Person

Telephone Number

Dates of Service

Value or Cost of Service

Brief Description of Service Provided

ATTACHMENT 5

**CALIFORNIA DISABLED VETERAN BUSINESS ENTERPRISE (DVBE)  
PARTICIPATION GOAL PROGRAM INSTRUCTIONS**

**DVBE PARTICIPATION REQUIREMENT.** The Disabled Veteran Business Enterprise (DVBE) Participation Goal Program for State contracts is established in Public Contract Code (PCC) section 10115 et seq., Military and Veterans Code (MVC) section 999 et seq., and California Code of Regulations (CCR), title 2, section 1896.60 et seq. **This solicitation DOES NOT include a minimum DVBE participation requirement. DVBE participation is NOT required in the bid or proposal. However, a DVBE incentive will be applied as provided below.**

**DVBE INCENTIVE.** The State will apply a DVBE incentive for responsive bids or proposals (herein “bid” or “bids”) from responsible bidders that propose DVBE participation. The DVBE incentive will vary in relation to the percentage of confirmed DVBE participation. The following percentages shall apply.

<b>Confirmed DVBE Participation of</b>	<b>DVBE Incentive</b>
5% and above	5%
4% to 4.99% inclusive	4%
3% to 3.99% inclusive	3%
2% to 2.99% inclusive	2%
1% to 1.99% inclusive	1%

As applicable: (1) Awards based on low price – The DVBE incentive is applied by reducing the bid price by the amount of DVBE incentive as computed from the lowest responsive bid price submitted by a responsible bidder. The DVBE incentive is for evaluation purposes only. Application of the DVBE incentive shall not displace an award to a small business with a non-small business.

(2) Awards based on high score – The DVBE incentive is a percentage of the total possible available points, not including points for socioeconomic incentives or preferences. The DVBE incentive points are included in the sum of non-cost points. The DVBE incentive points cannot be used to achieve any applicable minimum point requirements.

Bidders who have been certified by California as a DVBE (or who are bidding rental equipment and have obtained the participation of subcontractors certified by California as a DVBE) must also submit a completed form **STD. 843 (Disabled Veteran Business Enterprise Declaration)**. All disabled veteran owners and disabled veteran managers of the DVBE(s) must sign the form(s). Should the form not be included with the solicitation, contact the State contracting official or obtain a copy at the following website: [www.documents.dgs.ca.gov/pd/poliproc/STD-843FillPrintFields.pdf](http://www.documents.dgs.ca.gov/pd/poliproc/STD-843FillPrintFields.pdf). The completed form should be included with the bid response.

At the State’s option prior to award, bidders may be required to submit additional written clarifying information. Failure to submit the requested written information as specified may be grounds for bid rejection.

## RESOURCES AND INFORMATION\*

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**U.S. Small Business Administration:**

Central Contractor Registration on-line database  
[www.ccr.gov](http://www.ccr.gov)

**FOR:**

Service-Disabled Veteran-Owned  
Businesses in California

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**Local Organizations:**

DVBE local contacts  
[www.pd.dgs.ca.gov/smbus](http://www.pd.dgs.ca.gov/smbus)

**FOR:**

List of Potential DVBE Subcontractors

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**Department of General Services, Procurement Division  
(DGS-PD) eProcurement:**

Website: [www.eprocure.dgs.ca.gov](http://www.eprocure.dgs.ca.gov)  
Phone: (916) 375-2000  
Email: [eprocure@dgs.ca.gov](mailto:eprocure@dgs.ca.gov)

**FOR:**

- SB/DVBE Search
- CSCR Advertisements
- Training Modules

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**DGS-PD Office of Small Business and DVBE Services  
(OSDS):**

707 Third Street, Room 1-400, West Sacramento, CA 95605  
Website: [www.pd.dgs.ca.gov/smbus](http://www.pd.dgs.ca.gov/smbus)  
OSDS Receptionist: (916) 375-4940  
PD Receptionist: (800) 559-5529  
Fax: (916) 375-4950  
Email: [osdchelp@dgs.ca.gov](mailto:osdchelp@dgs.ca.gov)

**FOR:**

- Directory of OSDS Certified DVBEs
- Certification Applications
- Certification Information
- Certification Status, Concerns
- General DVBE Program Information
- DVBE Business Utilization Plan
- SB/DVBE Advocates
- Lists of Trade and Focus Publications

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**Commercially Useful Function Definition**

Military and Veterans Code section 999(b)  
California Code of Regulations, title 2, section 1896.62(l)

\*Contact information and available resources may be subject to change by the respective administration, department, division, or office. DVBEs must be certified by OSDS.

## ATTACHMENT 6

**DECLARATION FORMS.** All bidders must complete the **Bidder Declaration GSPD-05-105** and include it with the bid response. When completing the declaration, bidders must identify all subcontractors proposed for participation in the contract. Bidders awarded a contract are contractually obligated to use the subcontractors for the corresponding work identified unless the State agrees to a substitution and it is incorporated by amendment to the contract.

