

**FORMS TO BE SUBMITTED WITH SUBMITTAL**

**PROPOSAL COST FORM**

To: Seattle Housing Authority  
101 Elliott Avenue W, Suite 100  
Seattle WA 98119

For: SHA Solicitation No. 6039  
Request for Competitive Proposals  
For: 14378 30TH AVE NE Affordable Housing

**From:** \_\_\_\_\_  
(Contractor (PRINT NAME))

\_\_\_\_\_  
(Individual (PRINT NAME))

In response to your request for Competitive Proposals for the above referenced work, the undersigned ("Proposer") offers to furnish all personnel, equipment, facilities, supplies, bonds and insurance required to successfully carry out all of the construction management and general contracting responsibilities of the Contractor during Preconstruction and Construction which management and administration responsibilities include, without limitation, those more particularly identified in the RFCP including implementation of the Community Participation Plan (if applicable) for the firm and fixed price set forth in this Proposal Cost Form.

Proposer certifies that: it has examined and is fully familiar with all provisions of the Request for Competitive Proposals including any addenda thereto; it has carefully checked all of the words and figures which comprise this Proposal; and it has by careful examination of the Request for Competitive Proposals, any addenda thereto, the sites and all other pertinent conditions and matters, satisfied itself as to the nature, location, character, quality, and quantity of the work required by the contract and as to the conditions and other matters that may be encountered at the sites or that may affect performance of the work or the cost or difficulty thereof.

In submitting this Proposal the undersigned agrees:

1. To hold its Proposal prices firm until completion of the MACC negotiations and execution of the construction contract.
2. Within seven (7) days of written notification from SHA that it is the selected Contractor, for the 14378 30TH AVE NE Affordable Housing, the Contractor will submit a Preconstruction Services Plan to the Seattle Housing Authority and to duly execute the Contract Phase I Preconstruction Services between the Owner and Contractor and deliver it to the Seattle Housing Authority, together with all required certificates of insurance upon approval of the Preconstruction Services Plan.

3. To diligently carry out the MACC negotiation requirements described in the Request for Competitive Proposals within the Owner's schedule.

As full compensation for satisfactory performance of all Contractor obligations under the Preconstruction Services contract and the Contractor Construction Contract, incorporated herein by reference, except for the MACC, the undersigned will perform such work for the prices listed on the Proposal Cost Form. Failure to complete and submit this form and all attachments or the inclusion of false information shall be considered evidence that this Proposal is non-responsive to the terms and conditions of the RFCP.

Proposer acknowledges that start dates for construction of 14378 30TH AVE NE Affordable Housing is dependent on mixed finance closing scheduled date to be determined.

Proposer acknowledges the requirement that Work will be Substantially Complete and ready for final payment in accordance with the General Conditions within the schedule agreed within the Contract.

Proposer acknowledges receipt, understanding and full consideration of Addenda No(s): \_\_\_\_\_  
(list each addendum separately by number)

<b>Component</b>	<b>Proposal Amounts</b>	<b>Proposal Amount expressed as percent of estimated MACC</b>
<b>A. Preconstruction Services</b>	\$ _____	Leave blank
<b>B. Profit not to exceed 6%</b>	Leave blank	<b>Profit %:</b> _____ %
<b>C. Overhead not to exceed 2%</b>	Leave blank	<b>Overhead %:</b> _____ %
<b>D. Fixed Amount for Specified General Conditions including Bond and Insurance not to exceed 6%</b>	Leave blank	<b>Fixed Amount for Specified General Conditions including Bond and Insurance %:</b> _____ %

<b>Enter Total Proposal Amount for Preconstruction Services and Total of (A+B+C+D) Percentages</b>	\$ _____	_____ %
--	----------	---------

Retail Sales Tax / Compensatory Use Tax

Tax is applicable to Phase I, Preconstruction Services (for any items subject to sales/use tax).

Tax for Phase II, Construction Services will be addressed when MACC Contract issued.

Proposal Cost Form

**\*IMPORTANT:** The following completed and signed documents are attached to and made a condition of this Proposal:

1. [Reserved.]
2. Required Forms:
  - A. RFCP Part 1 - Firms Preconstruction Qualifications and Experience - NO SHA PROVIDED FORM
  - B. RFCP Part 2 - Firms General Contracting Qualifications and Experience - NO SHA PROVIDED FORM
  - C. RFCP Part 3 – Cost of Services and Allowable MACC Markups (MACC Contract Attachment A)
    - a. Complete the SHA-provided Proposal Cost Form referencing all applicable information in this RFCP
  - D. RFCP Part 4 – Section 3 and Related - NO SHA PROVIDED FORM (MACC Contract Attachment D)
    - a. RFCP Part 4 Community Participation Plan (CPP)
    - b. RFCP Part 4 CPP Exhibit 1 Contractor's Statement of MWBE Participation
    - c. RFCP Part 4 CPP Exhibit 2 HUD Section 3 Business, if applicable
  - E. U.S. Department of HUD "Representations, Certifications, and Other Statement of Bidders (Form HUD-5369-A)
  - F. [Reserved.]
  - G. Certificate as to Corporate Principal
  - H. Seattle Housing Authority Vendor Fact Sheet
  - I. HUD Section 3 Business Certification, if applicable  
+ Section 3 Worker and Targeted Section 3 Worker Self-Certification Form
  - J. Suspension and Debarment Compliance
  - K. Non-Collusive Affidavit
  - L. Environmental Regulation Compliance
  - M. SSB5301-Certification of Compliance with Wage Payment Statutes
  - N. HUD 2530-Previous Participation Certification
  - O. [Reserved.]

SUBMITTED on: \_\_\_\_\_ day of \_\_\_\_\_ 2025

From:

Legal Name of Proposer: \_\_\_\_\_

Business Address: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_ (Phone) \_\_\_\_\_ (Email)

Street Address: \_\_\_\_\_

Proposer's Washington State Contractor's License No. \_\_\_\_\_

License Expiration Date: \_\_\_\_\_

Federal Tax Identification Number (TIN) \_\_\_\_\_

\_\_\_\_\_

Signature of Corporation: \_\_\_\_\_

(Proposer's Business Name)

a \_\_\_\_\_ corporation

By: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

Signature of Partnership

or Joint Venture:

\_\_\_\_\_  
(Name of Partnership or Joint Venture)

Signed by (all general partners or joint ventures)

Name \_\_\_\_\_

Title \_\_\_\_\_ Date Signed \_\_\_\_\_

Name \_\_\_\_\_

Title \_\_\_\_\_ Date Signed \_\_\_\_\_

Name \_\_\_\_\_

Title \_\_\_\_\_ Date Signed \_\_\_\_\_

Signature of Sole Proprietorship (if signing as individuals they shall be jointly and severally liable)

Name \_\_\_\_\_  
Title \_\_\_\_\_ Date Signed \_\_\_\_\_

Name \_\_\_\_\_  
Title \_\_\_\_\_ Date Signed \_\_\_\_\_

**END OF PROPOSAL COST FORM**

## COMMUNITY PARTICIPATION PLAN

**Project Number/Name:** \_\_\_\_\_

**Contractor's Company  
Name:** \_\_\_\_\_

**Contractor's Phone #:** \_\_\_\_\_

**Contractor's Email Address:** \_\_\_\_\_

### **General:**

The Seattle Housing Authority (SHA) has a strong policy of maximizing opportunities in the areas of HUD Section 3 resident employment, HUD Section 3 business utilization, women and minority employment, women and minority business utilization, and apprenticeship training opportunities.

Bidders are encouraged to be thorough in completing their Plan by providing a detailed summary of their commitments in the respective areas, including information regarding their outreach and solicitation efforts. Use additional sheets if necessary.

The Community Participation Plan will become part of the Contract at the time of award. During the term of the Contract, the successful contractor will be required to report its progress in meeting its commitments in the different Community Participation Plan areas.

By completing and submitting this Plan, Bidder understands that in the event of award, the Section 3 employment and Section 3 business utilization, WMBE inclusion or utilization, and apprenticeship training requirements, if applicable, shall extend to all subcontractors (regardless of tier) employed on the Project. The successful Contractor shall be responsible for ensuring subcontractor compliance with these requirements. Failure of a subcontractor to comply with the requirements shall not relieve Contractor of its obligations with respect to these requirements.

