

## CONSULTANT REGISTRATION FORM

If you plan on submitting a Proposal for this project, please complete this registration form and e-mail it to Greg Antoine, Sr. Contracts Administrator at Gregory.Antoine@seattlehousing.org.

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### SEATTLE HOUSING AUTHORITY

RFP Solicitation No. 4973

**Housing Locator  
Creating Moves to Opportunity (CMTO)  
Seattle and King County**

Name of Firm: \_\_\_\_\_

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

\_\_\_\_\_

\_\_\_\_\_

Contact Information:

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

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

Telephone #: \_\_\_\_\_

Fax #: \_\_\_\_\_

e-mail: \_\_\_\_\_

Thank you.



# REQUEST FOR PROPOSALS

(SOLICITATION NO. 4973)

for

## Housing Locator Creating Moves to Opportunity (CMTO) Seattle and King County

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#### ATTACHMENTS:

- Attachment A: Budget Worksheets
- Attachment B: Creating Moves to Opportunity Flyer
- Vendor Fact Sheet
- Suspension and Debarment Compliance Certificate for Consultant
- Suspension and Debarment Compliance Certificate for Sub-Consultants
- Certifications and Representations of Offerors – Non-Construction Contract (form HUD-5369-C)

RFP Issued On:	Proposal Due:
Tuesday, May 30, 2017	4:00 PM PT Monday June 26, 2017

**Seattle Housing Authority  
Request for Proposals (Solicitation No. 4973)  
Housing Locator  
Creating Moves to Opportunity (CMTO)  
Seattle and King County**

**A. INTRODUCTION**

**1) General:**

The purpose of this Request for Proposals (RFP) is to identify a company who will partner in the Seattle-King County Creating Moves to Opportunity Pilot (CMTO) to work with landlords and families in facilitating housing access in identified opportunity areas of King County.

The Housing Locator Contract is an exciting opportunity for companies with:

- Excellent skills and capacity in sales, property management, real estate, and/or related areas;
- Expertise in private rental housing markets in Seattle and King County;
- Familiarity with the Housing Choice Voucher (Section 8) program and experience working with diverse populations; and/or
- An entrepreneurial and creative culture as well as a desire to partner with public and academic sectors in leading-edge social policy initiatives.

**2) Background:**

**Seattle and King County Housing Authorities**

Seattle Housing Authority (SHA) and King County Housing Authority (KCHA) are independent municipal corporations, created in 1939, under authority of state law, to provide affordable housing and improve the lives of low-income people. SHA is governed by a seven-member Board of Commissioners appointed by the Mayor of Seattle and confirmed by the Seattle City Council. KCHA is governed by a five-member Board of Commissioners appointed by the King County Executive and confirmed by the Metropolitan King County Council. More information about SHA and KCHA can be found on the agency websites at [www.seattlehousing.org](http://www.seattlehousing.org) and [www.kcha.org](http://www.kcha.org).

Both SHA and KCHA are national leaders in the provision of innovative and effective housing solutions. SHA's mission is to enhance the Seattle community by creating and sustaining decent, safe, affordable living environments that foster stability and increase self-sufficiency to people with low-incomes; KCHA's vision is that all residents of King County have quality affordable housing.

SHA and KCHA serve residents throughout King County, including the city of Seattle, 38 other cities and towns, and unincorporated areas of the County. Combined, SHA and KCHA serve over 30,000 households annually through federally-funded housing programs, including nearly 25,000 children. This assistance includes nearly 20,000 rental subsidies administered through the Housing Choice Voucher program through which the participant is free to choose any housing that meets the requirements of the program.

