



REQUEST FOR PROPOSALS

for

**WEATHERIZATION ASSISTANCE PROGRAM
FINANCIAL MONITORING
PROFESSIONAL SERVICES CONTRACT**

**INDIANA HOUSING AND COMMUNITY DEVELOPMENT AUTHORITY
30 South Meridian Street, Suite 1000
Indianapolis, IN 46204
<http://www.in.gov/ihcda/>**

317-232-7777

**ISSUE DATE: July 8, 2014
RESPONSE DEADLINE: August 4, 2014 , 5:00 PM EST**

TABLE OF CONTENTS

PART 1 SCOPE OF THIS REQUEST

- 1. PURPOSE OF THIS REQUEST FOR PROPOSALS (RFP)**
- 2. ABOUT THE INDIANA HOUSING AND COMMUNITY DEVELOPMENT AUTHORITY**
- 3. SCOPE OF SERVICES**
- 4. RFP TIMELINE**

PART 2 RFP PROCESS

- 1. SELECTION PROCESS**
- 2. MINIMUM REQUIREMENTS/RESPONSIVE RESPONDENT**
- 3. QUALIFICATIONS EVALUATION CRITERIA**
- 4. RESPONSIBLE RESPONDENT REQUIREMENTS**
- 5. RFP SUBMISSION ITEMS**
- 6. FORMAT FOR SUBMISSION, MAILING INSTRUCTIONS, AND DUE DATE**

PART 3 TERMS AND CONDITIONS

- 1. STATE POLICIES**
- 2. FEDERAL REQUIREMENTS**
- 3. RFP TERMS AND CONDITIONS**
- 4. QUALIFICATIONS COVER SHEET**
- 5. CERTIFICATION OF RESPONDENT**

PART 1

SCOPE OF THIS REQUEST

1. PURPOSE OF THIS REQUEST FOR PROPOSALS (“RFP”)

The Indiana Housing and Community Development Authority seeks to contract with a contractor to provide fiscal operations review as detailed in the Scope of Services section of this RFP.

2. ABOUT THE INDIANA HOUSING AND COMMUNITY DEVELOPMENT AUTHORITY

MISSION STATEMENT

The Indiana Housing and Community Development Authority (“IHCDA”) creates housing opportunities, generates and preserves assets, and revitalizes neighborhoods by facilitating the collaboration of multiple stakeholders, investing financial and technical resources in development efforts, and helping build capacity of qualified partners throughout Indiana.

VISION

At IHCDA, we believe that growing Indiana's economy starts at home. Everyone can agree that all Hoosiers should have the opportunity to live in safe, affordable, good-quality housing in economically stable communities. That's the heart of IHCDA's mission. Our charge is to help communities build upon their assets to create places with ready access to opportunities, goods, and services. We also promote, finance, and support a broad range of housing solutions, from temporary shelters to homeownership.

IHCDA's work is done in partnership with developers, lenders, investors, and nonprofit organizations that use our financing to serve low and moderate-income Hoosiers. We leverage government and private funds to invest in financially sound, well-designed projects that will benefit communities for many years to come. And our investments bear outstanding returns. The activities that we finance help families become more stable, put down roots, and climb the economic ladder. In turn, communities grow and prosper, broadening their tax base, creating new jobs, and maximizing local resources. IHCDA's work is truly a vehicle for economic growth, and it all starts at home.

OVERVIEW (for more information visit <http://www.in.gov/ihcda/>)

IHCDA was created in 1978 by the Indiana General Assembly and is a quasi-public financially self-sufficient statewide government agency. IHCDA's programs are successful in large part because of the growing network of partnerships IHCDA has established with local, state, and federal governments, for-profit businesses and not-for-profit organizations. For-profit partners include investment banks, mortgage lenders, commercial banks, corporate investment managers and syndicators, apartment developers, investors, homebuilders, and realtors. Not-for-profit partners include community development corporations, community action agencies, and not-for-profit developers.

