



Request for Proposals to Provide

Underwriting Services for  
Community Development Block Grant  
Economic Development Allocation Program

Request Date:

April 18, 2013

Deadline for Responses:

May 8, 2013, 12:00 P.M. (Pacific Time)

## CITY OF UKIAH

### Request for Proposals to provide Underwriting Services for Community Development Block Grant Economic Development Allocation Program

#### 1.0 INTRODUCTION

The City of Ukiah is inviting sealed proposals from qualified firms for business underwriting, business plan/market analysis development, and application preparation services for the CDBG Economic Development Allocation Program. As business applications are proposed a qualified firm will be needed to work on underwriting, loan application preparation, and submittal to the State, using CDBG regulation and the City's guidelines. For your reference, included as Attachment "A" is the City's CDBG Standard Agreement – No. 10-EDEF-7261. These services will be retained for up to three years.

#### 2.0 SCHEDULE OF EVENTS AND DELIVERY

The schedule of events for this procurement is as follows:

Distribute Request for Proposals:	April 18, 2013
Deadline for Responses:	May 8, 2013, 12:00 P.M. (Pacific Time)

The City must receive proposals no later than the time and date specified above. Five (5) copies of the proposal should be sent to the following address, with one signed original included:

#### PLEASE MARK YOUR SUBMITTAL "Underwriting Services" AND SEND IT TO:

Mary Horger  
Purchasing Supervisor  
City of Ukiah  
411 West Clay Street  
Ukiah, CA 95482

#### 3.0 SCOPE OF WORK

The scope of services shall include tasks described below, as well as other elements or modifications, which may be suggested by consultants presenting proposals to better meet the needs of the City. All services shall be provided in accordance with the City's draft professional services agreement, a sample of which is attached as Attachment "B" and the required contract provisions for Community Development Block Grant (CDBG)-Aided Consultant Contracts which is attached as Attachment "C".

1. CDBG Program Income (PI) – Underwriting, Business Plan/Market Analysis, and Loan Application Preparation
2. CDBG Over-the-Counter (OTC) – Underwriting, Business Plan/Market Analysis, and Loan Application Preparation
3. CDBG Enterprise Fund Allocation – Underwriting, Business Plan/Market Analysis, and Loan Application Preparation



#### 4.0 REQUIRED PROPOSAL CONTENT

Firms interested in providing the services described in the section above must submit a proposal responding to all the questions below and providing all information requested in a format that mirrors the RFP by section and order listed.

Proposals shall include at a minimum:

1. Brief description of firm, contact person, address and telephone number.
2. Resumes of staff who will work on the CDBG project underwriting, business plan/market analysis development, and loan application preparation, including qualifications of project implementation staff, sub-consultants, and/or financing experts.
3. Firm's experience in CDBG loan processing, market research to document future sales revenue, business plan development, and loan application packaging.
4. Examples of knowledge and skills in networking, contact development, and marketing ability for local government.
5. Knowledge and experience in underwriting, financing, and coordinating loan processing.
6. Three references who have knowledge of firm's recent work.
7. Proposed schedule of work and phased milestones for completion.
8. Identify any exceptions you are proposing with respect to the Scope of Services. Additionally, if there are any exceptions to the City's insurance requirements and/or the City's draft professional services agreement as shown in the attachments, the Consultant should list the exceptions in the proposal.
9. Submit a list and describe any lawsuits filed against the firm during the preceding three (3) years, and any litigation currently pending or threatened in conjunction with the types of services described in the RFP.
10. Proposed fix-price cost of Underwriting, Business Plan/Market Analysis, and Loan Application Preparation for a CDBG OTC, a CDBG PI and/or a CDBG Enterprise Fund. Cost shall be based on an hourly budget. Please include a schedule of hourly rates for each employee of the firm that might be charged to the City's Program.
11. Proposals must be signed by an authorized employee in order to receive consideration.



## 5.0 PROPOSAL EVALUATION

The City of Ukiah is using the competitive proposal process, wherein the experience of each submitted proposal is evaluated as it relates to the Scope of Work. The City intends to select one firm to provide underwriting services related to the contemplated financing. The City will make its selection using the following criteria and rating schedule:

1.	How firm addresses the Scope of Work.	25 Points, Maximum
2.	Overall experience of firm in CDBG business loan underwriting and application preparation.	25 Points, Maximum
3.	Specific experience of the firms in the areas of CDBG guidelines and monitoring compliance.	25 Points, Maximum
4.	Knowledge of business lenders and lending climate in the area.	10 Points, Maximum
5.	Knowledge of and experience in delivering technical business assistance and ability to assess project feasibility.	10 Points, Maximum
6.	Availability and accessibility to program participants & City staff. Consultant Fee and Billing Rates.	5 Points, Maximum
		100 Points, Total

The City of Ukiah reserves the right to negotiate aspects of the project with the successful firm. An evaluation committee will be assembled to review all proposals and will report its recommendation to the Ukiah City Council.