**Creating Moves to Opportunity Pilot (CMTO)**

Recent research has shown that where people live has substantive impacts on their economic and educational outcomes later in life – especially for young children. Children that grow up in higher opportunity areas are more likely to attend college and to have significantly higher earnings as adults. Despite this evidence, there have been few strategies proven to be

successful at supporting low-income families' access to neighborhood opportunity and geographic choice. Given that many low-income families with children still reside in high poverty areas, the national Creating Moves to Opportunity (CMTO) study aims to fill gaps in research and improve children's long-term outcomes by evaluating which strategies most effectively support opportunity moves by families with young children using a Housing Choice Voucher (HCV). Seattle and King County have been selected as the first CMTO pilot site. This effort will implement and evaluate locally-relevant strategies to increase families' housing access in high opportunity areas. This project is being conducted in collaboration with leading academics at Harvard, Stanford, Johns Hopkins, and other top universities, as well as with national research firms and philanthropic foundations. CMTO is designed to help voucher holders realize the promise of choice in the Housing *Choice* Voucher program. It will explore how families may use the voucher as a springboard for their children's future, by expanding geographic choice for low-income families with children, and thereby increase the proportion of low-income children living in high opportunity areas of Seattle and King County.

As part of this collaborative venture, SHA and KCHA are seeking a qualified and innovative company with expertise in local rental housing markets to develop and sustain relationships with property owners and landlords, work with families on housing search and marketability coaching and effectively connect these landlords and renters. This is a unique opportunity for companies involved and/or familiar with real estate markets, property management, and/or sales to become involved in leading-edge research and programming that will impact both housing service models and children's long-term educational and economic trajectories. The housing locator firm will counsel tenants about the costs and benefits of moving to different neighborhoods, identify available apartments in neighborhoods, connect landlords and tenants, and expedite their move into the unit.

The housing locator agency will work with both SHA and KCHA, however, the contract will be administered by SHA and all formal contracting elements will be run through SHA with involvement from KCHA.

More information about Creating Moves To Opportunity in Seattle and King County can be found in the **Attachment B**.

**3) Cooperative Purchasing:** RCW 39.34 allows cooperative purchasing between public agencies (political subdivisions) in the State of Washington. Public agencies that file an Interlocal Joint Purchasing Agreement with SHA may also wish to procure the services herein offered by the successful party. The successful party shall have the option of extending its offer to SHA to other agencies for the same cost, terms and conditions.

SHA does not accept any responsibility for agreements, contracts or purchase orders issued by other public agencies to the successful party. Each public agency accepts responsibility for compliance with any additional or varying laws and regulations governing purchase by or on behalf of the public agency. SHA accepts no responsibility for the performance of the successful party in providing services to other public agencies, nor any responsibility for the payment price to the successful party for other public-agency purchases.

**B. SUBMITTAL REQUIREMENTS**

**Schedule:**

<b>Activity</b>	<b>Location</b>	<b>Day</b>	<b>Date</b>	<b>Time</b>
Pre-Submittal Meeting	Seattle Housing Authority 190 Queen Anne Ave N Seattle WA 98109  Call-in Option: +1 (646) 749-3122 Access Code: 569-661-669 Contact Greg Antoine at the email address below if interested in this option.	Friday	June 9, 2017	11:00 AM to 1:00 PM PT
Deadline for Questions	By email	Monday	June 19, 2017	4:00 PM PT
<b>SUBMITTAL DEADLINE AND DELIVERY INFORMATION</b>				
<b><u>Mail To:</u></b> Seattle Housing Authority Attn: Greg Antoine P.O. Box 19028 Seattle, WA 98109-1028	<b><u>OR Hand Deliver To:</u></b> Seattle Housing Authority Attn: Greg Antoine 190 Queen Anne Avenue N. Seattle, WA 98109	Monday	June 26, 2017	4:00 PM PT

**Questions:** Questions must be in writing and sent prior to the Deadline for Questions date and time shown above. Submit your questions to Gregory Antoine at Gregory.Antoine@seattlehousing.org.

**Addenda:** In the event there are changes or clarifications to this RFP, SHA will issue an addendum. Addenda will be published on SHA's website at: <http://www.seattlehousing.org/business/consulting/requests/>. It is the responsibility of proposers to check this website before submitting and downloading any addenda issued. If you are unable to download the addenda, you may call the Sr. Contract Administrator, Greg Antoine at (206) 615-3394 to have a copy of the addenda mailed or e-mailed to you.

**Pre-Submittal Meeting:** Proposers are strongly encouraged to attend a Pre-Submittal Meeting at the date and time indicated above. The Pre-Submittal Meeting is an opportunity to learn more about SHA and KCHA and the CMTO pilot, and to ask questions about the role and responsibilities of the Housing Locator Services Agency and/or RFP submission process.