3. SCOPE OF SERVICES

The Weatherization Assistance Program (WAP) is a federal program that provides energy conservation measures to reduce the utility bills of low-income Hoosiers (at or below 200 percent of the federal poverty level) across the state. The WAP offers clients a permanent solution to reducing their energy bills by making their homes more energy efficient. The United States Department of Energy (“DOE”) allocates

funds to IHCDA for distribution to our network of sub-grantees to perform weatherization work. The Respondent, if selected through this RFP, will be required to perform the following services:

Tasks:

- (a) The Respondent shall conduct fiscal reviews that consist of a thorough analysis of recent financial statements and their relationship to the trial balance, general ledger, and subsidiary ledgers. Supporting documentation used to support reimbursement claims, bank statement reconciliations and payroll transactions must be analyzed. The IRS form 990 for each sub-grantee must be reviewed, and each sub-grantee's cost allocation plan must be tested in order to determine that the proper allocation methodology was used by the sub-grantee. The sub-grantee's most recent A-133 audit will be reviewed as deemed necessary by the Respondent.
- (b) The Respondent shall obtain a thorough understanding of the WAP fiscal requirements related to all financial activities for compliance per OMB Omni Circular, 10 CFR-440, 10 CFR-600, and Indiana's Weatherization Policy and Procedures Manual.
- (c) The Respondent shall obtain a thorough understanding of the sub-grantees' requirements for administration of the WAP.
- (d) The Respondent shall document that sub-grantee is meeting IHCDA expectations for administration of the WAP or site deficiencies and weaknesses in the form of findings and concerns.
- (e) The Respondent shall obtain guidance from IHCDA staff regarding the elements of the fiscal review that are required by IHCDA, Indiana's Weatherization Policy and Procedures Manual, and the reporting and tracking process of DOE.
- (f) The Respondent shall train its staff in WAP requirements on these components and the federal requirements of the program as referenced in subsection b of this section.
- (g) Respondent shall develop a monitoring plan and a monitoring tool. The monitoring plan must contain a schedule to accomplish monitoring visits and report issuance for all 23 Weatherization sub-grantees. The monitoring tool must be developed upon information outlined in subsection (b) of this section and used at each sub-grantee to ensure consistency in the monitoring process.
- (h) The Respondent shall schedule and conduct an entrance and exit interview for each monitoring visit.
- (i) Projected timeline for duration of services is approximately seven (7) to ten (10) months.

Project Management:

- 1) The Respondent shall ensure project expectations are met, the monitoring plan is executed, and that feedback and reports are submitted to IHCDA in a timely fashion.
- 1) The Respondent shall ensure that the planning process is completed and that an adequate number of its staff is assigned to the project.
- 2) The Respondent shall frequently meet with IHCDA staff to ensure the monitoring plan is executed in a timely fashion.
- 3) The Respondent shall prepare reports for IHCDA, provide feedback to sub-grantees, and follow-up with sub-grantees as deemed necessary by Respondent and/or IHCDA.
- 4) The Respondent shall quality control review its reports for completeness and consistency prior to submission to IHCDA or the Weatherization sub-grantees.
- 5) Respondent shall review the status of the monitoring plan with IHCDA and follow up on any issues or concerns with sub-grantees, and provide overall program review and recommendations.

Reporting and Tracking:

- 1) The Respondent shall conduct onsite monitoring at the main offices of each of the 23 Weatherization sub-grantees.
- 2) The Respondent's visit shall include an entrance interview, a financial review, an interview with the Executive Director or WAP person of contact (or equivalent), and an exit interview.
- 3) The Respondent shall issue a monitoring report to IHCDA within fifteen (15) business days from the exit interview. IHCDA will then review the report and respond to Respondent within ten (10) business days. Respondent will then have five (5) business days to issue the completed report to the Weatherization sub-grantee.
 - a) The monitoring report shall include the following:
 - i) The date of the monitoring review;
 - ii) A summary of findings and concerns identified in the monitoring review;
 - iii) The Return of Funds amount, as applicable, to be paid to IHCDA;
 - iv) Program recommendations to improve financial position, as applicable;
 - v) A recommendation to IHCDA that the sub-grantee should be placed on a Quality Improvement Plan, as applicable;
 - vi) A requirement that monitoring responses must be received from the Weatherization sub-grantees within fifteen (15) business days from the date that the monitoring report was issued;
 - vii) Notification regarding program management of any sub-grantee with internal controls malpractices, evidence of unallowable expenses or any mismanagement of funding discovered or encountered during the monitoring visit;
 - b) The Respondent shall conduct regularly scheduled meetings with IHCDA WAP management to ensure that financial monitoring objectives and claims review are met according to and in compliance with overall WAP objectives.

