



# **INVITATION TO BID**

**Solicitation Nos. 4912 & 4964**

## **PROJECT MANUAL**

### **VOLUME 2**

**Forms To Be Completed & Returned  
With Bid Submittal**

**for**

**WINDOW CLEANING  
(FEDERALLY- AND  
NON-FEDERALLY FUNDED)**

**at**

**Various Locations  
Seattle, Washington**

**Seattle Housing Authority  
190 Queen Anne Avenue North  
Seattle, WA 98109-5002**

**Bid Submittal Deadline:**

**1:00 PM Pacific Time**

**on**

**Wednesday, July 12, 2017**

**Certifications and Representations of Offerors Non-Construction Contract**

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

OMB Approval No: 2577-0180 (exp. 7/30/96)

Public reporting burden for this collection of information is estimated to average 5 minutes 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 form includes clauses required by OMB's common rule on bidding/offering procedures, implemented by HUD in 24 CFR 85.36, and those requirements set forth in Executive Order 11625 for small, minority, women-owned businesses, and certifications for independent price determination, and conflict of interest. The form is required for nonconstruction contracts awarded by Housing Agencies (HAs). The form is used by bidders/offerors to certify to the HA's Contracting Officer for contract compliance. If the form were not used, HAs would be unable to enforce their contracts. Responses to the collection of information are required to obtain a benefit or to retain a benefit. The information requested does not lend itself to confidentiality.

**1. Contingent Fee Representation and Agreement**

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

- (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.

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

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

**2. Small, Minority, Women-Owned Business Concern Representation**

The bidder/offeror 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 small business concern. "Women-owned," as used in this provision, means a small 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 enterprise which, pursuant to Executive Order 11625, is defined as a business which is at least 51 percent owned 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

**3. Certificate of Independent Price Determination**

(a) The bidder/offeror certifies that—

- (1) The prices in this bid/offer have been arrived at independently, without, for the purpose of restricting competition, any consultation, communication, or agreement with any other bidder/offeror or competitor relating to (i) those prices, (ii) the intention to submit a bid/offer, or (iii) the methods or factors used to calculate the prices offered;
(2) The prices in this bid/offer have not been and will not be knowingly disclosed by the bidder/offeror, directly or indirectly, to any other bidder/offeror or competitor before bid opening (in the case of a sealed bid solicitation) or contract award (in the case of a negotiated solicitation) unless otherwise required by law; and
(3) No attempt has been made or will be made by the bidder/offeror to induce any other concern to submit or not to submit a bid/offer for the purpose of restricting competition.

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

- (1) Is the person in the bidder/offeror'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/offeror's organization responsible for determining the prices offered in this bid or proposal, and the title of his or her position in the bidder/offeror'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/offeror deletes or modifies subparagraph (a)2 above, the bidder/offeror must furnish with its bid/offer a signed statement setting forth in detail the circumstances of the disclosure.

#### 4. Organizational Conflicts of Interest Certification

(a) The Contractor warrants that to the best of its knowledge and belief and except as otherwise disclosed, it does not have any organizational conflict of interest which is defined as a situation in which the nature of work under a proposed contract and a prospective contractor's organizational, financial, contractual or other interest are such that:

- (i) Award of the contract may result in an unfair competitive advantage;
- (ii) The Contractor's objectivity in performing the contract work may be impaired; or
- (iii) That the Contractor has disclosed all relevant information and requested the HA to make a determination with respect to this Contract.

(b) The Contractor agrees that if after award he or she discovers an organizational conflict of interest with respect to this contract, he or she shall make an immediate and full disclosure in writing to the HA which shall include a description of the action which the Contractor has taken or intends to eliminate or neutralize the conflict. The HA may, however, terminate the Contract for the convenience of HA if it would be in the best interest of HA.

(c) In the event the Contractor was aware of an organizational conflict of interest before the award of this Contract and intentionally did not disclose the conflict to the HA, the HA may terminate the Contract for default.