**Submittal:** The deadlines given above are firm as to place, date, and time. SHA will not consider any proposal received after the deadline and will return all such proposals unopened.

All proposals should be clearly marked when delivered or mailed to avoid any confusion about recording arrival dates and times. Proposers should take this practice into account and submit their materials early to avoid any risk of ineligibility caused by unanticipated delays or other delivery problems.

Upon receipt of each proposal, SHA's Purchasing Division will date-stamp it to show the exact time and date of receipt. Upon request, Purchasing will provide the proposer with an acknowledgment of receipt. All proposals received will become the property of the Seattle Housing Authority and will not be returned to the proposer.

**Proposals:** should be limited to a maximum of 10 pages single sided, or 5 pages double sided in no smaller than 10 point font on 8½” by 11” sheets. The following are NOT INCLUDED in the page limit mentioned above: your cover letter, resumes, Vendor Fact Sheet, Suspension and Debarment Certificate for Consultant and Sub-Consultants and Certifications and Representations of Offerors – Non-Construction Contract (form HUD-5369-C). Your **cover letter** should express your interest in performing the work. A principal or officer of the firm authorized to execute contracts or other similar documents on the firm’s behalf must sign the letter.

1) **Required number of copies:** Proposers responding to this RFP shall submit **one original and 4 copies of their proposal** to the address indicated above. **The following items/forms are to be submitted with the one original proposal only.** Do not include these items/forms with the proposal copies.

- Vendor Fact Sheet
- Suspension and Debarment Compliance Certificate for Consultant
- Suspension and Debarment Compliance Certificate for Sub-Consultants
- Certifications and Representations of Offerors (form HUD-5369-C)

2) **Proprietary Proposal Material:**

Any records or materials submitted to SHA in response to this RFP become public records under Washington State law (see RCW Chapter 42.56, the Public Disclosure Act, at <http://www1.leg.wa.gov/LawsAndAgencyRules>). Public records must be promptly disclosed upon request unless a statute exempts disclosure. Exemptions from disclosure include trade secrets and valuable formulas (see RCW 42.56 and RCW Ch. 19.108); however, public disclosure exemptions are narrow and specific. Proposers are expected to be familiar with any potentially-applicable exemptions, and the limits of those exemptions.

Proposers are obligated to separately bind and clearly mark as “proprietary” information any proposal records they believe are exempted from disclosure. The body of the proposal may refer to these separately-bound records. Proposers should mark as “proprietary” only that information they believe legitimately fits within a public-disclosure exemption. SHA may reject solicitation responses that are marked proprietary in their entirety.

If SHA receives a public disclosure request for records that a proposer has marked as “proprietary information,” SHA may notify the proposer of this request and postpone disclosure briefly to allow the proposer to file a lawsuit under RCW 42.17.330 to enjoin disclosure; however, this is a courtesy of SHA and not an obligation.

SHA has no obligation to assert an exemption from disclosure. If the proposer believes that its records are exempt from disclosure, the proposer is obligated to seek an injunction under RCW 42.56. By submitting a proposal, the proposer acknowledges this obligation; the proposer also acknowledges that SHA will have no obligation or liability to the proposer if the records are disclosed.

3) **Cost of Preparing Proposals:** SHA will not be liable for any costs incurred by the proposer in the preparation and presentation of proposals submitted in response to this RFP including, but not limited to, costs incurred in connection with the proposer’s participation in demonstrations and the pre-proposal conference.

- 4) **Rights Reserved by SHA:** SHA reserves the right to waive as an informality any irregularities in submittals and/or to reject any or all proposals. SHA requests that companies refrain from requesting public disclosure of selection information until a contract has been executed as a measure to best protect the solicitation process, particularly in the event of a cancellation or re-solicitation. With this preference stated, SHA shall continue to properly fulfill all public disclosure requests for such information as required by State Law.