BIDDER DECLARATION (GSPD-05-105) may be obtained at the following website:

<https://www.documents.dgs.ca.gov/pd/poliproc/MASTER-BidDeclar08-09.pdf>

ATTACHMENT 7

PAYEE DATA RECORD (STD. 204)

- <http://www.documents.dgs.ca.gov/dgs/fmc/pdf/std204.pdf>

ATTACHMENT 8

CCC 04/2017

**CERTIFICATION**

I, the official named below, CERTIFY UNDER PENALTY OF PERJURY that I am duly authorized to legally bind the prospective Contractor to the clause(s) listed below. This certification is made under the laws of the State of California.

<i>Contractor/Bidder Firm Name (Printed)</i>		<i>Federal ID Number</i>
<i>By (Authorized Signature)</i>		
<i>Printed Name and Title of Person Signing</i>		
<i>Date Executed</i>	<i>Executed in the County of</i>	

**CONTRACTOR CERTIFICATION CLAUSES**

1. **STATEMENT OF COMPLIANCE**: Contractor has, unless exempted, complied with the nondiscrimination program requirements. (Gov. Code §12990 (a-f) and CCR, Title 2, Section 11102) (Not applicable to public entities.)

2. **DRUG-FREE WORKPLACE REQUIREMENTS**: Contractor will comply with the requirements of the Drug-Free Workplace Act of 1990 and will provide a drug-free workplace by taking the following actions:

a. Publish a statement notifying employees that unlawful manufacture, distribution, dispensation, possession or use of a controlled substance is prohibited and specifying actions to be taken against employees for violations.

b. Establish a Drug-Free Awareness Program to inform employees about:

- 1) the dangers of drug abuse in the workplace;
- 2) the person's or organization's policy of maintaining a drug-free workplace;
- 3) any available counseling, rehabilitation and employee assistance programs; and,
- 4) penalties that may be imposed upon employees for drug abuse violations.

c. Every employee who works on the proposed Agreement will:

1) receive a copy of the company's drug-free workplace policy statement; and,2) agree to abide by the terms of the company's statement as a condition of employment on the Agreement.

Failure to comply with these requirements may result in suspension of payments under the Agreement or termination of the Agreement or both and Contractor may be ineligible for award of any future State agreements if the department determines that any of the following has occurred: the Contractor has made false certification, or violated the certification by failing to carry out the requirements as noted above. (Gov. Code §8350 et seq.)

3. NATIONAL LABOR RELATIONS BOARD CERTIFICATION: Contractor certifies that no more than one (1) final unappealable finding of contempt of court by a Federal court has been issued against Contractor within the immediately preceding two-year period because of Contractor's failure to comply with an order of a Federal court, which orders Contractor to comply with an order of the National Labor Relations Board. (Pub. Contract Code §10296) (Not applicable to public entities.)

4. CONTRACTS FOR LEGAL SERVICES \$50,000 OR MORE- PRO BONO REQUIREMENT: Contractor hereby certifies that Contractor will comply with the requirements of Section 6072 of the Business and Professions Code, effective January 1, 2003.

Contractor agrees to make a good faith effort to provide a minimum number of hours of pro bono legal services during each year of the contract equal to the lessor of 30 multiplied by the number of full time attorneys in the firm's offices in the State, with the number of hours prorated on an actual day basis for any contract period of less than a full year or 10% of its contract with the State.

Failure to make a good faith effort may be cause for non-renewal of a state contract for legal services, and may be taken into account when determining the award of future contracts with the State for legal services.

5. EXPATRIATE CORPORATIONS: Contractor hereby declares that it is not an expatriate corporation or subsidiary of an expatriate corporation within the meaning of Public Contract Code Section 10286 and 10286.1, and is eligible to contract with the State of California.

6. SWEATFREE CODE OF CONDUCT:

a. All Contractors contracting for the procurement or laundering of apparel, garments or corresponding accessories, or the procurement of equipment, materials, or supplies, other than procurement related to a public works contract, declare under penalty of perjury that no apparel, garments or corresponding accessories, equipment, materials, or supplies furnished to the state pursuant to the contract have been laundered or produced in whole or in part by sweatshop labor, forced labor, convict labor, indentured labor under penal sanction, abusive forms of child labor or exploitation of children in sweatshop labor, or with the benefit of sweatshop labor, forced labor, convict labor, indentured labor under penal sanction, abusive forms of child labor or exploitation of children in sweatshop labor. The contractor further declares under penalty of perjury that they adhere to the Sweatfree Code of Conduct as set

forth on the California Department of Industrial Relations website located at [www.dir.ca.gov](http://www.dir.ca.gov), and Public Contract Code Section 6108.

b. The contractor agrees to cooperate fully in providing reasonable access to the contractor's records, documents, agents or employees, or premises if reasonably required by authorized officials of the contracting agency, the Department of Industrial Relations, or the Department of Justice to determine the contractor's compliance with the requirements under paragraph (a).

7. DOMESTIC PARTNERS: For contracts of \$100,000 or more, Contractor certifies that Contractor is in compliance with Public Contract Code section 10295.3.

8. GENDER IDENTITY: For contracts of \$100,000 or more, Contractor certifies that Contractor is in compliance with Public Contract Code section 10295.35.

## **DOING BUSINESS WITH THE STATE OF CALIFORNIA**

The following laws apply to persons or entities doing business with the State of California.

1. CONFLICT OF INTEREST: Contractor needs to be aware of the following provisions regarding current or former state employees. If Contractor has any questions on the status of any person rendering services or involved with the Agreement, the awarding agency must be contacted immediately for clarification.