(d) The Contractor shall require a disclosure or representation from subcontractors and consultants who may be in a position to influence the advice or assistance rendered to the HA and shall include any necessary provisions to eliminate or neutralize conflicts of interest in consultant agreements or subcontracts involving performance or work under this Contract.

#### 5. Authorized Negotiators (RFPs only)

The offeror represents that the following persons are authorized to negotiate on its behalf with the PHA in connection with this request for proposals: (list names, titles, and telephone numbers of the authorized negotiators):

#### 6. Conflict of Interest

In the absence of any actual or apparent conflict, the offeror, by submission of a proposal, hereby warrants that to the best of its knowledge and belief, no actual or apparent conflict of interest exists with regard to my possible performance of this procurement, as described in the clause in this solicitation titled "Organizational Conflict of Interest."

#### 7. Offeror's Signature

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

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

\_\_\_\_\_  
Typed or Printed Name:

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

Project Identification: Window Cleaning (Federally- and Non-Federally Funded)

Seattle Housing Authority  
Submit Bid To: Seattle Housing Authority  
5th Floor Reception – Attn: Louise Lauff  
190 Queen Anne Ave North  
Post Office Box 19028  
Seattle, Washington 98109-1028

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

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

Pursuant to, and in compliance with the Invitation to Bid and other documents relating thereto, and subject to all conditions thereof, the undersigned hereby proposes and agrees to furnish all labor, materials, equipment and testing necessary to perform and furnish the Work as indicated in the Contract Documents, and in accordance with the terms and conditions of the Contract Documents.

In submitting this Bid, the Bidder represents that:

- A. This Bid will remain subject to acceptance for 60 days after the day of opening.
- B. The Owner has a right to reject this Bid.
- C. The Owner plans to award two separate Contracts to one Contractor/Bidder/Service Provider based on this solicitation: one Contract for Federally-Funded Buildings/Sites (#4912) and one Contract for Non-Federally Funded Buildings/Sites (#4964).
- D. The Owner will award the two separate Contracts to the responsible Bidder/Contractor/Service provider submitting the lowest responsive bid. Bids will be evaluated by totaling the costs for Federally- and Non-Federally funded buildings/sites. The totals of Attachments A & B will be added and provided below.
- E. Bidder will sign and submit the Agreement with Bonds, Insurance, and other documents required by the bid documents within 7 calendar days after the date of Owner's Notice of Award.
- F. Bidder has examined copies of all the Bidding Documents, and has visited the sites and become familiar with the general, local, and site conditions.
- G. Bidder will ensure equal opportunity for employment and to engage in Affirmative Efforts in the solicitation of women and minorities, Section 3 residents, WMBE and Section 3 firms for participation on this Contract.
- H. By submission of its bid and the attached compliance certificate, Bidder represents that neither it nor its principals is presently debarred, suspended, proposed for debarment, or declared ineligible or voluntarily excluded from participation in this transaction by any federal department or agency. Where the Bidder is unable to certify to this statement, it shall attach an explanation to this bid. It further represents that by signing this bid that it will comply with the requirements regarding subcontracting, and the purchase of supplies or materials from firms or the firms' principals who are not debarred or

otherwise disqualified from doing business with the Owner. The Bidder understands that it shall provide evidence of Bidder's eligibility and eligibility of its subcontractors upon the Owner's request. A signed certification of compliance for itself and for any of its subcontractors will be required on an annual basis if the Contract extends beyond one year in duration.

- I. Bidder is in compliance with all of the responsibility requirements under RCW 39.04.350, including, but not limited to: having a certificate of registration under RCW 18.27 prior to bidding; a UBI number; industrial insurance coverage if required under Title 51; an employment security number Title 50; and a state excise tax registration number under Title 82.
- J. The requirements imposed by Part 2, which waives, with respect to the Owner only, the Contractor's immunity under RCW Title 51, (Industrial Insurance) of the Revised Code of Washington.
- K. Bidder accepts the provisions of and represents that Bid is in accordance with the Contract Documents.