### **C. SCOPE OF WORK**

Creating Moves to Opportunity (CMTO) is a grant-funded initiative administered through Seattle Housing Authority, in partnership with King County Housing Authority. The Housing Locator is a third-party firm who will lead implementation of leasing success strategies during the grant period (July 2017 – December 2019). The Housing Locator will participate in the planning and development of detailed interventions to increase families' access to opportunity areas of Seattle and King County. The housing service agency will lead services including:

- Cultivating relationships with property owners and landlords in designated opportunity areas in Seattle and King County.
- Providing families with Housing Choice Vouchers with information about opportunity neighborhoods and potential benefits of opportunity areas moves.
- Coaching families with vouchers on how to market themselves in tight rental markets.
- Connecting landlords and families as part of the housing search process and to create housing opportunities for families with Housing Choice Vouchers.

As part of the CMTO pilot, housing locator services may also include activities related to facilitating and expediting lease-up processes such as completing contract paperwork and/or conducting housing inspections in private market rental. The Housing Locator firm will also administer (grant funded) financial incentives to both families and property owners/landlords.

SHA will award a contract of up to \$1 million for housing locator services administration; provisions to be expended upon execution of contract and December 2019. An additional \$500,000 is available to be administered as financial incentives to families and landlords during this same period.

#### **Deliverables**

CMTO is designed to increase the access that families with Housing Choice Vouchers have to designated opportunity areas, and to understand which evidence-based strategies are most impactful and efficient in achieving this goal. Toward this end, the Housing Locator will be directly responsible for the implementation of these strategies and for communicating with the broader CMTO team prior to and throughout the implementation of these services. Specific deliverables for the Housing Locator include:

1. Participate in planning and intervention development meetings with SHA, KCHA, and other CMTO collaborators from the academic and implementation research teams in order for pilot implementation to begin in.
2. Provide housing locator services involving families and landlords in the key intervention areas – housing search, landlord outreach, opportunity-area education and administration of financial assistance – delineated in the *Key Service Areas* section below. Housing Locator services will be provided (albeit with varying levels of intensity) to approximately 350 families and 50 landlords annually in 2018 and 2019.
3. Participate in regular program coordination meetings with staff from SHA and KCHA, and provide monthly updates regarding progress toward deliverables which may include

project milestones, reports on service utilization, staffing updates, and/or other areas. Additionally, work with the research staff to ensure service delivery experiences effectively inform iterative program design and evaluation.

### **Key Service Areas**

The Housing Locator will be responsible for providing services in the following areas. Respondents are encouraged to address their experience in, perspective, and project plans pertaining to the key areas delineated below, and simultaneously, to add additional or modified components within these service domains as deemed necessary/effective.

Housing Locator services are slated to begin on a pilot basis on September 1, 2017, and must be ready for full-scale implementation no later than December 31, 2017. As such, proposals should demonstrate the respondent's readiness to participate in collaborative planning activities through 2017, and to demonstrate their agency's readiness to begin providing full-range of housing locator services by the end of 2017. (See Criterion 2 below)

1. **Landlord Outreach** Establish a network of landlords and property owners in designated opportunity areas of Seattle and King County that are currently working with, or willing to work with, the Housing Choice Voucher program. This network will ideally include a broad portfolio of landlord and property types so as to accommodate varied needs and preferences among the HCV families, including: geography, housing stock, unit size, unit and building amenities, owner eligibility criteria, and other parameters. Securing new landlords will involve identification of new landlords and units, marketing and outreach to landlords/owners to explain CMTO and benefits of landlord participation, and possible coordination with landlord liaison positions at SHA and KCHA. Maintaining relationships with landlords may include outreach to existing participant landlords to gauge satisfaction, troubleshoot concerns, and find out when new units may be coming online.
2. **Housing Search and Leasing Assistance** Work with incoming Housing Choice Voucher (HCV) renters on housing search plans, including work to understand families' neighborhood and unit preferences, as well as to understand any barriers families may experience in leasing-up in the private rental market. Services should include corresponding planning and activities to increase families housing search activities and skills as well as to increase their marketability and to maximize the competitiveness of their application. Leasing assistance may include the completion/facilitation of contract paperwork and/or inspections in accordance with Housing Choice Voucher program regulations in order to expedite the lease-up process. Housing search and leasing assistance will likely be conducted in both office and community settings as agency staff accompany families to landlord meetings, unit inspections, etc.
3. **Opportunity-area Education** Provide incoming HCV families with educational information in-person, through written materials, and other communication modes – on opportunity areas in the region and the potential benefits for families and children in moving to opportunity areas. Opportunity area education may be provided to families in conjunction with as well as separately from Housing Search services.
4. **Administration of Financial Assistance** Administer (grant-funded) financial assistance to HCV families to cover move-in expenses incurred by leasing-up in opportunity areas. Such financial assistance may cover such expenses as application fees, mover costs, and/or security deposits. The Housing Locator will monitor families' eligibility for these funds and track fund allocations in accordance with the CMTO intervention plans. Additionally, the Housing Locator will administer financial incentives and possible assurances to landlords and property owners as part of landlord outreach activities.