The contract requirements in this Section are summarized below. Bidders are advised to review Section 00200 of the Bid Documents to ensure an understanding of the following requirements and their obligations in the event of award.

### **PART A: EMPLOYMENT/TRAINING**

- **Section 3 Labor Hour Goal:** In order to promote the use of HUD Section 3 eligible persons on the Project, SHA shall apply a 25% Section 3 Worker labor hour goal and 5% Targeted Section 3 Worker labor hour goal for all federally funded projects.

- **WMBEs Inclusion Plan:** SHA shall apply 14% aspirational goal for WMBE utilization for all federally funded projects. Additionally, solicitations (except for solicitations directed to non-profits) for consultants and professional services shall require a Women and Minority Business Enterprise Inclusion Plan evaluation criterion of up to 10% of the total evaluation points. Inclusion Plans shall be evaluated and scored based on the respondents' demonstrated good faith efforts to fulfill SHA's aspirational WMBE outreach and/or inclusion goals.
- **Apprenticeship:** (Applicable for Projects estimated over \$1 million) SHA has established a goal for this Project that at least 15% of the total contract labor hours on the project be performed by apprentices registered with the Washington State Apprenticeship and Training Council ("WSATC").

## PART B: SUBCONTRACTING

- **Women and Minority Business Enterprise (WMBE) Subcontracting Utilization:** Contractor is encouraged to provide opportunities for women and minority business enterprises (WMBEs).
- **Section 3 Business Subcontracting Utilization:** The Bidder shall, to the greatest extent feasible, award **10%** of the total contract amount to qualified Section 3 businesses. If not feasible, the Bidder shall provide an explanation.
- **Outreach Solicitation:** In order to demonstrate its affirmative efforts in providing opportunities to WMBEs and Section 3 firms, the Bidder is required to actively solicit women and minority businesses and Section 3 businesses for any subcontracting opportunities identified for the project.

### Subcontracting Utilization Plan Completion

- 1) Complete and submit Exhibits 1 and 2 identifying the firms the Bidder solicited during the bidding period and its intentions concerning each firm.
- 2) Describe below the anticipated subcontracting opportunities on this Project in terms of trade or discipline, such as: electrical, mechanical, carpentry, roofing work, etc.

---

---

---

---



- 3) Using the information in Exhibits 1 and 2 complete the following Subcontracting Summaries:

a) **Women and Minority Business Utilization Summary**

Total Subcontracting Opportunities as % of Total Contract	Voluntary Subcontracting Goal for MBEs as % of Total Contract	Voluntary Subcontracting Goal for WBEs as % of Total Contract
_____ %	_____ %	_____ %

b) **HUD Section 3 Business Utilization Summary**

Total Hours Worked for all Workers:	Total Hours Worked for Section 3 Workers:	Total Hours Worked for Targeted Section 3 Workers:
<i><u>DO NOT</u> include hours worked with respect to any "professional services" as defined in 24 CFR 75.5.</i>	<i><u>DO</u> include hours worked with respect to any "professional services" as defined in 24 CFR 75.5.</i>	<i><u>DO</u> include hours worked with respect to any "professional services" as defined in 24 CFR 75.5.</i>

Please note: Bidders may include a firm that is qualified as a Section 3 firm and as a qualified WMBE firm in reporting on both items 3(a) and 3(b) without concern for duplication.

**PART C: IDENTIFICATION OF BIDDER REPRESENTATIVE**

The following individual will be the Bidder's/Contractor's representative in all matters relating to the Community Participation Plan during the term of Contract in the event of Award:

---

Name of Authorized Representative

---

Phone Number and email address

EXHIBIT 1

CONTRACTOR'S STATEMENT OF WMBE PARTICIPATION

The Seattle Housing Authority encourages the participation of Women-Owned Business Enterprise (WBE), Minority Women-Owned Business Enterprise (MWBE), and Minority-Owned Business Enterprise (MBE); collectively referred to as WMBEs. WMBE participation may be through direct sales by an MWBE, by MWBE subcontracting, or a business partnership agreement. Small Businesses, as defined by the U. S. Small Business Administration, are also encouraged to participate in SHA's purchasing and contracting activities.

The following women and/or minority business enterprises have been contacted to submit a proposal for subcontracting in the performance of the contract work on which this bid is based (Attach additional sheets if necessary).

	Trade/Specialty	Name of Firm	WBE	MBE	MWBE	Approximate Dollar Amount	Apparent Low Bid		Non-Responsive	Expect to Award Subcontract
							Yes	No		
1										
2										
3										
4										
5										
6										
7										

- 1) Total dollar amount of bid expected to be performed by WBE:  
\$ \_\_\_\_\_ Percentage of total bid amount \_\_\_\_\_%.
- 2) Total dollar amount of bid expected to be performed by MBE:  
\$ \_\_\_\_\_ Percentage of total bid amount \_\_\_\_\_%.

EXHIBIT 2

HUD SECTION 3 PROGRAM BUSINESS UTILIZATION

PROJECT NUMBER: \_\_\_\_\_ PROJECT NAME: \_\_\_\_\_

NAME OF CONTRACTOR: \_\_\_\_\_

NAME OF SUBCON TRACTOR	SECTION 3 BUSINESS **	ADDRESS AND PHONE NUMBER	TRADE/ SERVICE OR SUPPLY	CONTRACT AMOUNT	AWARD DATE	COMPETITIVE OR NEGOTIATED BID	FEDERAL ID NUMBER

**\*\*Check if a HUD Section 3 Program Business.**

**TOTAL DOLLAR AMOUNT TO BE AWARDED TO HUD SECTION 3 PROGRAM BUSINESS(ES) \$** \_\_\_\_\_

**HUD Section 3 Program Business Concern** means a business concern meeting at least one of the following criteria, documented within the last six-month period:

- It is at least 51% owned and controlled by low- or very low-income persons; or
- Over 75% of the labor hours performed for the business over the prior three-month period are performed by Section 3 Workers; or
- It is a business at least 51% owned and controlled by current public housing residents or residents who currently live in Section 8-assisted housing.

END OF COMMUNITY PARTICIPATION PLAN

**HOUSING AUTHORITY OF THE CITY OF SEATTLE**

**CERTIFICATE AS TO CORPORATE PRINCIPAL**

I, \_\_\_\_\_, certify that I am the  
\_\_\_\_\_ Secretary of the corporation named  
as Principal in the within bond; that \_\_\_\_\_,  
who signed the said bond on behalf of the Principal was then  
\_\_\_\_\_ of said corporation; that I know his/her  
signature, and his/her signature thereto is genuine, and that said bond was duly  
signed, and attested to, for and in behalf of said corporation by authority of its  
governing body.