The City reserves the right to invite the respondents to make oral presentations. If oral presentations are required, the City reserves the right to limit the number of oral presentations and will set forth presentation guidelines at that time. **The City reserves the right to reject all proposals, to select without interviews, to negotiate with multiple respondents, or to re-solicit additional firms.**

Cost, although a significant factor, will not be the only basis for selection. The underwriter's past performance on other equitable projects and the assessment of the quality of your services provided by members of the financing team will also be considered. The City also reserves the right to further negotiate terms with any of the proposer subsequent to receipt of the proposals.

The City Council, whom retains the right to reject any and all proposals, will award the contract. Selection will be made within 30 days of the proposal deadline, if possible. The City reserves the right to award a contract to the firm that presents the proposal, which in the sole judgment of the City best serves the City's interest. The City reserves the right to reject any or all proposals, to waive minor irregularities in said proposals, and/or to negotiate minor deviations with the successful firm.

Once the contract is awarded, the selected contractor shall submit certificates of insurance complying with the City's requirements, prior to the contract being fully executed. There are no bonding requirements for the proposed project.



## 6.0 CONFLICTS OF INTEREST

Please identify any conflict of interest, or appearances of same, which might impair your firm's ability to perform this assignment in an effective manner.

## 7.0 SUBMISSION REQUIREMENTS

The hardcopy submittals must be one-sided on standard letter-size paper (8.5" x 11") and have a minimum font size of eleven (11) points. A one (1) to two (2) page cover letter should be submitted, which includes a point of contact for the underwriting firm. The proposal should be made upon official letterhead and bear the name, title, and signature of a duly authorized officer of the proposing company. Electronic submittals must be sent via email in PDF format.

Submittals should address the questions and requirements within "REQUIRED PROPOSAL CONTENT" section of the RFP and should not exceed fifteen (15) pages, excluding a one (1) to two (2) page transmittal letter and any appendices you choose to include. Please submit your responses in the same order as listed in "REQUIRED PROPOSAL CONTENT" to facilitate review and comparison.

All proposals must be received as described above under the section entitled "SCHEDULE OF EVENTS AND DELIVERY." Any proposal or part thereof received after the designated time will not be considered. The contract will be awarded to the firm whose proposal best meets the needs of the City in its sole discretion. Proposals shall be valid for one hundred and twenty (120) days after the final proposal due date.

The City reserves the right to reject any or all proposals, to waive any informality or irregularity in any proposal received, and to be the sole judge of the merits of the respective proposals received. The City may request interviews with selected firms prior to making a final award. The proposal shall be in accordance with the format specified herein. This RFP does not obligate the City to undertake any financing.

## 8.0 CONTACT PERSON

Please contact Mary Horger, Purchasing Supervisor, if you have questions or require additional information. Questions must be submitted in writing via email. Contact information can be found below.

Mary Horger, Purchasing Supervisor  
City of Ukiah  
[mhorger@cityofukiah.com](mailto:mhorger@cityofukiah.com)

Communication between a proposing company and a member of the City staff, other than the Purchasing Supervisor, or between a proposing company and a non-designated City representative regarding the selection of a proposing company or award of this contract is explicitly prohibited from the time the RFP is advertised until the selection of a proposing company or award of the contract. Questions pertaining to this RFP shall be addressed to the party specified above. Failure of a proposing company, or any of its representatives, to comply with this paragraph will result in their proposal being rejected.

## 9.0 ADDENDA

If it becomes necessary to revise any part of this RFP, an addendum will be provided to all proposing companies in written or electronic (i.e., facsimile or email) form.



## **10.0 INSURANCE REQUIREMENTS**

Awarded firm, prior to performing any work, shall procure and maintain for the duration of the contract insurance against claims for injuries to persons or damages to property, which may arise from or in connection with its performance under the Agreement, certificates of insurance covering full liability under Worker's Compensation laws of the State of California, Comprehensive General Liability and Business Auto Insurance with policy limits of not less than \$1,000,000 naming the City as an additional insured party. Provided as Attachment "D" are the City's complete insurance requirements for your review.

## **11.0 CITY BUSINESS LICENSE**

Awarded firm will be required to maintain a City business license for the duration of the contract. Information regarding the City business license can be found on the City website, at [www.cityofukiah.com](http://www.cityofukiah.com).

## **12.0 PUBLIC RECORDS**

All materials submitted in response to this RFP are property of the City and will not be returned. The materials will be a public record subject to the disclosure provisions of the California Public Records Act and any other related public law or provision of such laws.

## **13.0 FINANCIAL RESPONSIBILITY**

The City accepts no financial responsibility for any costs incurred by a firm in responding to this RFP. Submissions will become the property of the City and may be used by the City in any way deemed appropriate.