Elements of the Respondent's Review:

- 1) The Respondent's review of each sub-grantees fiscal practices shall include, but not be limited to, the following elements:
 - a) Review sub-grantee books, records and documents related to all financial activities for compliance per OMB A-110, 10 CFR-440, 10 CFR-600, OMB Omni Circular, and Indiana's Weatherization Policy and Procedures Manual.
 - b) Review and conduct test of sub-grantees cost allocation plan to include, at a minimum, administrative, program support and direct services cost.
 - c) Review and document any unresolved findings from other funding sources.
 - d) Complete a financial analysis of the sub-grantees liquidity, efficiency, leveraging ratios and overall financial strength.

Conduct claims validation to identify any unallowable costs charged to WAP.**4. RFP TIMELINE**

| | |
|-----------------|---|
| July 8, 2014 | RFP released to the general public. |
| August 4, 2014 | Respondent must submit its response to RFP by 5:00 pm EST. |
| August 15, 2014 | Tentative selection is made pending approval by Executive Committee Approval. |
| August 28, 2014 | Tentative selection taken to Executive Committee for approval. |

PART 2

RFP PROCESS

1. SELECTION PROCESS

Evaluation of all qualifications will be completed by IHCDA. Respondent must also be responsive and responsible as described in Section 2, and 4 of Part 2 of this RFP. Selection of a respondent is at the sole discretion of IHCDA.

2. MINIMUM REQUIREMENTS/RESPONSIVE RESPONDENT

Respondent's staff fulfilling the duties outlined in this RFP must meet the following minimum requirements to be deemed responsive to this RFP.

Credentials

- Bachelor's degree; and
- Preferably either an MBA, or active C.P.A. certification; and
- Preferably 3-5 years relevant experience in any of the following areas:
 - Accounting; or
 - Finance; or
 - Auditing; or
 - Federal programs.

Experience

Additional experience pertaining to the following will also be weighed heavily in the selection process.

- Financial and regulatory requirements related to not-for-profits receiving federal funding.
- Government cost allocation requirements.
- Federal grant management and oversight.
- Federal grant management and oversight related to WAP.

3. QUALIFICATIONS EVALUATION CRITERIA

The following will be IHCDA's primary consideration in the selection process:

1. Compliance with the requirements of this RFP;
2. An assessment of the Respondent's ability to deliver the indicated service in accordance with the specifications set out in the RFP;
3. Experience of the Respondent;
4. Strength of client references;
5. Demonstrated understanding of federal requirements for cost allocation plans and proposed strategy for management of this project, if selected; and
6. Competitive fee.

4. RESPONSIBLE RESPONDENT REQUIREMENTS

IHCDA shall not award any contract until the selected respondent has been determined to be responsible. A responsible respondent must:

1. Have adequate financial resources to perform the project, or the ability to obtain them;
2. Be able to comply with the required or proposed delivery or performance schedule, taking into consideration all the Respondent's existing commercial and governmental business commitments;
3. Have a satisfactory performance record with IHCDA, if applicable;
4. Have a satisfactory record of integrity and business ethics;
5. Have the necessary organization, experience, accounting and operational controls, and technical skills, or the ability to obtain them;
6. Have the necessary production and technical equipment and facilities, or the ability to obtain them;
7. Have supplied all requested information;
8. Be legally qualified to contract in the State of Indiana and is an entity described in IC Title 23, is properly registered, and owes no outstanding reports to the Indiana Secretary of State (There is a fee to register with the Secretary of State); and
9. Be otherwise qualified and eligible to receive an award under applicable laws and regulations, including not be suspended or debarred. If a prospective contractor is found to be non-responsible, a written determination of non-responsibility shall be prepared and included in the official file for this RFP, and the respondent shall be advised of the reasons for the determination.

5. RFP SUBMISSION ITEMS

Respondent must submit documentation in response to the requirements listed in each category heading summarized below. All of these requirements are described more fully in **Section 2 of Part II** of this RFP, entitled "**Minimum Requirements/Responsive Respondent**". Therefore, Respondent must review **Section 2 of Part II** of this RFP very carefully before submitting its responses. The Respondent must also submit the Qualifications Coversheet and the Certification of Company located at the end of this RFP.