Current State Employees (Pub. Contract Code §10410):

- 1). No officer or employee shall engage in any employment, activity or enterprise from which the officer or employee receives compensation or has a financial interest and which is sponsored or funded by any state agency, unless the employment, activity or enterprise is required as a condition of regular state employment.
- 2). No officer or employee shall contract on his or her own behalf as an independent contractor with any state agency to provide goods or services.

Former State Employees (Pub. Contract Code §10411):

- 1). For the two-year period from the date he or she left state employment, no former state officer or employee may enter into a contract in which he or she engaged in any of the negotiations, transactions, planning, arrangements or any part of the decision-making process relevant to the contract while employed in any capacity by any state agency.
- 2). For the twelve-month period from the date he or she left state employment, no former state officer or employee may enter into a contract with any state agency if he or she was employed by that state agency in a policy-making position in the same general subject area as the proposed contract within the 12-month period prior to his or her leaving state service.

If Contractor violates any provisions of above paragraphs, such action by Contractor shall render this Agreement void. (Pub. Contract Code §10420)

Members of boards and commissions are exempt from this section if they do not receive payment other than payment of each meeting of the board or commission, payment for preparatory time and payment for per diem. (Pub. Contract Code §10430 (e))

2. LABOR CODE/WORKERS' COMPENSATION: Contractor needs to be aware of the provisions which require every employer to be insured against liability for Worker's Compensation or to undertake self-insurance in accordance with the provisions, and Contractor affirms to comply with such provisions before commencing the performance of the work of this Agreement. (Labor Code Section 3700)

3. AMERICANS WITH DISABILITIES ACT: Contractor assures the State that it complies with the Americans with Disabilities Act (ADA) of 1990, which prohibits discrimination on the basis of disability, as well as all applicable regulations and guidelines issued pursuant to the ADA. (42 U.S.C. 12101 et seq.)

4. CONTRACTOR NAME CHANGE: An amendment is required to change the Contractor's name as listed on this Agreement. Upon receipt of legal documentation of the name change the State will process the amendment. Payment of invoices presented with a new name cannot be paid prior to approval of said amendment.

5. CORPORATE QUALIFICATIONS TO DO BUSINESS IN CALIFORNIA:

a. When agreements are to be performed in the state by corporations, the contracting agencies will be verifying that the contractor is currently qualified to do business in California in order to ensure that all obligations due to the state are fulfilled.

b. "Doing business" is defined in R&TC Section 23101 as actively engaging in any transaction for the purpose of financial or pecuniary gain or profit. Although there are some statutory exceptions to taxation, rarely will a corporate contractor performing within the state not be subject to the franchise tax.

c. Both domestic and foreign corporations (those incorporated outside of California) must be in good standing in order to be qualified to do business in California. Agencies will determine whether a corporation is in good standing by calling the Office of the Secretary of State.

6. RESOLUTION: A county, city, district, or other local public body must provide the State with a copy of a resolution, order, motion, or ordinance of the local governing body which by law has authority to enter into an agreement, authorizing execution of the agreement.

7. AIR OR WATER POLLUTION VIOLATION: Under the State laws, the Contractor shall not be: (1) in violation of any order or resolution not subject to review promulgated by the State Air Resources Board or an air pollution control district; (2) subject to cease and desist order not subject to review issued pursuant to Section 13301 of the Water Code for violation of

waste discharge requirements or discharge prohibitions; or (3) finally determined to be in violation of provisions of federal law relating to air or water pollution.

8. PAYEE DATA RECORD FORM STD. 204: This form must be completed by all contractors that are not another state agency or other governmental entity.

ATTACHMENT 9

**DARFUR CONTRACTING ACT CERTIFICATION**

Pursuant to Public Contract Code section 10478, if a bidder or proposer currently or within the previous three years has had business activities or other operations outside of the United States, it must certify that it is not a “scrutinized” company as defined in Public Contract Code section 10476.

Therefore, to be eligible to submit a bid or proposal, please insert your company name and Federal ID Number and complete only one of the following three paragraphs (via initials for Paragraph # 1 or Paragraph # 2, or via initials and certification for Paragraph # 3):

<i>Company/Vendor Name (Printed)</i>	<i>Federal ID Number</i>
<i>Printed Name and Title of Person Initialing (for Options 1 or 2)</i>	

1.     \_\_\_\_\_     We do not currently have, and have not had within the previous  
      Initials       three years, business activities or other operations outside of the  
                      United States.

**OR**

2.     \_\_\_\_\_     We are a scrutinized company as defined in Public Contract Code  
      Initials       section 10476, but we have received written permission from the  
                      Department of General Services (DGS) to submit a bid or proposal  
                      pursuant to Public Contract Code section 10477(b). A copy of the  
                      written permission from DGS is included with our bid or proposal.

**OR**

3.     \_\_\_\_\_     We currently have, or we have had within the previous three years,  
      Initials       business activities or other operations outside of the United States,  
      + certification but we certify below that we are not a scrutinized company  
      below           as defined in Public Contract Code section 10476.

**CERTIFICATION For # 3.**

I, the official named below, CERTIFY UNDER PENALTY OF PERJURY that I am duly authorized to legally bind the prospective proposer/bidder to the clause listed above in # 3. This certification is made under the laws of the State of California.