Bidder acknowledges receipt of Addenda(s) Number(s) \_\_\_\_\_

Bidder acknowledges the requirement that Work will be Substantially Complete and ready for final payment in accordance with the General Conditions within approximately 150 consecutive calendar days after Notice to Proceed or by October 15, 2017, whichever is earlier.

Bidder will complete the Work in accordance with the Contract Documents for the following price.

<p><b>TOTAL Lump Sum Price (Must Equal Total from Building/Site Prices on Attachments A &amp; B)</b></p>	<p><b>TOTAL OF ALL BUILDINGS/SITES FROM ATTACHMENTS A &amp; B</b></p> <p>\$ _____</p>
--	---

Bid Tabulation: After Bid Opening, the Owner will tabulate the price and check the correctness of Attachments A & B individual building pricing. Any discrepancy or arithmetical error between: 1) the totals of those separate building/site prices, and 2) the Total Lump Sum Price listed above – shall be resolved by accepting the total of the 1) separate items. In other words, SHA would correct the Total Lump Sum Price by using the summation of the individual building prices.

**Retail Sales Tax / Compensatory Use Tax**

Pursuant to a conversation between SHA and the Department of Revenue following an earlier solicitation (2009), retail and use taxes do not apply to window cleaning work as it falls under the classification of janitorial services as described in WAC 458-20-224. Therefore, the distinction included in previous solicitations, change orders, etc. regarding: 1) SHA's tax exempt status, 2) SHA reimbursing for tax on materials only, or 3) reimbursement for tax on materials and tax on labor for the limited partnership buildings – is not applicable to window cleaning. Potential bidders need only provide a total bid price for each building on the Attachments A & B.

The following completed and signed documents are attached to and made a condition of this Bid:

- 1. Required Bid Bond
- 2. Representations, Certifications & other Statements of Bidders (HUD 5369A)
- 3. Certificate as to Corporate Principal
- 4. SHA Vendor Fact Sheet

**Window Cleaning (Federally & Non-Federally Funded)  
SHA Solicitation No. 4912 & 4964**

**SECTION 00300  
BID FORM**

5. Community Participation and Exhibits
6. Section 3 Business Certification and Resident Employment Form
7. Suspension & Debarment Compliance Certificate
8. Non-Collusive Affidavit
9. Environmental Regulation Compliance
10. Previous Participation Certificate

SUBMITTED on: \_\_\_\_\_ day of \_\_\_\_\_, 2017.

Bid From: \_\_\_\_\_  
(Firm Name)

Submitted by: \_\_\_\_\_  
(Print name)

Signature of Person Submitting Bid: \_\_\_\_\_  
(Sign name)

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

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

Business Telephone: \_\_\_\_\_ FAX: \_\_\_\_\_

E-mail Address: \_\_\_\_\_

Contractor's number for Washington Employment Security Department as required in

Title 50: \_\_\_\_\_

End of Section 00300

*Seattle Housing Authority*  
**Detailed Bid Price Form/Attachment A – #4912 Federally-Funded  
 Exterior Window Cleaning Sites)**

Bidder's Check List

- 1) The total of the bid items below must equal the total bid price on the Bid Form.
- 2) A bid must be submitted for each item listed below.
- 3) The Bidder's Business Name must be filled in below.
- 4) This "Detailed Bid Price Form" must be returned with the Bid Form.