(SIGNED)\_\_\_\_\_

**END OF CERTIFICATE AS TO CORPORATE PRINCIPAL**

<h2 style="margin: 0;">VENDOR FACT SHEET</h2>		Return this Form TO: Seattle Housing Authority, Purchasing Division, ATTN: Veronica Sharp, Lead Sr. Contract Administrator; or Jawed Rahmani, Design & Construction Contracts Administrator 101 Elliott Avenue W, Suite 100, PO Box 79015, Seattle, WA 98119	
<b>General Business Information:</b>		<b>For SHA Use Only:</b>	
Name of Business, Organization, or Name of Person (if payment is to an individual):		JDE Vendor No.	Purchasing contracts <input type="checkbox"/>
Mailing Address for Payments:			
City:	State:	Zip Code:	E-Mail Address:
Telephone No.:	Fax No.:		DUNS No.:
Washington UBI No.:		City of Seattle Business License No.:	Washington Contractor's License No.:
Employee Tax ID No. (TIN) or Social Security No. (if Individual):			
President/General Manager:		Principal products and/or services offered:	
<b>Type of Organization (check one):</b>			
Individual <input type="checkbox"/>	Sole Proprietor <input type="checkbox"/>	Partnership <input type="checkbox"/>	Corporation <input type="checkbox"/>
Governmental Agency <input type="checkbox"/>		Other <input type="checkbox"/>	
<b>Substitute IRS Form W-9 Certification:</b>			
Under penalties of perjury, I hereby certify that the number shown on this form is my correct taxpayer identification number, <u>and</u> that I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, <u>and</u> I am a U.S. person (including a U.S. resident alien). <b>Note:</b> The Internal Revenue Service does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.			
<b>SIGN HERE →</b>	<b>Signature of U.S. Person</b>		<b>Date</b>
<b>Ownership Status (check all that apply):</b>		<b>Racial/Ethnic Status (check one):</b>	
<input type="checkbox"/> <b>MBE</b> (Minority-Owned Business Enterprise) <input type="checkbox"/> <b>WBE</b> (Women-Owned Business Enterprise) <input type="checkbox"/> <b>MWBE</b> (Minority / Women-Owned Business Enterprise) <input type="checkbox"/> <b>CBE</b> (Combination Business Enterprise) <input type="checkbox"/> <b>Small Business</b> <input type="checkbox"/> <b>HUD Section 3 Business</b> <input type="checkbox"/> Certified by OMWBE (Washington State Office of Minority and Women's Business Enterprises) <input type="checkbox"/> Self-Identified (SHA may request a signed statement re: self-certification)		<input type="checkbox"/> Caucasian (1) <input type="checkbox"/> African American (2) <input type="checkbox"/> Native American (3) <input type="checkbox"/> Hispanic American (4) <input type="checkbox"/> Asian/Pacific American (5) <input type="checkbox"/> Hasidic Jews (6)	
<b>Method of Contract Payments:</b> As outlined on the reverse side of this form, for contracts over one million dollars, SHA's method of contract payments is through an electronic virtual credit card issued by SHA's e-payables vendor, Bank of America. Unless SHA grants a waiver, Vendors will receive an enrollment form from SHA following issuance of a contract.			
<b>SIGN BELOW:</b>			
Signature of Authorized Representative of Vendor:			Date:
By signing immediately above, the Vendor hereby represents the following: a) The Vendor certifies that to the best of its knowledge and belief, neither it, nor any person/principal or firm which has an interest in the Vendor's firm, is ineligible to participate in a SHA contract, purchase order, direct pay or other transaction, pursuant to the Certification of Eligibility provision specified in the Vendor Fact Sheet Instructions, or; b) The Vendor will comply with SHA's General Terms and Conditions applicable to Purchase Orders (available at SHA website <a href="https://www.seattlehousing.org/">https://www.seattlehousing.org/</a> , DO BUSINESS WITH US page, under FORMS AND POLICIES), if the Vendor will be supplying goods and/or services through an SHA Purchase Order.			

**Vendor Fact Sheet Instructions**

Thank you for your interest in doing business with the Seattle Housing Authority (SHA). We look forward to doing business with you. If you have any questions about completion of the Vendor Fact Sheet, please call us at (206) 615-3379.

In order for SHA to make payments to you or to procure goods or services from you, we need the information requested on the Vendor Fact Sheet, which also serves as a substitute IRS W-9 Form. The information about you will be entered into our computerized payment system and will allow us to make required reports to the Federal government about our business and payment transactions.

**Substitute IRS Form W-9 Certification:** In completing the Vendor Fact Sheet, you must sign the "Substitute IRS Form W-9 Certification" or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct taxpayer identification number to SHA, you must cross out the portion of the certification after the word "and" in line two, through the end of line five, before signing the form. Detailed instructions about IRS Form W-9 are included on the form, which may be obtained by calling our office at (206) 615-3379 or visiting the IRS web site at [www.irs.gov](http://www.irs.gov).

**Certification of Eligibility:** In order to do business with SHA, the Vendor must be eligible to:

- 1) Be awarded contracts by any agency of the U.S. Government, HUD, or the State in which this Contract work is to be performed; or,
- 2) Participate in HUD programs pursuant to 24 CFR Part 24.

Use the websites of the [General Services Administration](#) and the [U.S. Department of Housing and Urban Development](#) to verify eligibility of the firm and its principals. By signing the Vendor Fact Sheet, the Vendor understands that the certification of eligibility is a material representation of fact upon which reliance was placed when SHA agreed to enter into the transaction with the Vendor. SHA may require the Vendor to submit such certification on an annual basis depending on the terms of its contract or the frequency of its business transactions with SHA. If the Vendor subcontracts any portion of the work, the Vendor will be required to submit a similar certification of eligibility to SHA for any Vendor subcontracts. Any written contract executed between SHA and the Vendor shall include these provisions, which may also be referred to as Suspension/Debarment provisions.

**Contract Payments:** Unless SHA grants a waiver, its method of contract payment for contracts of one million or more is through its Bank of America epayables program. Payments will be made electronically through a virtual Visa credit card. Benefits for using this method include reduced labor costs associated with the processing of checks and enhancing cash flow by eliminating float time associated with the mailing of checks. To learn more about the program, please click here or copy and paste the following URL into your browser: [www.bankofamerica.com/epayablesvendors](http://www.bankofamerica.com/epayablesvendors). For new vendors, SHA will automatically send an enrollment form upon contract award. If you have questions about the program, please contact Tran Wong, SHA's Accounts Payable Manager, at 206-615-3483 or [twong@seattlehousing.org](mailto:twong@seattlehousing.org).

**Small Businesses:** The Vendor Fact Sheet also requests information about whether your business is owned and controlled by women or minorities, and/or is a small business. The following are definitions of these terms for your use. This information provides valuable information to SHA in its efforts to ensure its contracting program meets its diversity objectives and requirements.

- **WMBE:** Minority and women-owned business enterprises must either be self-identified or certified by the Washington State Office of Women's and Minority Business Enterprises (OMWBE) to be at least fifty-one percent owned by women and/or minority group members. For self-identification as WMBE, refer to [Minority/Women Owned Business Enterprise Self-Identification Form for Work Performed on Seattle Housing Authority Projects](#)
- **Small Business:** A small business means a business concern, including its affiliates, that is independently owned and operated, not an affiliate or subsidiary of a business dominant in its field of operation, and qualified as a small business under the criteria and size standards in 13 CFR 121. Furthermore, a business is considered small according to the Small Business Administration's established guidelines provided to such businesses.

- **HUD Section 3 Business:** A business that meets at least one of the following criteria, documented within the last six-month period: (1) at least 51% owned and controlled by low- or very low-income persons; (2) over 75% of the labor hours performed for the business over the prior three-month period are performed by Section 3 workers; or (3) a business at least 51% owned and controlled by current public housing residents or residents who currently live in Section 8-assisted housing. More detailed information available at the website of [the U.S. Department of Housing and Urban Development](#).

**END OF VENDOR FACT SHEET**

**SEATTLE HOUSING AUTHORITY**

**Section 3 Business Concern Certification for Contracting**

Instructions: Enter the following information and select the criteria that applies to certify your business' Section 3 Business Concern status.

**Business Information**

Name of Business: \_\_\_\_\_

Address of Business: \_\_\_\_\_

Name of Business Owner: \_\_\_\_\_

Phone Number of Business Owner: \_\_\_\_\_

Email Address of Business Owner: \_\_\_\_\_

**Preferred Contact Information**

☐ Same as above

Name of Preferred Contact: \_\_\_\_\_

Phone Number of Preferred Contact: \_\_\_\_\_

Type of Business (select from the following options):

☐ Corporation      ☐ Partnership      ☐ Sole Proprietorship

☐ Limited Liability Company      ☐ Other (*please specify*) \_\_\_\_\_

Select from ONE of the following three options below that applies:

☐ At least 51 percent of the business is owned and controlled by low- or very low-income persons.

☐ At least 51 percent of the business is owned and controlled by current public housing residents who currently live in Section 8-assisted housing.

☐ Over 75 percent of the labor hours performed for the business over the prior three-month period are performed by Section 3 workers.



**Business Concern Affirmation**

I affirm that the above statements (see previous page) are true, complete, and correct to the best of my knowledge and belief. I understand that businesses who misrepresent themselves as Section 3 business concerns and report false information to the Housing Authority of the City of Seattle may have their contracts terminated for default and be barred from ongoing and future considerations for contracting opportunities. I hereby certify, under penalty of law, that the following information is correct to the best of my knowledge.

