

Rocky Hill Housing Authority  
36 Willow Road  
Rocky Hill, CT. 06067  
860-563-7868  
[smoores@rockyhillhousing.org](mailto:smoores@rockyhillhousing.org)

## Rocky Hill Housing Authority Procurement Policy

All procurement transactions for goods, services, and construction by a funding recipient with state or federal resources administered by the Rocky Hill Housing Authority in full or part must comply with all applicable state and federal statutes, regulations including requirements and guidelines indicated in this document. For multiple source funding, the most stringent requirements apply. Procurement must be cost effective, efficient, and consistent with State and Federal statutes, rules, and regulations. Depending on the dollar value of the transaction, procurement may have to be open (publicly advertised) and/or competitive (3 or more bidders).

All providers and contractors must be appropriately licensed, qualified, experienced, registered to do business in CT, and adequately insured to provide the services requested. Please note that for some professional service providers and contractors', additional requirements may apply as per a Notice of Funding Availability (NOFA) State and or Federal program.

Service providers for small projects for buildings less than 5,000 square feet, a contractor, designer, intern architect, rehabilitation specialist, consultant, manufacturer, or certified installer with 3 or more years' experience in the production of drawings and specifications related to the scope of work may be procured. Resume, References, List of similar work/projects required.

### **Procedures for expenditures in excess of \$100,000:**

- A. The Rocky Hill Housing Authority shall request written approval from the CHFA prior to soliciting bids. (See Repair, Maintenance and Replacement Reserve Policy and Procedure, "Transmittal for Pre-Approval".)
- B. Upon receiving the request, the CHFA will provide guidance as needed to determine (1) whether the Rocky Hill Housing Authority should use the services of a consultant/engineer; and (2) if the Rocky Hill Housing Authority has sufficient reserve funds to finance the repairs. If the Rocky Hill Housing Authority does not have sufficient funds, they will be referred to CHFA for assistance in applying for other potential funds.

If a consultant/engineer is recommended, CHFA will provide the Rocky Hill Housing Authority with the CHFA's new guidelines for the procurement of consultant/engineer by competitive proposal process that should be used to engage the services of the consultant/engineer.

- C. The Rocky Hill Housing Authority may be required to submit a set of the consultant's/engineer's final plans and specifications to the Asset Manager Division. In such cases, CHFA staff will conduct a very limited review of the plans and specifications and advise the Rocky Hill Housing Authority and consultant/engineer of any required changes. The consultant/engineer will then prepare a set of plans and specifications for bidding that incorporates these changes.
- D. The Rocky Hill Housing Authority shall document in their files the acceptance of the final plans and specifications and insure that CHFA's comments are incorporated. An acceptance letter will be sent by the Rocky Hill Housing Authority to the consultant/engineer.

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- E. Funding recipients to submit the following to ATS for review before advertising: a. Bid Package, Invitation to Bid. A request for proposals and qualifications (RFP's & RFQ's,). Proposed selection criteria/scoring sheet. A list of publications to be used for advertising.  
Before Contract Award Notification: Fee or bid summary of all bidders or proposals. Scoring sheets. Proposed contract awardee. Proposed contract.
- F. Criteria the RFP /RFQ must provide objective criteria for determining the "lowest responsible qualified bidder", most qualified, best fee or cost proposer. This criterion must be included in the advertised solicitation for the contract.
- G. Proposals and qualifications must be evaluated based on factors stated in the request for proposals or qualifications. The invitation to bid, request for proposals or qualifications shall state the evaluation factors, including price, and their relative importance. Past performance and financial responsibility shall always be factors in making the determination of the "lowest responsible qualified bidder" or highest scorer.
- H. The "lowest responsible qualified bidder" is the bidder whose bid is the lowest of those bidders possessing the skill, ability, and integrity necessary to perform the work based on objective criteria, including references.
- I. The "highest scorer in multiple criteria bid or RFQ only" is the submitter/bidder who receives the highest score for a combination of attributes, including, but not limited to, price, skill, ability and integrity necessary for the faithful performance of the work.

RFQ Selection process, the Rocky Hill Housing Authority will use competitive proposal procedures for qualifications-based procurement of architectural/engineering (A/E) professional services whereby competitors' qualifications are evaluated, and the most qualified competitor is selected, subject to negotiation of fair and reasonable compensation. The method, where price is not used as a selection factor, can only be used in procurement of A/E professional services. The Rocky Hill Housing Authority shall prepare a formal Request for Qualifications or Proposals (RFQ/P) for the proposed project, which shall prescribe the manner, conditions, and requirements of the response submissions. The RFQ shall request respondents to indicate their interest in the project and illustrate their relevant project experience and overall capabilities to perform the required services. The RFQ should include a minimum of the following:

- 1. The scope of services is a general description of the intended project, which includes:
  - a. A description of the intended site, type of project and number of units.
  - b. A list of unusual conditions and requirements.
  - c. Funding program requirements.
  - d. A general description of the professional services to be provided.
  - e. A general description of the deliverables to be produced by the professional.
  - g. A time schedule for the overall project, including the selection process to retain a firm or contractor.