SHA Reference No: 4912	Project Title: Exterior Window Cleaning (Federally-Funded)		
Bidder's Business Name:			
Item	Description	Address	Total Building Bid Price:
1	Baldwin Apartments	1305 East Fir Street	\$
2	Ballard House	2445 NW 57th Street	\$
3	Barton Place	9201 Rainier Avenue South	\$
4	Bayview Tower	2614 4 <sup>th</sup> Avenue	\$
5	Beacon Tower	1311 Massachusetts St	\$
6	Bell Tower	2215 First Avenue	\$
7	Bitter Lake Manor	620 North 130 <sup>th</sup>	\$
8	Blakely Manor	2401 NE Blakeley St	\$
9	Cal-Mor Circle	6420 California Ave SW	\$
10	Capitol Park	525 14th Avenue East	\$
11	Carroll Terrace	600 5th Ave W	\$
12	Cedarvale house	11050 8th Avenue NE	\$
13	Center Park	2121 26th Avenue South	\$
14	Center West	533 Third Avenue West	\$
15	Columbia Place	4628 S Holly St	\$
16	Denny Terrace	100 Melrose Avenue East	\$
17	Fort Lawton	3401 W Government Way	\$
18	Fremont Place	4601 Phinney Ave N	\$
19	Gideon Mathews Gardens	323 25th Ave S	\$
20	Green Lake Plaza	505 NE 70th Street	\$
21	Harvard Court	610 Harvard Avenue East	\$
22	Lake City Court	12536 33rd Ave NE	\$
23	Lake City House	12546 33rd Avenue NE	\$
24	Lictonwood	9009 Greenwood Ave N	\$
25	Longfellow Creek	5919 Delridge Way	\$
26	McBride Court	4515 29 <sup>th</sup> Ave S 98108	\$
27	Michaelson Manor	320 W Roy St	\$
28	Nelson Manor	2200 NW 58th St	\$
29	Olive Ridge	1700 17th Ave	\$
30	Olmstead Manor	501 NE Ravenna Blvd	\$
31	Olympic West	100 West Olympic Pl	\$
32	Phinney Terrace	6561 Phinney Ave N	\$
33	Pinehurst Court	12702 15th Ave NE	\$
34	Pleasant Valley Plaza	3801 34th Ave W	\$
35	Primeau Place	308 14th Ave E	\$

36	Queen Anne Heights	1212 Queen Anne Ave N	\$
37	Reunion House	530 10th Ave E	\$
38	Ross Manor	1420 Western Avenue	\$
39	Schwabacher House	1715 NW 59th St	\$
40	Snoqualmie Building	2917 S Snoqualmie St 98108	\$
41	Stewart Manor	6339 34th SW	\$
42	Sunrise Manor	1530 NW 57th St	\$
43	TriCourt	720 North 143rd	\$
44	University House	4700 12th Avenue NE	\$
45	University West	4544 7th Avenue NW	\$
46	West Town View	1407 2nd Avenue West	\$
47	Westwood Heights	9455 27th Avenue SW	\$
48	Wildwood Glen	4502 SW Wildwood PI	\$
49	Willis House	6341 5th Ave NE	\$
50	Wisteria Court	7544 24th Avenue SW	\$

**Scattered Sites:**

Item:	Address w/ Zip Code:	Total Building Bid Price:
51	1128 NW 59 <sup>th</sup> , 98107	\$
52	1120 15th Ave, 98122	\$
53	1803 13th Ave S, 98144	\$
54	1821 E Mercer Street, 98112	\$
55	2307 E Fir Street, 98122	\$
56	2400 E Union Street, 98122	\$
57	2401 E Lynn St, 98122	\$
58	2805 E Cherry Street, 98122	\$
59	317 26th Ave South, 98144	\$
60	14036 Greenwood Ave N, 98133	\$
61	14040 Greenwood Ave N, 98133	\$
62	10516 Midvale Ave N., 98133	\$
63	10557 Stone Ave N, 98133	\$
64	11208 Meridian Ave N, 98133	\$
65	11727 Greenwood Ave N, 98133	\$
66	12532 Greenwood Ave N, 98133	\$
67	14315 Lenora Pl. N, 98133	\$
68	2228 N 106 <sup>th</sup> , 98133	\$
69	3625 Albion Place N, 98103	\$
70	3630 Greenwood Ave N., 98103	\$
71	748 N. 95th St, 98103	\$
72	8802 Midvale Ave N, 98103	\$
73	902 N 128th Street, 98133	\$
74	927 N 100th Street, 98133	\$
75	2817 NE 115 <sup>th</sup> , 98125	\$
76	11308 3rd Ave NE, 98125	\$
77	11736 Pinehurst Way NE, 98125	\$
78	14003 32nd Ave NE, 98125	\$
79	14349 32nd Ave NE, 98125	\$
80	14355 32nd Ave E, 98125	\$
81	1921,31,41 NE 145th St, 98155	\$
82	2411 NE 75th St, 98115	\$
83	3052 NE 137th Street, 98125	\$