These services will only be available in designated opportunity areas of Seattle and King County. Identification of these opportunity areas is still underway and in collaboration with the

broader CMTO academic team, and will be finalized later in 2017 after the selection of a Housing Locator firm.

## **Objectives**

CMTO has identified the following broad objectives for the Housing Locator. Respondents should address how they anticipate addressing each objective during the grant period and in accordance with the Key Service area. (See Criterion 2 below)

**Objective 1. Increase the number of landlords/owners (and corresponding rental units) located in opportunity areas that are willing to participate in the HCV program.** The Housing Locator will develop relationships with property owners and landlords in designated opportunity areas in Seattle and King County in order to create housing opportunities for families with Housing Choice Vouchers.

**Objective 2. Increase families' familiarity with, access to, and utilization of housing options in high opportunity markets.** Participants in the CMTO pilot will include low-income families with young children. These families may have significant barriers to accessing private market housing (e.g., limited or poor credit, negative criminal histories, adverse or lack of rental history, etc.) and may be reluctant about or unfamiliar with designated opportunity areas. Respondents should address how they would address these and other challenges in order to achieve Objective 2.

**Objective 3. Ensure the provision of locally-relevant, culturally-sensitive services for families with children who are new to the Housing Choice Voucher program.** The Housing Locator will work with diverse families, and must be able to demonstrate an ability to provide culturally-sensitive services that are in accordance with both family and market-driven needs.

**Objective 4. Ensure that program and participant process and outcome metrics are recorded in accordance with the research and evaluation plans for the project.** As part of a research collaborative, the Housing Locator will play a key role in documenting the services delivered and outcomes achieved through individual and summary level reporting.

## **Period of Performance**

The period of performance of any contract resulting from this RFP is upon execution of contract to December 31, 2019. Amendments extending the period of performance, if any, shall be at the discretion of SHA and may be extended for a total of three (3) one (1) year terms based on program performance and availability of funding. Respondents should demonstrate their ability to begin participating in planning and development activities within 30 days of the award and to begin providing services at scale by the end of 2017.

## **D. INFORMATION TO BE PROVIDED IN YOUR PROPOSAL**

**Response / Proposal Content:** To facilitate evaluation, proposals should address and be organized in the order of the outline given below and include the following information:

- Cover Letter
- Address each of the five evaluation criteria below in the ten (10) page narrative of your proposal:

- **Relating to Criterion 1: Qualifications and Experience**

The proposer should demonstrate knowledge and ability to meet the various elements described under Funding Opportunity/Scope of Work. Proposers should demonstrate and describe:

- An understanding of the Seattle and King County rental markets.
- Awareness of and/or prior experiences with landlords, property owners, real estate firms, and other stakeholders involved in the local housing markets.
- Qualifications and/or experience in working with diverse populations, including but not limited to persons with Housing Choice Vouchers.
- An ability to provide appropriate, culturally-sensitive services to families with a variety of needs including barriers to accessing private market housing.

In addition to the addressing the elements noted above, the Qualifications and Experience Section should include the following:

- A statement of qualifications for your company, including an organization chart, a statement of the size of the firm, a description of services provided by your organization, and a statement of the extent of experience/history providing the services requested by this RFP.
- If proposing a collaboration between firms, describe what processes are/will be used to build and maintain those relationships, and how power, decision making, and resources are shared among partners. As SHA will only contract with one firm, this section must demonstrate that there are procedures in place to properly monitor and support sub-grantees.
- Evidence of your organization's ability to perform the work outlined in this RFP. Describe your company's familiarity with the unique housing challenges faced by low-income families, including families with Housing Choice Vouchers.
- Describe your company's capacity and experience in tracking outputs and outcomes on an individual and summary level. Include your experience maintaining databases or other software for managing partnerships, screening criteria, contacts, services, etc.