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2. The manner in which the firm's qualifications shall be submitted which shall include the firm's brochure, experience with similar projects, and relevant resume(s).
3. Fees, hourly rate and expense schedule (Professional Services).
4. References and contact information for not less than three professional references.
5. Selection Criteria: Competence, experience on similar projects, ability to perform the required service within the overall time schedule.
6. Submittal Instruction: The location and address where the responses are to be submitted.
7. Time Deadline: The time schedule for receipt of responses, date, and time DOH reserves the right to review the RFQ prior to finalization.
8. Selection Committee:

The Rocky Hill Housing Authority shall have the Board of Commissioners screen and evaluate RFQ responses, select the qualification firms and request fee proposals, interview qualified firms, and make final selection. The Board of Commissioners should be assembled prior to the release of the RFQ. The Board of Commissioners shall establish evaluation criteria and forms for the purpose of evaluating and ranking each respondent's qualifications. The evaluation forms shall be finalized prior to the receipt of the proposals.

#### Suggested Evaluation Criteria:

- a. Ability to provide proposed scope of services.
- b. Qualifications and experience of project team.
- c. Capacity to meet schedule/time requirements.
- d. Awareness of project issues, complexities.
- e. Experience on similar projects.
- f. Quality and performance on past services.
- g. Fees & expenses.
- h. References.

The Board of Commissioners shall review the responses and rank the firms according to their qualifications and criteria important to the project. The Board of Commissioners should develop a "short list" of the top three firms, by scores that are deemed to be most qualified to perform the required professional services. The committee shall screen all responses received for compliance with the RFQ. Responses that do not comply with the intent of the RFQ will not be considered in the selection process.

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- J. Required Local Media/Paid Minimum 2 days in (1) local newspaper general circulation in market area Public/legal notices sections. Additional Advertising Free electronic and paper advertisements. Postings in community. Construction Advertising/Invitation to Bid the Advertisement should include:
  - a. Whether the project is state and or federally funded.
  - b. If State Prevailing Wages or Davis Bacon applies.
  - c. All EEO, MBW, WBE requirements
  - d. Bonding Requirements.

A second option is to publicly notice a call to pre-qualification of professional service providers and contractors. Responders will submit their qualifications for review by the Rocky Hill Housing Authority and the Board of Commissioners. A short-list would be assembled of the qualified service providers or contractors. These pre-qualified service providers and contractors would then be eligible to receive proposed scope of work and information to review for the project. It is useful in eliminating unqualified service providers and contractors from bidding or proposing fees for work that is outside of their experience/ability.

2. Non-public advertising with medium to large projects it is common for the project sponsor to approach (3) reputable contractors and request that they review the project plans and specification and submit a sealed bid for the contract at a pre-arranged time and date.

- K. Required by Commission on Human Rights & Opportunities (CHRO) SBE/WBE/MBE advertising requirements.
- L. After the final plans and specifications have been accepted by the Rocky Hill Housing Authority, the Board of Commissioners should issue the approval for procurement of public advertisement for bids in accordance with the latest CT General Statute Sec. 8-44(b).
- M. The Rocky Hill Hosing Authority must retain copies of all bid packages that were received from perspective bidders along with copies of all legal notices of bid advertisements. Required Local Media/Paid Minimum 2 days in 1 local newspaper general circulation in market area Public/legal notices sections.
- N. The Executive Director of the Rocky Hill Housing Authority of should make a recommendation of the selected lowest responsible bidder to the Board of Commissioners for approval and passage of an appropriate resolution.
- O. CHFA reserves the right to request any and all information on any bid at any time.
- P. After the selection of a contractor is approved by the Board of Commissioners, CHFA's Asset Management staff will provide the Rocky Hill Housing Authority with the bid award and contract execution information and procedures to be utilized by the Rocky Hill Housing Authority in the execution of the construction contract.
- Q. The Rocky Hill Housing Authority must submit to CHFA's Asset Manager one set of original executed construction contract documents with an insurance certificate(s) from the contractor that lists the following coverage's:

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1. Requirements for Non-Professional/Licensed Service Providers Professional Liability Insurance (errors & omissions) is required for buildings less than 5,000 square feet with cost over \$100,000 if the service provider is not under the contractor, manufacturer, or covered/employed by someone who is covered. Minimum \$250,000, CHFA may require more depending on the project hard cost.
2. Requirements for Architects & Engineers Professional Liability Insurance covers direct monetary loss and expense from arising from claims for alleged neglect, error or omission in the performance of services in a professional capacity.
3. Workers Compensation is mandatory for all individuals (Contractors, Sub-Contractors, Managers, Agencies, Lawyers, Surveyors, Architects, etc.) that are directly or indirectly involved with The Rocky Hill Housing Authority projects carry Workers Compensation Insurance.
4. Subcontractor's Workers' Compensation - same as above.