<i>By (Authorized Signature)</i>	
<i>Printed Name and Title of Person Signing</i>	
<i>Date Executed</i>	<i>Executed in the County and State of</i>

ATTACHMENT 10

**CALIFORNIA CIVIL RIGHTS LAWS CERTIFICATION**

Pursuant to Public Contract Code section 2010, if a bidder or proposer executes or renews a contract over \$100,000 on or after January 1, 2017, the bidder or proposer hereby certifies compliance with the following:

1. CALIFORNIA CIVIL RIGHTS LAWS: For contracts over \$100,000 executed or renewed after January 1, 2017, the contractor certifies compliance with the Unruh Civil Rights Act (Section 51 of the Civil Code) and the Fair Employment and Housing Act (Section 12960 of the Government Code); and
  
2. EMPLOYER DISCRIMINATORY POLICIES: For contracts over \$100,000 executed or renewed after January 1, 2017, if a Contractor has an internal policy against a sovereign nation or peoples recognized by the United States government, the Contractor certifies that such policies are not used in violation of the Unruh Civil Rights Act (Section 51 of the Civil Code) or the Fair Employment and Housing Act (Section 12960 of the Government Code).

**CERTIFICATION**

I, the official named below, certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct. <i>Proposer/Bidder Firm Name (Printed)</i>		<i>Federal ID Number</i>
<i>By (Authorized Signature)</i>		
<i>Printed Name and Title of Person Signing</i>		
<i>Date Executed</i>	<i>Executed in the County and State of</i>	

AGREEMENT NUMBER <b>CTCAC06-17</b>
REGISTRATION NUMBER

1. This Agreement is entered into between the State Agency and the Contractor named below:

STATE AGENCY'S NAME

California Tax Credit Allocation Committee

CONTRACTOR'S NAME

TBD

2. The term of this Agreement is: February 6, 2018 through January 1, 2021 or upon DGS approval + 1 year renewal/extension

3. The maximum amount of this Agreement is: \$ 300,000.00 Three hundred thousand dollars and zero cents

4. The parties agree to comply with the terms and conditions of the following exhibits which are by this reference made a part of the Agreement.

Exhibit A – Scope of Work	2 page(s)
Attachment 1 - Resumes for Key Personnel	page(s)
Exhibit B – Budget Detail and Payment Provisions	1 page(s)
Exhibit C* – General Terms and Conditions	GTC 04/2017
Check mark one item below as Exhibit D:	
<input checked="" type="checkbox"/> Exhibit - D Special Terms and Conditions (Attached hereto as part of this agreement)	7 page(s)
<input type="checkbox"/> Exhibit - D* Special Terms and Conditions	
Exhibit E – Additional Provisions	page(s)

RFP CTCAC06-17 and Contractor's response thereto are hereby incorporated by reference and made a part of this agreement.

Items shown with an Asterisk (\*), are hereby incorporated by reference and made part of this agreement as if attached hereto. These documents can be viewed at [www.dgs.ca.gov/ols/Resources/StandardContractLanguage.aspx](http://www.dgs.ca.gov/ols/Resources/StandardContractLanguage.aspx)

**IN WITNESS WHEREOF, this Agreement has been executed by the parties hereto.**

<b>CONTRACTOR</b>		<b>California Department of General Services Use Only</b>
CONTRACTOR'S NAME (if other than an individual, state whether a corporation, partnership, etc.)		
TBD		
BY (Authorized Signature)	DATE SIGNED(Do not type)	
PRINTED NAME AND TITLE OF PERSON SIGNING		
TBD		
ADDRESS		
TBD		
<b>STATE OF CALIFORNIA</b>		
AGENCY NAME		
California Tax Credit Allocation Committee		
BY (Authorized Signature)	DATE SIGNED(Do not type)	
PRINTED NAME AND TITLE OF PERSON SIGNING		
Mark Stivers, Executive Director		
ADDRESS		
915 Capitol Mall, Room 485, Sacramento, CA 95814		
		<input type="checkbox"/> Exempt per:

**EXHIBIT A  
(Standard Agreement)**

**SCOPE OF WORK**

**Scope of Service**

The contractor will collect, review, and submit data on behalf of the CTCAC to HUD. CTCAC anticipates the contractor will be responsible for providing data collection and review services for approximately 3,600 LIHTC projects (from 2 units thru 800 units) for 2017, 2018, & 2019 tenant demographic data.

Data collected by the contractor is deemed confidential and shall be protected by contractor, is solely owned by CTCAC and cannot be released without written approval of CTCAC.

The number of properties subject to tenant data collection requirements may slightly increase over the life of the contract.

The 2017 data must be submitted to HUD by September 1, 2018, unless renegotiated and approved by both CTCAC and HUD.

The 2018 data must be submitted to HUD by September 1, 2019, unless renegotiated and approved by both CTCAC and HUD.

The 2019 data must be submitted to HUD by September 1, 2020, unless renegotiated and approved by both CTCAC and HUD.

The services shall be performed at the offices of the contractor.

The services shall be provided during regular work hours, Monday through Friday 8:00 AM – 5:00 PM (PST).

No work shall be performed until notification of contract execution is provided by CTCAC.