**Relating to Criterion 2: Proposed Approach**

The proposer should describe their proposed approach for meeting the services listed in Section C, Scope of Work. Keep these considerations in mind as you respond to the following:

- a. A description of how you will fulfill the service areas identified in this RFP. Specifically:
  - Cultivating relationships with landlords and securing appropriate units;
  - Preparing families for success in the housing search and leasing process;
  - Assisting families in developing an understanding of, and interest, in targeted opportunity neighborhoods; and
  - Collaborating on the overall project with SHA, KCHA and academic partners.
- b. A proposed project plan that clearly describes your firm's approach for meeting the objectives and producing the deliverables identified above. Some particular elements to consider include:
  - Your marketing plan for recruiting landlords and for engaging families, and how market research informs this plan.
  - Anticipated collaborations or subcontracts you will bring in order to fulfill the scope requirements.
  - Your firm's understanding of motivations and challenges of: 1) area landlords and 2) families with Housing Choice Vouchers, that may contribute to families not accessing housing in opportunity areas. The project plan should address how you would approach these motivations and challenges.
- c. Describe your service delivery model and staffing structure for this project and how work will be divided or shared across staff. Staffing level should be sufficient to cover vacations and unanticipated coverage such as staff illness

or turnover to ensure continuous availability of services. Indicate the professional qualifications for each individual that would be assigned to provide services requested by this RFP, including experience, applicable degrees, training and/or professional certifications/licensing. In lieu of listing this information, you may submit a resume for each such individual if the resume includes all of the requested information

- d. List your needs for physical space and/or equipment at the Housing Authorities during the contract period, if any. (For example, space to meet clients, temporary desk space for contractor staff, etc.)
- e. Address your company's policy on assignment of staff vehicles; the geographic area covered by the Housing Locator is large and field work is essential.

- **Relating to Criterion 3: Customer Service Engagement**

Describe how your services will meet the unique needs of the CMTO constituents including: landlords and property managers, families with Housing Choice Vouchers. Indicate how you would address the needs of families with high rental barriers, limited English proficiency, or disabilities. Additionally, address the following:

- a. In the event of a routine problem, such as not being able to reach a staff person or customer complaint, explain the protocol for communicating with staff from your firm.
- b. In the event of the identification of a problem by the Housing Authorities, its clients and/or other applicable constituents, describe how you would address such problems and the timeframe for addressing them.

- **Relating to Criterion 4: Limitations**

Describe any potential challenges or limitations that may be anticipated with the implementation of this proposal, including how these challenges or limitations will be addressed. Also list any service elements, objectives, or deliverables (as outlined in the Scope of Work) that your firm would not be able to provide, and your approach for overcoming these constraints.

- **Relating to Criterion 5: Budget Worksheets**

Provide a detailed narrative explanation for all costs associated with providing the requested services as described in Criterion 2. Complete the Budget Worksheets (Excel templates) found in Attachment A which includes 3 tabs:

- 1. Budget Summary
- 2. Personnel
- 3. Non-Personnel

- Provide resumes for the key personnel named in your response.
- Include a list of at least three references for whom the firm or team members have performed similar work in the last five years (including agency or business name of client, contact person, address, telephone number and e-mail address if available.)

## **E. CONSULTANT EVALUATION CRITERIA**

Consultants' submittals will be evaluated based on the criteria listed in this section and further described in Section D above. In preparing the submittal to SHA, it is important for proposers to clearly demonstrate their expertise in the areas described in this document. Because multiple areas of expertise are required for successfully performing this project, the Consultant, either through in-house staff or sub-consultants, must demonstrate expertise and have available adequate numbers of experienced personnel in all of the areas described.

Consultants are encouraged to identify and clearly label in their submittal how each criterion is being fully addressed. Evaluation of responses to this RFP will be based only on the information provided in the submittal package, and if applicable, interviews, and reference responses. SHA reserves the right to request additional information or documentation from the firm regarding its

submittal documents, personnel, financial viability, or other items in order to complete the selection process. In submitting a proposal, the Consultant and any sub-consultants agree that any costs, prices, hourly rates proposed shall be valid for a minimum of 90 days from the proposal due date.