84	9818 5th Ave NE, 98115	\$
85	2851 SW Dakota St, 98126	\$
86	3819 13th Ave W, 98119	\$
87	4240 34th Ave W, 98199	\$
88	5906 16th Ave S, 98108	\$
89	6322 42nd Ave SW, 98136	\$
90	7100 California Ave SW, 98136	\$
91	5908 Swift Ave S, 98108	\$

*Seattle Housing Authority*  
**Detailed Bid Price Form/Attachment B – #4964 Non-Federally Funded  
 Exterior Window Cleaning Sites**

Bidder's Check List

- 1) The total of the bid items below must equal the total bid price on the Bid Form.
- 2) A bid must be submitted for each item listed below.
- 3) The Bidder's Business Name must be filled in below.
- 4) This "Detailed Bid Price Form" must be returned with the Bid Form.

SHA Reference No: 4964	Project Title: Exterior Window Cleaning (Non-Federally)		
Bidder's Business Name:			
Item	Description	Address	Building Bid Price
1	5983 Rainier Ave S.	5983 Rainier Ave S. 98118	\$
2	Alder Crest	6520 35th Ave SW	\$
3	Beacon House (ACRS)	1545 12 <sup>th</sup> Ave South 98144	\$
4	Calugas Building	6025 Lanham PI SW 98126	\$
5	Center Pk Comm Bldg	2121 26 <sup>th</sup> Avenue S.	\$
6	Epstein Opportunity Ctr	120 8 <sup>th</sup> Avenue 98104	\$
7	Gamelin (ground floor only)	4515 Martin Luther King Jr Way 98108	\$
8	High Pt. Mgt. Svc. Ctr.	6558 35th Avenue Southwest	\$
9	Holly Court Bldg 7 (YWCA)	3800 S. Myrtle ST. 98118	\$
10	Kebero Court	1105 E Fir St	\$
11	Lam Bow Apts.	6935 Delridge Way SW	\$
12	Lee Apartments	3801 & 3808 S. Willow ST 98118	\$
13	Leschi House	1011 S Weller St	\$
14	Main St (ground floor only)	2035 S. Main Street 98114	\$
15	MLK Ops	810 Martin Luther King Jr. Way S.	\$
16	Operations Support Ctr.	1300 North 130 <sup>th</sup> Street	\$
17	Othello (ground floor only)	3815 S Othello St. 98118	\$
18	Raven Terrace	820 Yesler Way	\$
19	Ravenna School Apts	6545 Ravenna Ave. NE	\$
20	Ritz Apartments	120 Broadway	\$
21	South Operations Facility	7500 Detroit Ave SW 98106	\$
22	South Park Manor	520 S. Cloverdale	\$
23	South Shore	4811 S Henderson St	\$
24	Tamarak (ground floor only)	4570 Martin Luther King Jr Way S	\$
25	Villa Park	9121 50 <sup>th</sup> Ave South	\$
26	Willow Street Apartments	3809, 3811, 3813 S Willow, 98118	\$

**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) \_\_\_\_\_



# VENDOR FACT SHEET

Return this Form TO: Seattle Housing Authority, Purchasing Division,  
ATTN: Louise Lauff  
190 Queen Anne Ave N, P.O Box 19028, Seattle WA 98109-1028

**General Business Information:**For SHA Use Only:

Name of Business, Organization, or Name of Person (if payment is to an individual):

JDE Vendor No.