Note: No work should be scheduled or commenced until the Rocky Hill Housing Authority has received and reviewed the executed contract documents and insurance certificates (s).

**Procedures to follow for expenditures totaling \$100,000 or less but more than \$25,001.**

- A. The Rocky Hill Housing Authority will approve these expenditures directly with CHFA approval, provided there are sufficient fund balances in the STIF/TDBank reserve account. The STIF/TDBank should determine if they have available reserve funds. When reserve funds dip below the CHFA minimum balance or the amount shown on the housing authority's LCCA, alternate funding should be sought.
- B. Public bidding is not required; however, there is nothing to preclude the Rocky Hill Housing Authority from public bidding for expenditures regardless of cost
- C. When public bidding is not conducted, the Rocky Hill authority should follow the federal competitive proposal requirements of 24 CFR 85.36. If (3) competitive proposals cannot be obtained, the Rocky Hill Housing Authority should document for their files whatever efforts were made to obtain competitive proposals.
- D. Proposals for expenditures in excess of \$25,001 must be obtained in writing.
- E. Prior to execution of a contract for work totaling less than \$100,000, the Rocky Hill Housing Authority must obtain an insurance certificate.

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**Procedures to follow for expenditures totaling \$25,001 or less.**

- A. Quotes for expenditures of \$25,001 or less may be obtained verbally but must be documented in the Rocky Hill Housing Authority files.
- B. The Executive Director of Rocky Hill Housing Authority will present them at a board meeting or special meeting, when applicable, for the Board of Commissioners to approve such expenditures.
- C. Prior to execution of a contract for work totaling less \$25,001, the Rocky Hill Housing Authority must obtain an insurance certificate.

Pre-approval is required for an escrow withdrawal for a purchase or contract that exceeds \$10,000. Requests for pre-approval are submitted (via fax, email or by U.S. Mail to a development's Asset Manager) on CHFA form HM 6-21 - Escrow Release Pre-Approval (see Escrow Disbursement Forms Workbook) as a cover sheet, and must be accompanied by the following supporting documentation:

- D. Three (3) comparable quotations from third-party contractors
- E. A statement of need
- F. A detailed description of work needed to be performed
- G. An anticipated time schedule for completion
- H. Owner/Agent Signature
- I. The insurance certificate for the Comprehensive General Liability policy must list the Connecticut Housing Finance Authority as an Additional Insured and A.T.M.I.A.
- II. The insurance certificates for all of the other policies must list the Rocky Hill Housing Authority as a Certificate Holder.
- III. The Rocky Hill Housing Authority should inform and/or provide their insurance agent with a copy of these instructions.
- IV. CHFA must be notified by the agent or broker 30 days prior to expiration or cancellation of any policy.
- V. Each certificate should include a description of operations: Identify the project name, number and title of work.

**8-6. Bid Waiver.**

CT General Statute, sub-section (c) of Section 8-37x is repealed and the following is substituted  
In the event of emergencies affecting human health, safety, welfare and life or endangering property, waive the bidding requirement and threshold of said.

In the event of an emergency, the Rocky Hill Housing Authority must submit documentation to their Asset Manager at CHFA, the public interest reason (s) for such waiver.

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**EMERGENCY PROCUREMENT:** Emergency procurement is for funding recipients who are under contract utilizing state funds or by approval/directive of the asset manager an “emergency” exists where normal operations (or portions thereof), affect the health or safety of any person, or the preservation of property would be seriously impaired, threatened or jeopardized if immediate action were not taken to correct the situation.

Emergencies are conditions which creates a threat to public health, welfare, safety, such as may arise by reason of floods, epidemics, riots, equipment failures, or similar extraordinary conditions or contingencies that cannot reasonably be foreseen and guarded against.

CHFA must be notified in writing of emergency conditions asap before any contracts are signed. The notification must include a brief description of the emergency condition and its cause. CHFA may require standard procurement procedures if they do not agree that it is an “emergency condition”, does not fit the descriptions as indicated below. You may proceed at “your own risk” if you choose to execute a contract before notifying CHFA. CHFA reserves the right to not provide funds if CHFA does not agree with your determination of “emergency condition” or you did not follow the guidelines below.

Emergency repairs and emergency purchases costing up to \$200,000 (state funds) may be made without obtaining quotations or bids (excluding real property). All emergency purchases exceeding \$200,000 must be directed to CHFA. Such emergency requests must be submitted in writing to CHFA for approval.

For emergencies, 3 quotes or proposals must be obtained in writing by invitation for supplies, materials, equipment, and contractual services.

The “lowest responsible qualified responder” whose bid/proposal is the lowest of those bidders possessing the skill, ability, and integrity necessary to perform the work shall be selected.

Emergency procurement can be used when a condition creates an immediate and serious need for supplies, materials, equipment, or contractual services in which time needed to procure according to normal requirements would seriously threaten: (1) the proper functioning of a property (2) the preservation or protection of property; (3) the health or safety of any person. Emergency procurements shall be limited to those supplies, materials, equipment, or contractual services necessary to meet the emergency.