1. Resumes for each person that will be assigned to the engagement. At a minimum, resumes should contain the person's name, educational background, and relevant experience related to this project's requirements.
2. A description of the firm's experience within the last three (3) to five (5) years related to the audit/review of cost allocation plans and fiscal procedures of recipients of federal funding or similar services.
3. Submit three (3) references related to similar services performed for other organizations.
4. Discuss and provide examples of Respondent's plan to manage this project, if selected.
5. Discussion of why Respondent should be selected over any other respondent.
6. Standardized fee for performing fiscal reviews for each sub-grantee on a per review basis.

6. FORMAT FOR SUBMISSION, MAILING INSTRUCTIONS, AND DUE DATE

Respondent's proposal must be submitted to IHCDA in both hard copy and electronic format. Please submit the RFP response to the following:

Ray Judy
Community Programs Manager - Weatherization
Indiana Housing and Community Development Authority
30 South Meridian, Suite 1000
Indianapolis, IN 46204
rjudy@ihcda.in.gov

The deadline for submission is August 4, 2014 at 5:00 PM EST.

Applications that do not contain all of the required forms/documents as listed in this RFP may be determined ineligible for further consideration.

PART 3

TERMS AND CONDITIONS

1. STATE POLICIES

- A. **ETHICAL COMPLIANCE:** By submitting a proposal, the respondent certifies that it shall abide by all ethical requirements that apply to persons who have a business relationship with the State, as set forth in Indiana Code § 4-2-6 et seq., Ind. Code § 4-2-7, et seq., the regulations promulgated thereunder, and Executive Order 04-08, dated April 27, 2004. Respondent will be required to attend online ethics training conducted by the State of Indiana.
- B. **CONFIDENTIAL INFORMATION:** Respondents are advised that materials contained in proposals are subject to the Access to Public Records Act (“APRA”), IC 5-14-3 et. seq., and the entire response may be viewed and copied by any member of the public. Respondents claiming a statutory exemption to disclosure under APRA must place all confidential documents (including the requisite number of copies) in a sealed envelope marked “Confidential”. Respondents should be aware that if a public records request is made under APRA, IHCDA will make an independent determination of confidentiality, and may seek the opinion of the Public Access Counselor. Prices are not considered confidential information.
- C. **TAXES, FEES AND PENALTIES:** By submitting a proposal respondent certifies that neither it nor its principal(s) is presently in arrears in payment of its taxes, permit fees or other statutory, regulatory or judicially required payments to the State of Indiana or the United States Treasury. Respondent further warrants that it has no current, pending or outstanding criminal, civil, or enforcement actions initiated by either the State or Federal Government pending against it, and agrees that it will immediately notify IHCDA of any such actions.
- D. **CONFLICT OF INTEREST:** Respondent must disclose any existing or potential conflict of interest relative to the performance of the services resulting from this RFP, including any relationship that might be perceived or represented as a conflict. By submitting a proposal in response to this RFP, respondent affirms that it has not given, nor intends to give at any time hereafter, any economic opportunity, future employment, gift, loan, gratuity, special discount, trip, favor, or service to a public servant or any employee or representative of same, in connection with this procurement. Any attempt to intentionally or unintentionally conceal or obfuscate a conflict of interest will automatically result in the disqualification of the respondent’s proposal or immediate termination of an awardee’s contract. An award will not be made where an actual conflict of interest exists. IHCDA will determine whether a conflict of interest exists and whether an apparent conflict of interest may reflect negatively on IHCDA, should IHCDA select respondent. Further, IHCDA reserves the right to disqualify any respondent on the grounds of actual or apparent conflict of interest.
- E. **APPEALS:** Respondent may appeal the award of this contract based on alleged violations of the selection process that resulted in discrimination or unfair consideration. The appeal must include the stated reasons for the Respondent’s objection to the funding decision, which reasons must be based solely upon evidence supporting one (1) of the following circumstances:
- a. Clear and substantial error or misstated facts which were relied on in making the decision being challenged;
 - b. Unfair competition or conflict of interest in the decision-making process;

- c. An illegal, unethical or improper act; or
- d. Other legal basis that may substantially alter the decision.