CTCAC has identified the necessary requirements for collecting HUD LIHTC data on behalf of the CTCAC:

1. Collect and review information from CTCAC's Tenant Income Certification (TIC), Tenant Household Information (THIF) and Supplemental Information forms, which includes, but not limited to the following tenant data elements:
  - a. Type of certification (Initial, Recertification, Other)
  - b. Effective and/or move-in date of household
  - c. Development Data (Property Name, County, BIN #, Address, Unit Number, and Number of Bedrooms, Square Footage)
  - d. Vacancy Date (if applicable)
  - e. Household Composition (Last Name, First Name and Middle Initial of Tenant(s), Relationship to Head of Household, Race, Ethnicity, Disability Status, Date of Birth, Full Time Student Status, and Last 4 Digits of Social Security)
  - f. Gross Annual Income for all household members (Employment or Wages, Social Security/Pension, Public Assistance, or Other Income)
  - g. Income from Assets for all household members (Type of Asset, Interest (if applicable), Cash Value of Assets, and Annual Income from Assets).
  - h. Total Annual Household Income from all Sources, both Gross Annual Income + Income from Assets.
  - i. Effective Date of Move-in Certification
  - j. Household Size at Move-in Certification
  - k. Household Income at of Move-in

**EXHIBIT A  
(Standard Agreement)**

- l. Household Size at Move-in
- m. Determination of Income Eligibility (Total Annual Household Income from all Sources, Current Income Limit per Family Size, Household Income at Move-in, Household Income Restriction Percentages, 140% Income Limit for Current Household Income).
- n. Rent (Tenant Rent, Utility Allowance, Gross Rent for Unit, Maximum Rent Limit for this Unit, Federal Rental Assistance and Source, Non-Federal Assistance, Total Monthly Rental Assistance, Other Non-Optional Charges, Rent Restriction Percentage)
- o. Student Status (Student Status, Student Exemption)
- p. Program Type (Program Type and Income Status)
- q. Tenant Demographic Profile (Race, Ethnicity, and Disability Status)
- 2. Provide LIHTC owners/management companies with an online tutorial on how to collect data and submit data to contractor.
- 3. Provide a point of contact for owners/management companies.
- 4. Respond to questions/calls from tax credit project owners, management agents and HUD relating to HUD tenant specific information.
- 5. On a quarterly basis, provide CTCAC with updates and documentation on properties that have and/or have not submitted data.
- 6. Collect and transmit data for both the 15-year federal compliance period and in the extended use period to HUD and CTCAC upon request.
- 7. Review collected tenant data for accuracy of information provided by property owners.
- 8. Provide CTCAC with data collected prior to HUD submittal.
- 9. Provide data collected to CTCAC:
  - a. Spreadsheet of projects with CTCAC numbers that have not submitted the HUD data or where HUD data is missing.
  - b. Executive report, detailing the HUD data collected for each reporting year, sorted by race, ethnicity, income, rent, and any other fields requested by CTCAC.
  - c. Comparative Report, detailing data reported in previous years, compared to the current year's submittal.
  - d. Any reports requested by TCAC, for any Public Records Act Request.

The project representatives during the term of this agreement will be:

State Agency: CA Tax Credit Allocation Committee (CTCAC)	Contractor: To Be Determined
Name: Ms. Elizabeth Gutierrez-Ramos	Name: To Be Determined
Phone: (916) 651-0410	Phone:
Fax: (916) 654-6033	Fax:

Direct all inquiries to:

State Agency: CA Tax Credit Allocation Committee (CTCAC)	Contractor: To Be Determined
Attention: Ms. Elizabeth Gutierrez-Ramos	Attention: To Be Determined
Address: 915 Capitol Mall, Room 485	Address:
Phone: (916) 651-0410	Phone:
Fax: (916) 654-6033	Fax:

**EXHIBIT B  
(Standard Agreement)**

**BUDGET DETAIL**

**Invoicing**

For services satisfactorily rendered and upon receipt and approval of the invoices, the California Tax Credit Allocation Committee agrees to compensate the contractor for services performed in accordance with the payment schedule noted below.

The following payments will be made to the contractor after completion of the following:

1. \$100,000 to be invoiced following submission and confirmation of the 2017 HUD tenant demographic dataset to HUD.
2. \$100,000 to be invoiced following submission and confirmation of the 2018 HUD tenant demographic dataset to HUD.
3. \$100,000 to be invoiced following submission and confirmation of the 2019 HUD tenant demographic dataset to HUD.

The term of this contract will be from February 6, 2018 (or upon contract execution) through January 1, 2021, with a maximum contract amount of \$100,000 per year. The contract is a three (3) year contract with the option to extend the contract for one (1) year for an additional \$100,000.

Invoices shall include the Agreement Number CTCAC06-17 and shall be submitted in triplicate to:

Elizabeth Gutierrez-Ramos, Compliance Program Manager  
California Tax Credit Allocation Committee (CTCAC)  
915 Capitol Mall, Room 485  
Sacramento, CA 95814

**Budget Contingency Clause**

It is mutually agreed that if the Budget Act of the current year and/or any subsequent years covered under this Agreement does not appropriate sufficient funds for the program; this Agreement shall be on no further force and effect. In this event, the State shall have no liability to pay any funds whatsoever to the Contractor or to furnish any other considerations under the Agreement and Contractor shall not be obligated to perform any provisions of this Agreement.