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.:

President/General Manager: Principal products and/or services offered:

**Type of Organization (check one):**

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"/>
--	---	---	---	---	---

Employee Tax ID No. (TIN) or Social Security No. (if Individual):

**Substitute IRS Form W-9 Certification:**

Under penalties of perjury, I hereby certify that the number shown on this form is my correct taxpayer identification number, and 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, and I am a U.S. person (including a U.S. resident alien). Note: 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>
------------------------	---------------------------------	-------------

**Ownership Status (check all that apply):**

- MBE** (Minority-Owned Business Enterprise)
- WBE** (Women-Owned Business Enterprise)
- MWBE** (Minority / Women-Owned Business Enterprise)
- CBE** (Combination Business Enterprise)
- Small Business**     **HUD Section 3 Business**
- Certified by OMWBE (Washington State Office of Minority and Women's Business Enterprises)
- Self-Identified (SHA may request a signed statement re: self-certification)

**Racial/Ethnic Status (check one):**

- Caucasian (1)
- African American (2)
- Native American (3)
- Hispanic American (4)
- Asian/Pacific American (5)
- Hasidic Jews (6)

**Method of Contract Payments:** 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.

**SIGN BELOW:**

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, if the Vendor will be supplying goods and/or services through an SHA Purchase Order.

To obtain a copy of the General Terms and Conditions, call (206) 615-3379 or visit our Web site at [http://seattlehousing.org/business/guidelines/pdf/Purchase\\_Order\\_Terms\\_Conditions.pdf](http://seattlehousing.org/business/guidelines/pdf/Purchase_Order_Terms_Conditions.pdf).

## 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.

The websites to verify eligibility of the firm and its principals are: <https://www.sam.gov/portal/public/SAM/> and

[http://portal.hud.gov/hudportal/HUD?src=/topics/limited\\_denials\\_of\\_participation](http://portal.hud.gov/hudportal/HUD?src=/topics/limited_denials_of_participation). 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 e-payables 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 Brenda Mix, SHA's Accounts Payable Manager, at 206-615-3421 or [bmix@seattlehousing.org](mailto:bmix@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.
- **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 is owned 51% or more by a Section 3 qualified person, or where 30% or more of the permanent, full-time employees of the business are Section 3 qualified persons, or where the business can provide evidence of a commitment to subcontract in excess of 25% of the amount of all subcontracts to other Section 3 certified businesses. A Section 3 qualified person must live in the metropolitan statistical areas identified on SHA's Section 3 form and whose income level meets or falls below the stated income limits.

## Seattle Housing Authority

### Section 3 Business Certification

The work to be performed under this contract is subject to the requirements of Section 3 of the Housing and Urban Development Act of 1968, as amended, 12 U.S.C. 1701u (Section 3). The purpose of Section 3 is to ensure that employment and other economic opportunities generated by HUD assistance or HUD-assisted projects covered by Section 3, shall, to the greatest extent feasible, be directed low-and very low-income persons, particularly persons who are recipients of HUD assistance for housing.

For more information regarding the Section 3 requirements for Consulting Contracts and to view the full contract provisions, see Section 7 of the standard contract at:

[http://seattlehousing.org/business/guidelines/pdf/Consultant\\_professional\\_services\\_contract.pdf](http://seattlehousing.org/business/guidelines/pdf/Consultant_professional_services_contract.pdf)

**Section 3 Business Criteria:** Your business is eligible for Section 3 Certification if it meets any one of the following criteria. If your business meets one or more of these criteria, please circle the applicable criteria.

1. Fifty-one percent or more of your business is owned and managed by a Section 3 qualified person or persons. (See qualification guidelines below) A completed and signed Individual Certification form for each Section 3 qualified person or persons is required to be submitted.
2. Thirty percent or more of your permanent, full time employees are Section 3 qualified persons. (When seeking certification under this criteria, please submit a listing of all current, permanent, full-time employees, as well as a completed and signed Individual Certification form for each Section 3 qualified employee.)
3. You can provide evidence of a commitment to subcontract in excess of 25 percent of the amount of all subcontracts to Section 3 certified businesses. (When seeking certification under these criteria, please consult with the Section 3 Coordinator regarding the documentation to be submitted.)