The appeal must be received within ten (10) business days after the Respondent receives notice of the contract award, or the appeal/protest will not be considered. All appeals shall be in writing, submitted to the Compliance Officer, who shall issue a written decision on the matter. The Compliance Officer may, at his/her discretion, suspend the procurement pending resolution of the protest if the facts presented so warrant. The Respondent will receive written acknowledgement of receipt of the appeal within five (5) business days of its receipt, noting the day the appeal was received. Any appeal regarding the funding decision made by IHCDA will be examined and acted upon by the Compliance Officer within thirty (30) days of its receipt.

2. FEDERAL REQUIREMENTS

Respondent agrees to comply with the following federal regulations:

- A. OMB A-122 (or Super Circular as applicable)
- B. 10 CFR-440
- C. 10 CFR-600
- D. Indiana Weatherization Policy and Procedures Manual

3. RFP TERMS AND CONDITIONS

This request is issued subject to the following terms and conditions:

- A. This RFP is a request for the submission of qualifications, but is not itself an offer and shall under no circumstances be construed as an offer.
- B. IHCDA expressly reserves the right to modify or withdraw this request at any time, whether before or after any qualifications have been submitted or received.
- C. IHCDA reserves the right to reject and not consider any or all respondents that do not meet the requirements of this RFP, including but not limited to: incomplete qualifications and/or qualifications offering alternate or non-requested services.
- D. IHCDA reserves the right to reject any or all companies, to waive any informality in the RFP process, or to terminate the RFP process at any time, if deemed to be in its best interest.
- E. In the event the party selected does not enter into the required agreement to carry out the purposes described in this request, IHCDA may, in addition to any other rights or remedies available at law or in equity, commence negotiations with another person or entity.
- F. In no event shall any obligations of any kind be enforceable against IHCDA unless and until a written agreement is entered into.
- G. The Respondent agrees to bear all costs and expenses of its response and there shall be no reimbursement for any costs and expenses relating to the preparation of responses of qualifications submitted hereunder or for any costs or expenses incurred during negotiations.
- H. By submitting a response to this request, the Respondent waives all rights to protest or seek any remedies whatsoever regarding any aspect of this request, the selection of another respondent or respondents with whom to negotiate, the rejection of any or all offers to negotiate, or a decision to terminate negotiations.
- I. IHCDA reserves the right not to award a contract pursuant to the RFP.
- J. All items become the property of IHCDA upon submission and will not be returned to the Respondent.
- K. IHCDA reserves the right to split the award between multiple applicants and make the award on a category by category basis and/or remove categories from the award.

- L. The Respondent certifies that neither it nor its principals, contractors, or agents are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from utilizing federal funds by any federal or state department or agency.
- M. A copy of IHCDA's most recent Contract Boilerplate is attached as an Exhibit to this RFP. By submitting a response to this RFP, respondent acknowledges the acceptance of IHCDA's Contract Boilerplate and the understanding that such Boilerplate is non-negotiable.

Weatherization Assistance Program Financial Monitoring

4. Cover sheet shall contain the following information:

Name of Individual,
Firm or Business:

Address:

Phone Number:
Fax Number:
Web Site Address:

QUALIFICATION
Contact Person:

Title:
Email Address:
Phone:

Contract Signatory
Authority:

Title:

INDIANA HOUSING AND COMMUNITY DEVELOPMENT AUTHORITY

5. CERTIFICATION OF RESPONDENT

I hereby certify that the information contained in these qualifications and any attachments is true and correct and may be viewed as an accurate representation of proposed services to be provided by this organization. I acknowledge that I have read and understood the requirements and provisions of the RFP and agree to abide by the terms and conditions contained herein.

I _____ am the _____ of

the (type name of signatory authority) corporation, partnership, association, or other entity named as company and the Respondent herein, and I am legally authorized to sign this and submit it to the Indiana Housing and Community Development Authority on behalf of said organization.

18 U.S.C. § 1001, "Fraud and False Statements," provides among other things, in any matter within the jurisdiction of the executive, legislative, or judicial branch of the Government of the United States, anyone who knowingly and willfully: (1) falsifies, conceals, or covers up by any trick, scheme, or device a material fact; (2) makes any materially false, fictitious, or fraudulent statement or representation; or (3) makes or uses any false writing or document knowing the same to contain any materially false, fictitious, or fraudulent statement or entry; shall be fined under this title, and/or imprisoned for not longer than five (5) years.

Respondent:

Signed: _____

Name: _____

Title: _____

Date: _____

Firm name: _____