If funding for any fiscal year is reduced or deleted by the Budget Act for purposes of this program, the State shall have the option to either cancel this Agreement with no liability occurring to the State, or offer an agreement amendment to the Contractor to reflect the reduced amount.

**Prompt Payment Clause**

Payment will be made in accordance with, and within the time specified in, Government Code Chapter 4.5, commencing with Section 927.

**EXHIBIT C**  
**(Standard Agreement)**

**GENERAL TERMS AND CONDITIONS**

Exhibit C to this Agreement, the General Terms and Conditions (GTC-610), is hereby incorporated by reference and made part of this Agreement as if attached hereto. The General Terms and Conditions may be viewed and downloaded at <http://www.dgs.ca.gov/ols/Resources/StandardContractLanguage.aspx> under Standard Contract Language.

**EXHIBIT D  
(Standard Agreement)**

**SPECIAL TERMS AND CONDITIONS**

**1. Excise Tax**

The State of California is exempt from federal excise taxes, and no payment will be made for any taxes levied on employees' wages. The State will pay for any applicable State of California or local sales or use taxes on the services rendered or equipment or parts supplied pursuant to this Agreement. California may pay any applicable sales and use tax imposed by another state.

**2. Settlement of Disputes**

In the event of a dispute, Contractor shall file a "Notice of Dispute" with a Deputy Treasurer of the State Treasurer's Office within ten (10) days of discovery of the problem. Within ten (10) days, the Deputy Treasurer shall meet with the representatives of Contractor and the State identified in Paragraph 4 of Exhibit A for purposes of resolving the dispute. The decision of the Deputy Treasurer shall be final.

**3. Evaluation of Contractor**

Pursuant to Public Contract Code sections 10367 and 10369 within sixty (60) days after the completion of this Agreement, the State shall complete a written evaluation of Contractor's performance under this Agreement. If this Agreement is a contract for consultant services and if Contractor did not satisfactorily perform the work, a copy of the evaluation will be sent to the Department of General Services (DGS), Office of Legal Services, and to the Contractor within fifteen (15) working days of the completion of the evaluation in accordance with Public Contract Code section 10371.

**4. No Agency Liability**

The Contractor warrants by execution of this Agreement that no person or selling agency has been employed or retained to solicit or secure this Agreement upon agreement or understanding for a commission, percentage, brokerage, or contingent fee, excepting bona fide employees or bona fide established commercial or selling agencies maintained by the Contractor for the purpose of securing business. For breach or violation of this warranty, the State shall, in addition to other remedies provided by law, have the right to annul this Agreement without liability, paying only for the value of the work actually performed, or otherwise recover the full amount of such commission, percentage, brokerage, or contingent fee.

**5. Potential Subcontractors**

Nothing contained in this Agreement or otherwise, shall create any contractual relationship between the State and any subcontractors, and no subcontract shall relieve the Contractor of his responsibilities and obligations hereunder. The Contractor agrees to be as fully responsible to the State for the acts and omissions of its subcontractors and of persons either directly or indirectly employed by any of them as it is for the acts and omissions of persons directly employed by the Contractor. The Contractor's obligation to pay its subcontractors is an independent obligation from the obligation of the State to make payments to the Contractor. As a result, the State shall have no obligation to pay or to enforce the payment of any moneys to any subcontractor.

**6. Force Majeure**

Neither party to this Agreement shall be liable for damages resulting from delayed or defective performance when such delays arise out of causes beyond the control and without the fault or negligence of the offending party. Such causes may include, but are not restricted to, acts of God or of the public enemy, acts of the State in its sovereign capacity, fires, floods, power failure, disabling strikes, epidemics, quarantine restrictions, and freight embargoes.

**7. Waivers**

No delay on the part of any party in exercising any right, power or privilege hereunder shall operate as a waiver thereof, nor shall any waiver on the part of any party of any right, power or privilege hereunder, nor any single or partial exercise of any right, power or privilege hereunder, preclude any other or further exercise thereof or the exercise of any other right, power or privilege hereunder.

**8. Incorporation of Amendments to Applicable Laws**

Any references to sections of federal or state statutes or regulations shall be deemed to include a reference to any amendments thereof and any successor provisions thereto.

**9. Confidentiality**

All financial, statistical, personal, technical and other data and information relating to the operations of the State which are designated confidential by the State and become available to Contractor shall be protected by Contractor from unauthorized use and disclosure.

**10. Titles/Section Headings**

Titles and headings are for convenience of reference only, and shall have no effect on the construction or legal effect of this Agreement.

**11. Choice of Law**

Notwithstanding Paragraph 14 of Exhibit C (General Terms and Conditions), this Agreement shall be administered, construed, and enforced according to the laws of the State of California (without regard to any conflict of laws provisions) to the extent such laws have not been preempted by applicable federal law. Any suit brought hereunder, including any action to compel arbitration or to enforce any award or judgment rendered thereby, shall be brought in state court sitting in Sacramento, California, the parties hereby waiving any claim or defense that such forum is not convenient or proper. Each party agrees that any such court shall have in personam jurisdiction over it and consents to service of process in any manner authorized by California law.