**Section 3 Person Criteria:** A Section 3 qualified person must:

- 1) Be a City of Seattle Housing Authority public housing resident; or
- 2) Live in the metropolitan statistical area (MSA) covering King, Snohomish, and Pierce counties, and,
- 3) Earn no more than the following amounts for the respective MSA area:

Region/Area	1 Person	2 Persons	3 Persons	4 Persons	5 Persons	6 Persons	7 Persons	8 Persons
King and Snohomish Counties	\$ 48,550	\$55,450	\$ 62,400	\$ 69,300	\$ 74,850	\$ 80,400	\$ 85,950	\$ 91,500
Pierce County	\$ 40,500	\$ 46,300	\$ 52,100	\$ 57,850	\$ 62,500	\$ 67,150	\$71,750	\$ 76,400

**Section 3 Statement:** Please check the appropriate box below.

- My business is eligible to be certified as a Section 3 business in accordance with the criteria circled above under Section 3 Business Criteria.
- My business is not a Section 3 business.

Signature:		Date Signed:
Name:	Title:	
Company Name:		
Address:		
Telephone Number:		

**Note:** If you certify above that your business is a Section 3 business, SHA will request documentation and additional information as may be reasonably required to certify whether your business qualifies as a Section 3 business.

# 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:** \_\_\_\_\_

	<b>PRINCIPAL(S) Name(s)</b>	<b>Title(s)</b>
1		
2		
3		
4		
5		

<b>Contractor's Signature</b>	<b>Printed Name</b>	<b>Title</b>	<b>Date</b>

**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: <https://www.sam.gov/portal/public/SAM/> and [http://portal.hud.gov/hudportal/HUD?src=/topics/limited denials of participation](http://portal.hud.gov/hudportal/HUD?src=/topics/limited%20denials%20of%20participation).

**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\_\_\_\_\_.



## 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)

Previous Participation Certification

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

US Department of Agriculture  
Farmers Home Administration

OMB Approval No. 2502-0118  
(Exp. 05/31/2019)

Part I to be completed by Principals of Multifamily Projects (See instructions)

For HUD HQ/FmHA use only

Reason for submission:

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)  
 Existing  Rehabilitation  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;
  - h. All the names of the principals who propose to participate in this project are listed above
3. All the names 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.
4. 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.
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(e). (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.

Previous Participation Certification

OMB Approval No. 2502-0118  
(Exp. 05/31/2019)

**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. Yes No. If yes, explain	6. Last MGR 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"/> B. Name match in system <input type="checkbox"/> C. Disclosure or Certification problem <input type="checkbox"/> D. Other (attach memorandum)
Staff	Processing and Control	Director of Housing/ Director, Multifamily Division Approved <input type="checkbox"/> Yes <input type="checkbox"/> No
Supervisor		Date (mm/dd/yyyy)

Previous editions are obsolete

ref Handbook 4065.1 Form HUD-2530 (2/2013)

**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, package, 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, Package, 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 (OI) with owners

Column 4, indicate the current status of the loan. Except for 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 loans under a workout arrangement are considered assigned. For all noncurrent loans, an explanation of the status is required.

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 have struck out on the certification item 2e relates to felony convictions within the past 10 years. If you are convicted of

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.

## Section 3 Resident Employment Plan

Section 3 of the Housing and Urban Development Act of 1968 (hereinafter "Section 3") requires SHA, to the greatest extent feasible, to provide employment opportunities to "Section 3 residents." Section 3 residents include residents of SHA communities and other low income residents of the metropolitan statistical area (hereinafter "MSA") covering King, Snohomish, and Pierce counties. SHA residents, preferably residents of the SHA community in which the work is to be done, are favored over other low-income residents of the MSA.