Print Name: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

NOTE: Certification expires within six months of the date of signature.  
Information regarding Section 3 Business Concerns can be found at 24 CFR 75.5

---

**FOR ADMINISTRATIVE USE ONLY**

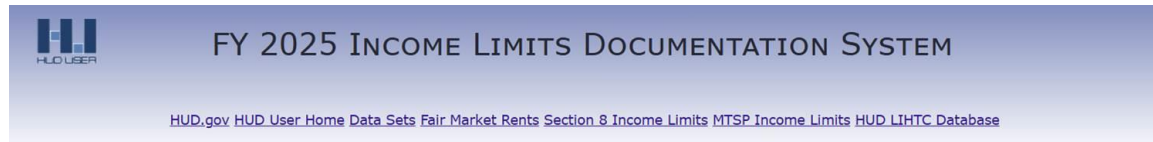
Is the business a Section 3 business concern based upon their certification?

☐ **YES**      ☐ **NO**

**EMPLOYERS MUST RETAIN THIS FORM IN THEIR SECTION 3 COMPLIANCE FILE FOR FIVE YEARS.**

### Section 3 Income Limits Eligibility Guidelines

The worker's income must be at or below the amount provided below for an individual (household of 1) regardless of actual household size.



#### FY 2025 Income Limits Summary

FY 2025 Income Limit Area	Median Family Income <a href="#">Click for More Detail</a>	FY 2025 Income Limit Category	Persons in Family							
			1	2	3	4	5	6	7	8
<b>Seattle-Bellevue, WA HUD Metro FMR Area</b>	\$157,100	Very Low (50%) Income Limits (\$) <a href="#">Click for More Detail</a>	55,000	62,850	70,700	<b>78,550</b>	84,850	91,150	97,450	103,700
		Extremely Low Income Limits (\$)* <a href="#">Click for More Detail</a>	33,050	37,750	42,450	<b>47,150</b>	50,950	54,700	58,500	62,250
		Low (80%) Income Limits (\$) <a href="#">Click for More Detail</a>	84,850	96,950	109,050	<b>121,150</b>	130,850	140,550	150,250	159,950

NOTE: **King County** is part of the **Seattle-Bellevue, WA HUD Metro FMR Area**, so all information presented here applies to all of the Seattle-Bellevue, WA HUD Metro FMR Area. HUD generally uses the Office of Management and Budget (OMB) area definitions in the calculation of income limit program parameters. However, to ensure that program parameters do not vary significantly due to area definition changes, HUD has used custom geographic definitions for the Seattle-Bellevue, WA HUD Metro FMR Area.

Table above is for reference only. Check <https://www.huduser.gov/portal/datasets/il.html> for most recent income limits.

#### Section 3 Worker Definition:

- A low or very low-income resident (the worker's income for the previous or annualized calendar year is below the income limit established by HUD); or
- Employed by a Section 3 business concern; or
- A YouthBuild participant.

#### Targeted Section 3 Worker Definition:

- Employed by a Section 3 business concern; or
- Currently fits at least one of the following categories as documented within the past five years:
  - A resident of Seattle Housing Authority public housing or Section 8-assisted housing;

- A resident of other public housing projects or Section 8-assisted housing managed by the public housing authority that is providing the assistance; or
- A YouthBuild participant.

### Section 3 Worker and Targeted Section 3 Worker Self-Certification Form

The purpose of HUD's Section 3 program is to provide employment, training and contracting opportunities to low-income individuals, particularly those who are recipients of government assistance for housing or other public assistance programs. **Your response is voluntary, confidential, and has no effect on your employment.**

**Eligibility for Section 3 Worker or Targeted Section 3 Worker Status:** a Section 3 worker seeking certification shall self-certify and submit this form to the recipient contractor or subcontractor, certifying that the person is a Section 3 worker or Targeted Section 3 Worker as defined in 24 CFR Part 75.

**Instructions:** Enter/select the appropriate information to confirm your Section 3 Worker or Targeted Section 3 Worker status.

Employee Name: \_\_\_\_\_

1. Are you a resident of public housing or a Housing Choice Voucher Holder (Section 8)?	YES    NO
2. Are you a YouthBuild participant?	YES    NO
3. Check the box for the county where you reside. King County    Pierce County    Snohomish County    Other _____	
4. In the field below, select the amount of individual income you believe you earn on an annual basis.	

Calculate your annual earnings using your Base Hourly Rate, not including fringe benefits. Multiply that Base Hourly Rate by 2080 hours to come up with your Annual Rate.

- |  |  |   |
|--|--|---|
| <input type="checkbox"/> Less than \$10,000  | <input type="checkbox"/> \$30,001 - \$40,000 | <input type="checkbox"/> More than \$60,000 |
| <input type="checkbox"/> \$10,001 - \$20,000 | <input type="checkbox"/> \$40,001 - \$50,000 |   |
| <input type="checkbox"/> \$20,001 - \$30,000 | <input type="checkbox"/> \$50,001 - \$60,000 |   |

**Select from *ONE* of the following two options below:**

I qualify as a:

- ☐ Section 3 Worker (as defined on the Section 3 Income Limits Eligibility Guideline)
- ☐ Targeted Section 3 Worker (as defined on the Section 3 Income Limits Eligibility Guideline)

**END OF SECTION 3 FORM**

SEATTLE HOUSING AUTHORITY

SUSPENSION AND DEBARMENT COMPLIANCE CERTIFICATE FOR  
CONTRACTOR

By signing below, the Contractor certifies that to the best of its knowledge and belief neither its firm nor any of its principals as named below are presently debarred, suspended, or have been declared ineligible or are excluded from participation in this transaction by any federal, state or local government.

Contractor's Firm Name: \_\_\_\_\_

Address: \_\_\_\_\_

City, State, Zip: \_\_\_\_\_

	PRINCIPAL(S) Name(s)	Title(s)
1		
2		
3		
4		
5		

Contractor's Signature	Printed Name	Title	Date

**NOTE:** This requirement applies to the Contractor's firm as well as its principals. Principal is defined in the regulation (2 CFR 180.995) as follows:

- 1) An officer, director, owner, partner, principal investigator, or other person within a participant with management or supervisory responsibilities related to a covered transaction; or
- 2) A contractor or other person, whether or not employed by the participant or paid with Federal funds, who-
  - a) Is in a position to handle Federal funds;
  - b) Is in a position to influence or control the use of those funds; or,
  - c) Occupies a technical or professional position capable of substantially influencing the development or outcome of an activity require to perform the covered transaction.

The federal websites to verify eligibility include:

[SAM.gov](https://www.sam.gov) | [Search](#) and [Limited Denials of Participation](#) | [HUD.gov](https://www.hud.gov) / [U.S. Department of Housing and Urban Development \(HUD\)](#)

**SEATTLE HOUSING AUTHORITY**  
**SUSPENSION AND DEBARMENT COMPLIANCE CERTIFICATE FOR SUB-  
CONTRACTORS**

*The Prime Contractor may use this form if the Prime can verify that their Sub-Contractors named below, nor any of their principals are debarred, suspended or ineligible from involvement by an Federal, State or Local Government. If the Prime is unable to verify this information, the Prime must send the previous SUSPENSION AND DEBARMENT COMPLIANCE CERTIFICATE FOR CONTRACTOR form to each sub-contractor to be completed and returned.*

**Prime Contractor's Name:** \_\_\_\_\_  
\_\_\_\_\_ certifies that neither any of the sub- contracting firms named below, nor any of its principals are debarred, suspended or ineligible from involvement by an Federal, State or Local Government. I understand that the Seattle Housing Authority (SHA) relies on this certification and I understand that I am obligated to submit the following to SHA:

- A certification for any new sub- contractor hired after submission of this certification.
- A renewal certification for every sub- contractor on the anniversary of the Contract execution date if the Contract Time extends beyond one year.

**(Note:** In lieu of this certification, the Prime Contractor may elect to submit a separate certification signed by each sub- contracting firm to SHA as evidence of sub- contractor eligibility. It is the Prime Contractor's responsibility to initiate, obtain, and provide all such individual sub- contractor certifications to SHA.)

Prime Contractor's Signature	Printed Name	Title	Date

**Sub- Contractor Firm Listing:** (If sub- contractors are not involved in the project, please enter NONE.)


If additional pages are necessary, copy this form to ensure signed statement precedes any listing of sub- contractors.

Please contact Veronica Sharp, Lead Sr. Contract Administrator - Construction & Design Team at (206) 239-1553 or by e-mail at [veronica.sharp@seattlehousing.org](mailto:veronica.sharp@seattlehousing.org), or Jawed Rahmani, Design & Construction Contracts Administrator at (206) 239-1570 or by e-mail at [jawed.rahmani@seattlehousing.org](mailto:jawed.rahmani@seattlehousing.org), if you have any questions regarding compliance with this requirement.