**12. Notices**

The parties agree that to avoid unreasonable delay in the progress of the services performed hereunder, Contractor and the State have designated in Paragraph 4 of Exhibit A specific staff representatives for the purpose of communication between the parties. Any notice or other written communication required or which may be given hereunder shall be deemed given when delivered personally, or by mail three (3) days after the date of mailing, unless by express mail then upon the date of confirmed receipt, to the representatives named in Paragraph 4 of Exhibit A.

Either party hereto may, from time to time by notice in writing served upon the other as aforesaid, designate a different mailing address or a different or additional person to which all such notices or demands thereafter are to be addressed.

### **13. Permits and Licenses**

Contractor shall carry out its duties and responsibilities herein in accordance with, be limited in the exercise of its rights by, and observe and comply with, all federal, state, city and county laws, rules or regulations affecting services under this Agreement. Contractor shall procure and keep in full force and effect during the term of this Agreement all permits and licenses necessary to accomplish the work contemplated in this Agreement.

### **14. Books and Records**

Contractor shall keep accurate books and records connected with the performance of this Agreement for a period of at least three (3) years. Contractor shall ensure that books and records of subcontractors, suppliers, and other providers shall also be accurately maintained. Such books and records shall be kept in a secure location and shall be available for inspection and copying by the State and its representatives at any time.

### **15. Key Personnel**

- a. A resume for each member of Contractor's staff who will exercise a significant administrative, policy, or consulting role under this Agreement is attached to this Agreement as Attachment 1, Exhibit A. These members of Contractor's staff shall be hereafter referred to (both individually and collectively) as "Key Personnel."
- b. Contractor shall not substitute, replace or reassign Key Personnel without the prior approval of the State.
- c. This Agreement may be terminated immediately, in the sole discretion of the State and upon written notice from the State to Contractor, because of any change in or departure of any of the Key Personnel.

### **16. Changes in Control, Organization or Key Personnel**

Contractor shall promptly, and in any case within five (5) days, notify the State in writing: (i) if any of Contractor's representations and warranties, as set forth in this Agreement, cease to be true at any time during the term of this Agreement; (ii) of any change in Contractor's staff who exercises a significant administrative, policy, or consulting role under this Agreement, including without limitation any Key Personnel; (iii) of any change in the majority ownership, control, or business structure of Contractor; or (iv) of any other material change in Contractor's business, partnership or corporate organization. All written notices from Contractor under this provision shall contain sufficient information to permit the State to evaluate the changes within Contractor's staff or organization under the same criteria as was used by the State in its award of this Agreement to Contractor.

### **17. Insurance Requirements**

Contractor warrants that it carries adequate liability, worker's compensation and other necessary insurance and shall maintain such insurance at levels acceptable to the State in full force and

effect during the term of this Agreement. Contractor agrees to furnish satisfactory evidence of this insurance coverage to the State upon request.

**18. Subcontractors**

- a. Contractor shall perform the work contemplated by this Agreement with resources available within its own organization except for subcontracted work identified in this Agreement or other attachment incorporated hereto. No other portion of the work pertinent to this Agreement shall be subcontracted without written authorization by the State. The subcontractor must be mutually agreed upon in advance by both parties.
- b. Contractor shall require that any subcontractor agree to be bound by all provisions of this Agreement, as applicable.

**19. Notice of Proceedings**

Contractor shall promptly notify the State in writing of any investigation, examination or other proceeding involving Contractor, including any Key Personnel, commenced by any regulatory agency, which proceeding is not conducted in the ordinary course of Contractor's business.

**20. Cumulative Remedies**

The rights and remedies provided herein are cumulative and are not exclusive of any rights or remedies that any party may otherwise have at law or in equity.

**21. Binding Effect**

This Agreement, any instrument or agreement executed pursuant to this Agreement, and the rights, covenants, conditions and obligations of Contractor and the State contained therein, shall be binding upon the parties and their successors, assigns and legal representatives.

**22. Publicity**

No publicity release or announcement concerning this Agreement or the transactions contemplated herein shall be issued by Contractor without advance written approval by the State.

**23. Services or Procurement Resulting from Agreement**

Neither Contractor, nor any of its subsidiaries, officers or directors, may submit a bid or be awarded a contract for the provision of services, procurement of goods or supplies, or any other related action which is required, suggested, or otherwise deemed to be an outgrowth of the advice or recommendations that Contractor provides under this Agreement.

**24. Agreement Does Not Violate Law**

Contractor represents and warrants that neither the execution of this Agreement nor the acts contemplated hereby nor compliance by Contractor with any provisions hereof will:

- a. Violate any provision of the charter documents of Contractor;
- b. Violate any statute or law or ordinance or any judgment, decree, order, regulation or rule of any court or governmental authority applicable to Contractor; or

- c. Violate, or be in conflict with, or constitute a default under, or permit the termination of, or require the consent of any person under, any agreement to which Contractor may be bound, the violation of which in the aggregate would have a material adverse effect on the properties, business, prospects, earnings, assets, liabilities or condition (financial or otherwise) of Contractor.

#### **25. Power and Authority**

Contractor represents and warrants that it has the power and authority to enter into this Agreement and to carry out its obligations hereunder. The execution of this Agreement has been duly authorized by Contractor and no other proceeding on the part of Contractor is necessary to authorize this Agreement. Contractor has completed, obtained and performed all registrations, filings, approvals, authorizations, consents or examinations required by any government or governmental authority for its acts contemplated by this Agreement.