### For construction contracts only:

- Each bidder is required to submit with their bid package a plan which will result in the hiring of Section 3 residents to perform the work contemplated by the bid. SHA has established a goal that 100% of all new hires be Section 3 Residents to the greatest extent feasible.
- At a minimum, the Contractor and its subcontractors shall advertise new positions created in order to perform the work called for herein and will post notices to the Contractor's commitments under Section 3 in conspicuous places at the work site. In addition, the Contractor must notify each labor organization with whom it or its subcontractors have a collective bargaining agreement or other understanding of these Section 3 commitments.

In order to fulfill its Section 3 obligations, the Contractor may work with service providers on site at various SHA communities including, but not limited to, Neighborhood House and the Employment Opportunities Center. The plan should specify the number of positions the Contractor expects will be created and what minimum qualifications and skills will be required in order to perform the positions. The plan, if applicable, should also address the Contractor's strategy for recruiting SHA residents for the available positions, which should include consultation with SHA's Section 3 Coordinator.

1. How many new positions do you expect this contract will require you to create?

---

2. Describe each position and provide the name and provide the location of the person(s) taking applications for each such position.

---

---

---

3. What minimum skills will be required for each position?

---

---

---

4. Please describe any training opportunities which the contract may create and any agreements concerning training you have.

---

---

---

5. How will you advertise these positions to SHA residents?

---

---

---

If you have any questions about this form, please call Samuel Pierce, SHA's Section 3 Coordinator, at (206) 913-9227.



**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 \_\_\_\_\_%.



SEATTLE HOUSING AUTHORITY  
Exterior Window Cleaning, Contract #4912 & 4964  
(Federally- and Non-Federally Funded)

SECTION 00330  
COMMUNITY PARTICIPATION PLAN FORMS

- 3) Total dollar amount of bid expected to be performed by MWBE: \$ \_\_\_\_\_ Percentage of total bid amount \_\_\_\_\_
- 4) Total dollar amount of bid expected to be performed by WMBE businesses (Total of 1, 2, and 3): \$ \_\_\_\_\_  
Percentage of total bid amount: \_\_\_\_\_ %.

I hereby certify that the above information, to best of my knowledge, is true and accurate, and that the subcontractors are WBE or MBE as defined on the next page.

Contractor: \_\_\_\_\_

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

**See instructions to fill out this form on the back of this page.**

## INSTRUCTIONS FOR COMPLETING CONTRACTOR'S STATEMENT OF WMBE PARTICIPATION

**Trade/Specialty:** List the trade/specialty for which the subcontractor or supplier is bidding; i.e., plumbing, electrical, etc.

**Name of Firm:** List the full name of the firm.

**WBE:** A women-owned business enterprise (WBE) 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.

**MBE:** A minority-owned business enterprise (MBE) is defined as a business with 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. Minority group members include but not limited to African Americans, Hispanic Americans, Native Americans, Asian Americans, and Hasidic Jewish Americans.

**MWBE:** A minority-owned women business enterprise (MWBE) is defined as a business that is at least 51 percent owned or controlled by a woman who is also a minority group member.

**WMBE:** A general term used to refer to businesses that are women-owned, minority women owned, or minority-owned business enterprises (WMBE).

**Approximate Dollar Amount:** List the approximate dollar amount of the subcontractor's bid.

**Apparent Low Bid:** Check the "yes" column if the subcontractor's bid appears to be the low bid in that trade; if there are two or more subcontractors listed for a specific trade, check the "yes" column for **only one** subcontractor. All other subcontractors would be checked in the "no" column.

**Not Responsive:** Check the column only if the subcontractor's bid is non-responsive for reasons other than the amount of the bid; i.e., failure to complete all necessary information on which the bid is based, failure to respond, etc.

**Expect to Award Subcontract:** Put a check in this column beside the contractor who would be reasonably expected to be awarded the bid. Check **only one** subcontractor/supplier for a specific trade/specialty.