**END OF SUSPENSION AND DEBARMENT COMPLIANCE CERTIFICATE**

**NON-COLLUSIVE AFFIDAVIT**

State of Washington )ss  
County of King )

\_\_\_\_\_ who is a \_\_\_\_\_ of the  
firm of \_\_\_\_\_, being first  
duly sworn, on their oath, says that the bid herewith submitted is a genuine and not a  
sham or collusive bid, or made in the interest or on behalf of any person not therein  
named; and further states that the said bidder has or was not directly or indirectly  
induced or solicited by any bidder on the above work or supplies to put in a sham bid,  
or any person or corporation to refrain from bidding; and that said bidder has not in any  
manner sought by collusion to secure themselves an advantage over any other bidder  
or bidders, or to secure any advantage against the Seattle Housing Authority or any  
person interested in the proposed contract; and that all statements in said proposal or  
bid are true.

\_\_\_\_\_  
BIDDER  
(if individual)

\_\_\_\_\_  
PARTNER  
(if partnership)

\_\_\_\_\_  
OFFICER  
(if corporation)

Subscribed and sworn to before me

this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

\_\_\_\_\_  
Notary Public in and for the State of Washington,  
residing at \_\_\_\_\_.

My commission expires \_\_\_\_\_, 20\_\_\_\_\_.

**END OF NON-COLLUSIVE AFFIDAVIT**



**ENVIRONMENTAL REGULATION COMPLIANCE**

\_\_\_\_\_ certifies that  
neither it, nor any person or firm which has an interest in the above-named firm has any  
environmental sanctions in effect and complies with the requirements of Clean Air Act  
(42 U.S.C. 7401–7671q.) and the Federal Water Pollution Control Act (33 U.S.C. 1251–  
1387).

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Name)

\_\_\_\_\_  
(Title)

\_\_\_\_\_  
(Date)

**END OF ENVIRONMENTAL REGULATION COMPLIANCE**



Address

101 Elliott Avenue W  
Suite 100  
Seattle, WA 98119

Telephone

206-615-3300

TTY

1-800-833-6388

Website

www.seattlehousing.org

## CERTIFICATION OF COMPLIANCE WITH WAGE PAYMENT STATUTES

The undersigned hereby certifies that the bidder is now, and in the three-year period immediately preceding the date of this bid solicitation on **June 03, 2025**, has been, in compliance with the responsible bidder criteria requirement of RCW 39.04.350(1)(g) and has not been found to have willfully violated any provision of RCW Chapters 49.46, 49.48, or 49.52 in a final determination by the Department of Labor and Industries or any court of limited or general jurisdiction.

I certify under penalty of perjury under the laws of the State of Washington that the foregoing is true and correct.

\_\_\_\_\_  
Bidder's Business Name

\_\_\_\_\_  
Signature of Authorized Official\*

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

\_\_\_\_\_  
City

\_\_\_\_\_  
State

Check One: Sole Proprietorship ☐ Partnership ☒ Joint Venture ☐ Corporation ☐

State of Incorporation, or if not a corporation, State where business entity was formed:

\_\_\_\_\_  
If a co-partnership, give firm name under which business is transacted:

\_\_\_\_\_  
*If a corporation, proposal must be executed in the corporate name by the president or vice-president (or any other corporate officer accompanied by evidence of authority to sign). If a co-partnership, proposal must be executed by a partner.*

## END OF CERTIFICATION OF COMPLIANCE WITH WAGE PAYMENT STATUTES

**HUD 2530 - PREVIOUS PARTICIPATION CERTIFICATION**

**US Department of Housing and Urban Development**  
Office of Housing/Federal Housing Commissioner

**US Department of Agriculture**  
Farmers Home Administration

<b>Part I to be completed by Principals of Multifamily Projects</b> <i>(See instructions)</i>		<b>For HUD HQ/FmHA use only</b>	
1. Agency name and City where the application is filed		2. Project Name, Project Number, City and Zip Code	
3. Loan or Contract amount \$	4. Number of Units or Beds	5. Section of Act	6. Type of Project (check one) <input type="checkbox"/> Existing <input type="checkbox"/> Rehabilitation <input type="checkbox"/> Proposed (New)

**7. List all proposed Principals and attach organization chart for all organizations**

Name and address of Principals and Affiliates (Name: Last, First, Middle Initial) proposing to participate	8. Role of Each Principal in Project	9. SSN or IRS Employer Number

Certifications: The principal(s) listed above hereby apply to HUD or USDA FmHA, as the case maybe, for approval to participate as principal(s) in the role(s) and project listed above. The principal(s) each certify that all the statements made on this form are true, complete and correct to the best of their knowledge and belief and are made in good faith, including any Exhibits attached to this form. **Warning:** HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. The principal(s) further certify that to the best of their knowledge and belief:

1. Schedule A contains a listing, for the last ten years, of every project assisted or insured by HUD, USDA FmHA and/or State and local government housing finance agencies in which the principal(s) have participated or are now participating.
2. For the period beginning 10 years prior to the date of this certification, and except as shown on the certification:
  - a. No mortgage on a project listed has ever been in default, assigned to the Government or foreclosed, nor has it received mortgage relief from the mortgagee;
  - b. The principals have no defaults or noncompliance under any Conventional Contract or Turnkey Contract of Sale in connection with a public housing project;
  - c. There are no known unresolved findings as a result of HUD audits, management reviews or other Governmental investigations concerning the principals or their projects;
  - d. There has not been a suspension or termination of payments under any HUD assistance contract due to the principal's fault or negligence;
  - e. The principals have not been convicted of a felony and are not presently the subject of a complaint or indictment charging a felony. (A felony is defined as any offense punishable by imprisonment for a term exceeding one year, but does not include any offense classified as a misdemeanor under the laws of a State and punishable by imprisonment of two years or less);
  - f. The principals have not been suspended, debarred or otherwise restricted by any Department or Agency of the Federal Government or of a State Government from doing business with such Department or Agency;
  - g. The principals have not defaulted on an obligation covered by a surety or performance bond and have not been the subject of a claim under an employee fidelity bond;
3. All the names of the principals who propose to participate in this project are listed above.
4. None of the principals is a HUD/FmHA employee or a member of a HUD/FmHA employee's immediate household as defined in Standards of Ethical Conduct for Employees of the Executive Branch in 5 C.F.R. Part 2635 (57 FR 35006) and HUD's Standard of Conduct in 24 C.F.R. Part 0 and USDA's Standard of Conduct in 7 C.F.R. Part 0 Subpart B.
5. None of the principals is a participant in an assisted or insured project as of this date on which construction has stopped for a period in excess of 20 days or which has been substantially completed for more than 90 days and documents for closing, including final cost certification, have not been filed with HUD or FmHA.
6. None of the principals have been found by HUD or FmHA to be in noncompliance with any applicable fair housing and civil rights requirements in 24 CFR 5.105(a). (If any principals or affiliates have been found to be in noncompliance with any requirements, attach a signed statement explaining the relevant facts, circumstances, and resolution, if any).
7. None of the principals is a Member of Congress or a Resident Commissioner nor otherwise prohibited or limited by law from contracting with the Government of the United States of America.

8. Statements above (if any) to which the principal(s) cannot certify have been deleted by striking through the words with a pen, and the relevant principal(s) have initialed each deletion (if any) and have attached a true and accurate signed statement (if applicable) to explain the facts and circumstances.

Name of Principal	Signature of Principal	Certification Date(mm/dd/yyyy)	Area Code and Tel. No.
This form prepared by (print name)		Area Code and Tel. No.	

**Schedule A: List of Previous Projects and Section 8 Contracts.** Below is a complete list of the principals' previous participation projects and participation history in multifamily Housing programs of HUD/FmHA, State and local Housing Finance Agencies.

**Note:** Read and follow the instruction sheet carefully. Make full disclosure. Add extra sheets if you need more space. Double check for accuracy. If no previous projects, write by your name, **"No previous participation, First Experience"**.