#### **26. Signature Authorization**

The person signing this Agreement warrants that he/she is an agent of Contractor and is duly authorized to enter into this Agreement on behalf of Contractor.

#### **27. Entire Agreement; Order of Precedence**

- a. This Agreement, including documents that have been incorporated in this Agreement by reference, contains all representations and the entire understanding between the parties hereto with respect to the subject matter hereof. Any prior correspondence, memoranda or agreements are replaced in total by this Agreement.
- b. In the event there are any inconsistencies or ambiguities among the terms of this Agreement and incorporated documents, the following order of precedence shall be used: (i) applicable laws; (ii) the terms and conditions of this Agreement, including exhibits and attachments; (iii) the Request for Proposal (RFP) if any; (iv) Contractor's response to the RFP if any; and (v) any other provisions, terms, or materials incorporated herein.

#### **28. Termination at Option of the State**

In addition to the provisions of Paragraph 7 of Exhibit C (General Terms and Conditions), this Agreement may be terminated in whole or in part at any time upon *30 calendar days'* written notice by the State, for any reason. Upon receipt of a termination notice, Contractor shall promptly discontinue all services affected unless the notice specifies otherwise. In the event the State terminates all or a portion of this Agreement for any reason, it is understood that the State will provide payment to Contractor for satisfactory services rendered prior to the termination, but not in excess of the maximum amount of this Agreement.

#### **29. Termination for Insolvency**

Contractor shall notify the State immediately in writing in the event that Contractor files any federal bankruptcy action or state receivership action, any federal bankruptcy or state receivership action is commenced against Contractor, Contractor is adjudged bankrupt, or a receiver is appointed and qualifies. In the event of any of the foregoing events, or if the State determines, based on reliable information, that there is a substantial probability that Contractor will be financially unable to continue performance under this Agreement, the State may terminate this Agreement and all further rights and obligations immediately.

### 30. Completion

In the event of termination for default, the State reserves the right to take over and complete the work by contract or other means. In such case, Contractor will be liable to the State for any additional cost incurred by the State to complete the work whether reimbursed or not.

### 31. Effect of Termination

All duties and obligations of the State and Contractor shall cease upon termination of this Agreement, except that:

- a. Each party shall remain liable for any rights, obligations, or liabilities arising from activities carried on by it under this Agreement prior to the effective date of termination; and
- b. Contractor shall provide for the return of all records of the State to the State or its designee and shall cooperate fully to effect an orderly transfer of services.

### 32. Termination for Expatriation

Contractor shall notify the State immediately in writing in the event that Contractor or its parent files any notice with the Securities and Exchange Commission that Contractor intends to reincorporate offshore. In the event of such notice, the State may terminate this Agreement and all further rights and obligations immediately by giving five (5) days' notice in writing in the manner specified herein.

### 33. Compliance With Political Reform Act

**Contractor acknowledges that the State is subject to the provisions of the Political Reform Act (Government Code section 81000 et seq. and all regulations adopted thereunder, including, but not limited to, California Code of Regulations, title 2, section 18700 et. seq.) and Contractor shall comply promptly with any requirement thereunder. If required by law, Contractor shall require its personnel, including without limitation, its Key Personnel all later substitutions therefore, to file Statements of Economic Interests in compliance with the Conflict of Interest Code for the Office of the State Treasurer and the various boards, authorities, commissions, and committees chaired by the State Treasurer (California Code of Regulations, title 2, section 1897). All such reports shall be filed simultaneously with the State.**

### 34. Darfur Contracting Act

Effective January 1, 2009, all Invitations for Bids (IFB) or Requests for Proposals (RFP) for goods or services must address the requirements of the Darfur Contracting Act of 2008 (Act). (Public Contract Code section 10475 et seq.) The Act was passed by the California Legislature and signed into law by the Governor to preclude State agencies generally from contracting with "scrutinized" companies that do business in the African nation of Sudan of which the Darfur region is a part, for the reasons described in Public Contract Code section 10475.

A scrutinized company is a company doing business in Sudan as defined in Public Contract Code section 10476. Scrutinized companies are ineligible to, and cannot, bid on or submit a proposal for a contract with a State agency for goods or services. (Public Contract Code section 10477(a).)

Therefore, Public Contract Code section 10478(a) requires a company that currently has (or within the previous three years has had) business activities or other operations outside of the United

States to certify that it is not a “scrutinized” company when it submits a bid or proposal to a State agency. A scrutinized company may still, however, submit a bid or proposal for a contract with a State agency for goods or services if the company first obtains permission from DGS according to the criteria set forth in Public Contract Code section 10477(b).

### **35. Labor Neutrality Policy**

CTCAC recognizes the value of labor organizing and encourages the entities with which it contracts to demonstrate that they also value this principle by encouraging management neutrality in labor organizing activities.

To remain “neutral” means not to take any action or make any statement that will directly or indirectly state or imply any support for or opposition to the selection by the Contractor’s employees of a collective bargaining agent, or preference or opposition to any particular union as a bargaining agent. Nothing in this section obligates or prohibits the Contractor from entering into private neutrality, labor peace or other lawful agreements with a labor organization seeking to represent or who currently represents the Contractor’s employees.