1. Principals Name (Last, First)	2. List of previous projects (Project name, project ID and, Govt. agency involved)	3. List Principals' Role(s) (indicate dates participated, and if fee or identity of interest participant)	4. Status of loan (current, defaulted, assigned, foreclosed)	5. Was the Project ever in default during your participation <b>Yes No</b> <b>If yes, explain</b>			6. Last MOR rating and Physical Insp. Score and date

**Part II- For HUD Internal Processing Only**

Received and checked by me for accuracy and completeness; recommend approval or refer to Headquarters after checking appropriate box.

Date (mm/dd/yyyy)	Tel No. and area code	<input type="checkbox"/> A. No adverse information; form HUD-2530 approval recommended.		<input type="checkbox"/> C. Disclosure or Certification problem
Staff	Processing and Control	<input type="checkbox"/> B. Name match in system		<input type="checkbox"/> D. Other (attach memorandum)
Supervisor		Director of Housing/Director, Multifamily Division	Approved Yes      No	Date (mm/dd/yyyy)

**Instructions for Completing the Previous Participation Certificate, form HUD-2530**

Carefully read these instructions and the applicable regulations. A copy of those regulations published at 24 C.F.R. 200.210 to 200.245 can be obtained from the Multifamily Housing Representative at any HUD Office. Type or print neatly in ink when filling out this form. Mark answers in all blocks of the form. If the form is not filled completely, it will delay approval of your application.

Attach extra sheets as you need them. Be sure to indicate "Continued on Attachments" wherever appropriate. Sign each additional page that you attach if it refers to you or your record.

**Carefully read the certification before you sign it.** Any questions regarding the form or how to complete it can be answered by your HUD Office Multifamily Housing Representative.

**Purpose:** This form provides HUD with a certified report of all previous participation in HUD multifamily housing projects by those parties making application. The information requested in this form is used by HUD to determine if you meet the standards established to ensure that all principal participants in HUD projects will honor their legal, financial and contractual obligations and are acceptable risks from the underwriting standpoint of an insurer, lender or governmental agency. HUD requires that you certify your record of previous participation in HUD/USDA- FmHA, State and Local Housing Finance Agency projects by completing and signing this form, before your project application or participation can be approved.

HUD approval of your certification is a necessary precondition for your participation in the project and in the capacity that you propose. If you do not file this certification, do not furnish the information requested accurately, or do not meet established standards, HUD will not approve your certification.

***Note that approval of your certification does not obligate HUD to approve your project application, and it does not satisfy all other HUD program requirements relative to your qualifications.***

**Who Must Sign and File Form HUD-2530:**

Form HUD-2530 must be completed and signed by all principals applying to participate in HUD multifamily housing projects, including those who have no previous participation. The form must be signed and filed by all principals and their affiliates who propose participating in the HUD project. Use a separate form for each role in the project unless there is an identity of interest.

Principals include all individuals, joint ventures, partnerships, corporations, trusts, non-profit organizations, any other public or private entity that will participate in the proposed project as a sponsor, owner, prime contractor, turnkey developer, managing agent, nursing home administrator or operator, packager, or consultant. Architects and attorneys who have any interest in the project other than an arm's length fee arrangement for professional services are also considered principals by HUD.

In the case of partnerships, all general partners regardless of their percentage interest and limited partners having a 25 percent or more interest in the partnership are considered principals. In the case of public or private corporations or governmental entities, principals include the president, vice president, secretary, treasurer and all other executive officers who are directly responsible to the board of directors, or any equivalent governing body, as well as all directors and each stockholder having a 10 percent or more interest in the corporation.

Affiliates are defined as any person or business concern that directly or indirectly controls the policy of a principal or has the power to do so. A holding or parent corporation would be an example of an affiliate if one of its subsidiaries is a principal.

**Exception for Corporations** – All principals and affiliates must personally sign the certificate except in the following situation. When a corporation is a principal, all of its officers, directors, trustees and stockholders with 10 percent or more of the common (voting) stock need not sign personally if they all have the same record to report. The officer who is authorized to sign for the corporation or agency will list the names and title of those who elect not to sign. However, any person who has a record of participation in HUD projects that is separate from that of his or her organization must report that activity on this form and sign his or her name. The objective is **full** disclosure.

**Exemptions** – The names of the following parties do not need to be listed on form HUD-2530: Public Housing Agencies, tenants, owners of less than five condominium or cooperative units and all others whose interests were acquired by inheritance or court order.

**Where and When Form HUD-2530 Must Be Filed:**

The original of this form must be submitted to the HUD Office where your project application will be processed at the same time you file your initial project application. This form must be filed with applications for projects, or when otherwise required in the situations listed below:

- Projects to be financed with mortgages insured under the National Housing Act (FHA).
- Projects to be financed according to Section 202 of the Housing Act of 1959 (Elderly and Handicapped).
- Projects in which 20 percent or more of the units are to receive a subsidy as described

in 24 C.F.R. 200.213.

- Purchase of a project subject to a mortgage insured or held by the Secretary of HUD.
- Purchase of a Secretary-owned project.
- Proposed substitution or addition of a principal or principal participation in a different capacity from that previously approved for the same project.
- Proposed acquisition by an existing limited partner of an additional interest in a project resulting in a total interest of 25 percent or more or proposed acquisition by a corporate stockholder of an additional interest in a project resulting in a total interest of 10 percent or more.
- Projects with U.S.D.A., Farmers Home Administration, or with state or local government housing finance agencies that include rental assistance under Section 8 of the Housing Act of 1937. For projects of this type, form HUD-2530 should be filed with the appropriate applications directly to those agencies.

**Review of Adverse Determination:** If approval of your participation in a HUD project is denied, withheld, or conditionally granted on the basis of your record of previous participation, you will be notified by the HUD Office. You may request reconsideration by the HUD Review Committee. Alternatively, you may request a hearing before a Hearing Officer. Either request must be made in writing within 30 days from your receipt of the notice of determination.

If you do request reconsideration by the Review Committee and the reconsideration results in an adverse determination, you may then request a hearing before a Hearing Officer. The Hearing Officer will issue a report to the Review Committee. You will be notified of the final ruling by certified mail.

**Specific Line Instructions:**

**Reason for submitting** this Certification: e.g., refinance, change in ownership, change in management agent, transfer of physical assets, etc.

**Block 1:** Fill in the name of the agency to which you are applying. For example: HUD Office, Farmers Home Administration District office, or the name of a State or local housing finance agency. Below that, fill in the name of the city where the office is located.

**Block 2:** Fill in the name of the project, such as "Greenwood Apts." If the name has not yet been selected, write "Name unknown." Below that, enter the HUD contract or project identification number, the Farmers Home Administration project number, or the State or local housing finance agency project or contract number. Include **all** project or contract identification numbers that are relevant to the project. Also enter the name of the city in which the project is located, and the ZIP Code.

**Block 3:** Fill in the dollar amount requested in the proposed mortgage, or the annual amount of rental assistance requested.

**Block 4:** Fill in the number of apartment units proposed, such as "40 units." For hospital projects or nursing homes, fill in the number of beds proposed, such as "100 beds."

**Block 5:** Fill in the section of the Housing Act under which the application is filed.

**Block 7:** Definitions of all those who are considered principals and affiliates are given above in the section titled "Who Must Sign and File...."



**Block 8:** Beside the name of each principal, fill in the appropriate role. The following are examples of possible roles that the principals may assume: Owner/Mortgagor, Managing Agent, Sponsor, Developer, General Contractor, Packager, Consultant, Nursing Home Administrator etc.

**Block 9:** Fill in the Social Security Number or IRS employer number of every principal listed, including affiliates.

**Instructions for Completing Schedule A:**

Be sure that Schedule A is filled-in completely, accurately and the certification is properly dated and signed, because it will serve as a legal record of your previous experience. All Multifamily Housing projects involving HUD/ FmHA, and State and local Housing Finance Agencies in which you have previously participated **must be** listed. Applicants are reminded that previous participation pertains to the individual principal within an entity as well as the entity itself. A newly formed company may not have previous participation, but the principals within the company may have had extensive participation and disclosure of that activity is required.

**Column 2. All previous projects must be listed or your certification cannot be processed.** Include the name of all projects, project number, city where it is located and the governmental agency (HUD, USDA-FmHA or state or local housing finance agency) that was involved.

**Column 3.** List the role(s) as a principal, dates participated and if fee or identity of interest (IOI) with owners.

**Column 4.** Indicate the current status of the loan. Except for current loan, the date associated with the status is required. Loans under a workout arrangement are considered assigned. For all noncurrent loans, an explanation of the status is required.

**Column 5.** Explain any project defaults during your participation.

**Column 6.** Provide the latest Management Review (MOR) rating and Physical Inspection score.

**Certification:** After you have completed all other parts of form HUD-2530, including schedule A, read the Certification carefully. In the box below the statement of the certification, fill in the names of all principals and affiliates as listed in block

7. Each principal should sign the certification with the exception in some cases of individuals associated with a corporation (see "Exception for Corporations" in the section of the instructions titled "Who Must Sign and File Form HUD-2530). Principal who is signing on behalf of the entity should attach signature authority document. Each principal who signs the form should fill in the date of the signature and a telephone number. By providing a telephone number, HUD can reach you in the event of any questions.

If you cannot certify and sign the certification as it is printed because some statements do not correctly describe your record, use a pen to strike through those parts that differ with your record, and then sign and certify.

Attach a signed statement of explanation of the items you have struck out on the certification. Item 2e. relates to felony convictions within the past 10 years. If you are convicted of a felony within the past 10 years, strike out 2e. and attach statement of explanation. A felony conviction will not necessarily cause your participation to be disapproved unless there is a criminal record or other evidence that your previous conduct or

method of doing business has been such that your participation in the project would make it an unacceptable risk from the underwriting stand point of an insurer, lender or governmental agency.

The Department of Housing and Urban Development (HUD) is authorized to collect this information by law (42 U.S.C. 3535(d) and 24 C.F.R. 200.217) and by regulation at 24 CFR 200.210. This information is needed so that principals applying to participate in multifamily programs can become HUD-approved participants. The information you provide will enable HUD to evaluate your record with respect to established standards of performance, responsibility and eligibility. Without prior approval, a principal may not participate in a proposed or existing multifamily project. HUD uses this information to evaluate whether or not principals pose an unsatisfactory underwriting risk. The information is used to evaluate the potential principals and approve only individuals and organizations that will honor their legal, financial and contractual obligations.

**Privacy Act Statement:** The Housing and Community Development Act of 1987, 42 U.S.C. 3543 requires persons applying for a Federally-insured or guaranteed loan to furnish his/her Social Security Number (SSN). HUD must have your SSN for identification of your records. HUD may use your SSN for automated processing of your records and to make requests for information about you and your previous records with other public agencies and private sector sources. HUD may disclose certain information to Federal, State and local agencies when relevant to civil, criminal, or regulatory investigations and prosecutions. It will not be otherwise disclosed or released outside of HUD, except as required and permitted by law. You must provide all of the information requested in this application, including your SSN.

**Public reporting burden** for this collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB control number.

A response is mandatory. Failure to provide any of the information will result in your disapproval of participation in this HUD program.

**END OF PREVIOUS PARTICIPATION CERTIFICATION**

**END OF SECTION 00320**

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

**Representations, Certifications,  
and Other Statements of Bidders**  
**Public and Indian Housing Programs**

## Representations, Certifications, and Other Statements of Bidders

Public and Indian Housing Programs

### Table of Contents

Clause

1. Certificate of Independent Price Determination
2. Contingent Fee Representation and Agreement
3. Certification and Disclosure Regarding Payments to Influence Certain Federal Transactions
4. Organizational Conflicts of Interest Certification
5. Bidder's Certification of Eligibility
6. Minimum Bid Acceptance Period
7. Small, Minority, Women-Owned Business Concern Representation
8. Indian-Owned Economic Enterprise and Indian Organization Representation
9. Certification of Eligibility Under the Davis-Bacon Act
10. Certification of Nonsegregated Facilities
11. Clean Air and Water Certification
12. Previous Participation Certificate
13. Bidder's Signature

### 1. Certificate of Independent Price Determination

(a) The bidder certifies that--

(1) The prices in this bid have been arrived at independently, without, for the purpose of restricting competition, any consultation,

communication, or agreement with any other bidder or competitor relating to (i) those prices, (ii) the intention to submit a bid, or (iii) the methods or factors used to calculate the prices offered;

(2) The prices in this bid have not been and will not be knowingly disclosed by the bidder, directly or indirectly, to any other bidder or competitor before bid opening (in the case of a sealed bid solicitation) or contract award (in the case of a competitive proposal solicitation) unless otherwise required by law; and

(3) No attempt has been made or will be made by the bidder to induce any other concern to submit or not to submit a bid for the purpose of restricting competition.

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

(1) Is the person in the bidder's organization responsible for determining the prices being offered in this bid or proposal, and that the signatory has not participated and will not participate in any action contrary to subparagraphs (a)(1) through (a)(3) above; or

(2) (i) Has been authorized, in writing, to act as agent for the following principals in certifying that those principals have not participated, and will not participate in any action contrary to subparagraphs (a)(1) through (a)(3) above.

\_\_\_\_\_[insert full name of person(s) in the bidder's organization responsible for determining the prices offered in this bid or proposal, and the title of his or her position in the bidder's organization];

(ii) As an authorized agent, does certify that the principals named in subdivision (b)(2)(i) above have not participated, and will not

participate, in any action contrary to subparagraphs (a)(1) through (a)(3) above; and

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

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

[X] [Contracting Officer check if following paragraph is applicable]

(d) Non-collusive affidavit. (applicable to contracts for construction and equipment exceeding \$50,000)

(1) Each bidder shall execute, in the form provided by the PHA/ IHA, an affidavit to the effect that he/she has not colluded with any other person, firm or corporation in regard to any bid submitted in response to this solicitation. If the successful bidder did not submit the affidavit with his/her bid, he/she must submit it within three (3) working days of bid opening. Failure to submit the affidavit by that date may render the bid nonresponsive. No contract award will be made without a properly executed affidavit.

(2) A fully executed "Non-collusive Affidavit" [ ] is, [ ] is not included with the bid.

## **2. Contingent Fee Representation and Agreement**

(a) Definitions. As used in this provision:

"Bona fide employee" means a person, employed by a bidder and subject to the bidder's supervision and control as to time, place, and manner of performance, who neither exerts, nor proposes to exert improper influence to solicit or

obtain contracts nor holds out as being able to obtain any contract(s) through improper influence.

"Improper influence" means any influence that induces or tends to induce a PHA/IHA employee or officer to give consideration or to act regarding a PHA/IHA contract on any basis other than the merits of the matter.

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

(1) [ ] has, [ ] has not employed or retained any person or company to solicit or obtain this contract; and

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

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

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

## **3. Certification and Disclosure Regarding Payments to Influence Certain Federal Transactions** (applicable to contracts exceeding \$100,000)

(a) The definitions and prohibitions contained in Section 1352 of title 31, United States Code, are hereby incorporated by reference in paragraph (b) of this certification.

(b) The bidder, by signing its bid, hereby certifies to the best of his or her knowledge and belief as of December 23, 1989 that:

(1) No Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress on his or her behalf in connection with the awarding of a contract resulting from this solicitation;

(2) If any funds other than Federal appropriated funds (including profit or fee received under a covered Federal transaction) have been paid, or will be paid, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress on his or her behalf in connection with this solicitation, the bidder shall complete and submit, with its bid, OMB standard form LLL, "Disclosure of Lobbying Activities;" and

(3) He or she will include the language of this certification in all subcontracts at any tier and require that all recipients of subcontract awards in excess of \$100,000 shall certify and disclose accordingly.

(c) Submission of this certification and disclosure is a prerequisite for making or entering into this contract imposed by section 1352, title 31, United States Code. Any person who makes an expenditure prohibited under this provision or who fails to file or amend the disclosure form to be filed or amended by this provision, shall be subject to a civil penalty of not less than \$10,000, and not more than \$100,000, for each such failure.

(d) Indian tribes (except those chartered by States) and Indian organizations as defined in section 4 of the Indian Self-Determination and

Education Assistance Act (25 U.S.C. 450B) are exempt from the requirements of this provision.

#### **4. Organizational Conflicts of Interest Certification**

The bidder certifies that to the best of its knowledge and belief and except as otherwise disclosed, he or she does not have any organizational conflict of interest which is defined as a situation in which the nature of work to be performed under this proposed contract and the bidder's organizational, financial, contractual, or other interests may, without some restriction on future activities:

(a) Result in an unfair competitive advantage to the bidder; or,

(b) Impair the bidder's objectivity in performing the contract work.

[ ] In the absence of any actual or apparent conflict, I hereby certify that to the best of my knowledge and belief, no actual or apparent conflict of interest exists with regard to my possible performance of this procurement.

#### **5. Bidder's Certification of Eligibility**

(a) By the submission of this bid, the bidder certifies that to the best of its knowledge and belief, neither it, nor any person or firm which has an interest in the bidder's firm, nor any of the bidder's subcon- tractors, is ineligible to:

(1) Be awarded contracts by any agency of the United States Government, HUD, or the State in which this contract is to be performed; or,

(2) Participate in HUD programs pursuant to 24 CFR Part 24.

(b) The certification in paragraph (a) above is a material representation of fact upon which reliance was placed when making award. If it is

later determined that the bidder knowingly rendered an erroneous certification, the contract may be terminated for default, and the bidder may be debarred or suspended from participation in HUD programs and other Federal contract programs.

## 6. Minimum Bid Acceptance Period

(a) "Acceptance period," as used in this provision, means the number of calendar days available to the PHA/IHA for awarding a contract from the date specified in this solicitation for receipt of bids.

(b) This provision supersedes any language pertaining to the acceptance period that may appear elsewhere in this solicitation.

(c) The PHA/IHA requires a minimum acceptance period of [Contracting Officer insert time period] calendar days.

(d) In the space provided immediately below, bidders may specify a longer acceptance period than the PHA's/IHA's minimum requirement. The bidder allows the following acceptance period: calendar days.

(e) A bid allowing less than the PHA's/IHA's minimum acceptance period will be rejected.

(f) The bidder agrees to execute all that it has undertaken to do, in compliance with its bid, if that bid is accepted in writing within (1) the acceptance period stated in paragraph (c) above or (2) any longer acceptance period stated in paragraph (d) above.

## 7. Small, Minority, Women-Owned Business Concern Representation

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

(a) ☐ is, ☐ is not a small business concern. "Small business concern," as used in this

provision, means a concern, including its affiliates, that is independently owned and operated, not dominant in the field of operation in which it is bidding, and qualified as a small business under the criteria and size standards in 13 CFR 121.

(b) ☐ is, ☐ is not a women-owned business enterprise. "Women-owned business enterprise," as used in this provision, means a business that is at least 51 percent owned by a woman or women who are U.S. citizens and who also control and operate the business.

(c) ☐ is, ☐ is not a minority business enterprise. "Minority business enterprise," as used in this provision, means a business which is at least 51 percent owned or controlled by one or more minority group members or, in the case of a publicly owned business, at least 51 percent of its voting stock is owned by one or more minority group members, and whose management and daily operations are controlled by one or more such individuals. For the purpose of this definition, minority group members are:

(Check the block applicable to you)

☐ Black Americans ☐ Asian Pacific Americans

☐ Hispanic Americans ☐ Asian Indian Americans

☐ Native Americans ☐ Hasidic Jewish Americans

**8. Indian-Owned Economic Enterprise and Indian Organization Representation** (applicable only if this solicitation is for a contract to be performed on a project for an Indian Housing Authority)

The bidder represents and certifies that it:

(a) ☐ is, ☐ is not an Indian-owned economic enterprise. "Economic enterprise," as used in this provision, means any commercial, industrial, or business activity established or organized for the purpose of profit, which is at

least 51 percent Indian owned. "Indian," as used in this provision, means any person who is a member of any tribe, band, group, pueblo, or community which is recognized by the Federal Government as eligible for services from the Bureau of Indian Affairs and any "Native" as defined in the Alaska Native Claims Settlement Act.

(b) [ ] is, [ ] is not an Indian organization. "Indian organization," as used in this provision, means the governing body of any Indian tribe or entity established or recognized by such governing body. Indian "tribe" means any Indian tribe, band, group, pueblo, or community including Native villages and Native groups (including corporations organized by Kenai, Juneau, Sitka, and Kodiak) as defined in the Alaska Native Claims Settlement Act, which is recognized by the Federal Government as eligible for services from the Bureau of Indian Affairs.

**9. Certification of Eligibility Under the Davis-Bacon Act** (applicable to construction contracts exceeding \$2,000)

(a) By the submission of this bid, the bidder certifies that neither it nor any person or firm who has an interest in the bidder's firm is a person or firm ineligible to be awarded contracts by the United States Government by virtue of section 3(a) of the Davis-Bacon Act or 29 CFR 5.12(a)(1).

(b) No part of the contract resulting from this solicitation shall be subcontracted to any person or firm ineligible to be awarded contracts by the United States Government by virtue of section 3(a) of the Davis-Bacon Act or 29 CFR 5.12(a)(1).

(c) The penalty for making false statements is prescribed in the U. S. Criminal Code, 18 U.S.C. 1001.

**10. Certification of Nonsegregated Facilities**  
(applicable to contracts exceeding \$10,000)

(a) The bidder's attention is called to the clause entitled **Equal Employment Opportunity** of the General Conditions of the Contract for Construction.

(b) "Segregated facilities," as used in this provision, means any waiting rooms, work areas, rest rooms and wash rooms, restaurants and other eating areas, time clocks, locker rooms and other storage or dressing areas, parking lots, drinking fountains, recreation or entertainment areas, transportation, and housing facilities provided for employees, that are segregated by explicit directive or are in fact segregated on the basis of race, color, religion, or national origin because of habit, local custom, or otherwise.

(c) By the submission of this bid, the bidder certifies that it does not and will not maintain or provide for its employees any segregated facilities at any of its establishments, and that it does not and will not permit its employees to perform their services at any location under its control where segregated facilities are maintained. The bidder agrees that a breach of this certification is a violation of the Equal Employment Opportunity clause in the contract.

(d) The bidder further agrees that (except where it has obtained identical certifications from proposed subcontractors for specific time periods) prior to entering into subcontracts which exceed \$10,000 and are not exempt from the requirements of the Equal Employment Opportunity clause, it will:

(1) Obtain identical certifications from the proposed subcontractors;

(2) Retain the certifications in its files; and

(3) Forward the following notice to the proposed subcontractors (except if the proposed subcontractors have submitted identical certifications for specific time periods):



(a)

The bidder shall complete and submit with his/her bid the Form HUD-2530, "Previous Participation Certificate." If the successful bidder does not submit the certificate with his/her bid, he/she must submit it within three (3) working days of bid opening. Failure to submit the certificate by that date may render the bid nonresponsive. No contract award will be made without a properly executed certificate.

(b) A fully executed "Previous Participation Certificate"  
[ ] is, [ ] is not included with the bid.

**Notice to Prospective Subcontractors of Requirement for Certifications of Nonsegregated Facilities**

A Certification of Nonsegregated Facilities must be submitted before the award of a subcontract exceeding \$10,000 which is not exempt from the provisions of the Equal Employment Opportunity clause of the prime contract. The certification may be submitted either for each subcontract or for all subcontracts during a period (i.e., quarterly, semiannually, or annually).

**Note:** The penalty for making false statements in bids is prescribed in 18 U.S.C. 1001.

**11.Clean Air and Water Certification**  
(applicable to contracts exceeding \$100,000)

The bidder certifies that:

(a) Any facility to be used in the performance of this contract [ ] is, [ ] is not listed on the Environmental Protection Agency List of Violating Facilities:

(b) The bidder will immediately notify the PHA/IHA Contracting Officer, before award, of the receipt of any communication from the Administrator, or a designee, of the Environmental Protection Agency, indicating that any facility that the bidder proposes to use for the performance of the contract is under consideration to be listed on the EPA List of Violating Facilities; and,

(c) The bidder will include a certification substantially the same as this certification, including this paragraph (c), in every nonexempt subcontract.

**12. Previous Participation Certificate**  
(applicable to construction and equipment contracts exceeding \$50,000)

**13.Bidder's Signature**

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

\_\_\_\_\_  
(Signature and Date)

\_\_\_\_\_  
(Typed or Printed Name)

\_\_\_\_\_  
(Title)

\_\_\_\_\_  
(Company Name)

\_\_\_\_\_  
(Company Address)

**END OF SECTION 00110**