The following criteria with a point system of relative importance with an aggregate total of one hundred (*must match the Total Maximum Points for Qualifications in table below*) points will be utilized to evaluate the qualifications of each proposer:

<b>Evaluation Criteria - Qualifications</b>		<b>Weighting (Max. Points)</b>
1	<b>Qualifications and Experience</b> (See Section D above for a complete description of this Criterion.)	25
2	<b>Proposed Approach</b> (See Section D above for a complete description of this Criterion.)	35
3	<b>Customer Service Engagement</b> (See Section D above for a complete description of this Criterion.)	20
4	<b>Limitations</b> (See Section D above for a complete description of this Criterion.)	5
5	<b>Budget Worksheets</b> (See Section D above for a complete description of this Criterion.)	15
<b>MAXIMUM TOTAL POINTS FOR QUALIFICATIONS</b>		100

#### **F. SELECTION PROCESS**

An evaluation panel will rate all responses to this RFP that are received on or before the stated deadline, according to the criteria listed above. Based on its initial evaluation, the panel may:

1. Make a recommendation to SHA's Executive Director and request authority to negotiate a Contract with one or more proposers; or
2. Request additional information from the proposer or proposers whose responses appear to have the greatest likelihood of success; and/or
3. Invite one or more proposer whose responses appear to have the greatest likelihood of success to attend an interview/presentation to discuss their proposal; and then make a recommendation to SHA's Executive Director and request authority to negotiate a contract with one or more proposers.

SHA reserves the right to conduct reference checks, at either or at both of the following two points of the evaluation process:

1. After proposals are evaluated, for the proposer or proposers with the highest-scoring proposal(s);
2. In the event that interviews are held, for the proposer or proposers with the highest-scoring proposal(s) and interview(s).

In the event that information obtained from the reference checks reveals concerns about any proposer's past performance and their ability to successfully perform the contract to be executed based on this RFP, SHA may, at its sole discretion, determine that the proposer is not a responsible proposer and may select the next highest-ranked proposer whose reference

checks validate the ability of the proposer to successfully perform the contract to be executed based on this RFP. In conducting reference checks, SHA may include itself as a reference if the proposer has performed work for SHA, even if the proposer did not identify SHA as a reference.

By submitting its proposal in response to this RFP, the consultant accepts the procurement method used and acknowledges and accepts that the evaluation process will require subjective judgments by SHA and the evaluation panel.

Any protest of the selection process shall be resolved in accordance with SHA's Procurement Policies, which may be reviewed at the following web site address:

[http://seattlehousing.org/business/guidelines/pdf/Procurement\\_Policies.pdf](http://seattlehousing.org/business/guidelines/pdf/Procurement_Policies.pdf)

## **G. CONTRACT NEGOTIATIONS**

SHA shall negotiate with the most qualified proposer or proposers, as determined by evaluation of the responses and, if applicable, interviews. If SHA is unable to reach agreement with any of the highest ranked firms, it may negotiate with the next highest ranked firm or firms, proceeding in turn to each firm that SHA has determined to be qualified, in order of rank. If agreement cannot be reached with any qualified firm, SHA reserves the right to cancel the solicitation.

## **H. ADMINISTRATIVE INFORMATION**

### **1) Basic Eligibility:** By submitting for this Solicitation:

- A. Proposer represents that it is licensed to do business in the State of Washington and it has a state Unified Business Identifier (UBI) number.
- B. Proposer represents by its submission of the SUSPENSION AND DEBARMENT COMPLIANCE CERTIFICATE FOR CONSULTANT form, attached hereto, that neither it nor its principals/officers are presently debarred, suspended, proposed for debarment, or declared ineligible or voluntarily excluded from participation in this transaction by any federal department or agency. Proposer further represents that by submitting a Proposal and being selected for this work, that it will comply with the requirements regarding sub-contracting and the purchase of supplies or materials for this work and the sub-contractors and/or firms, and their principals/officers are not debarred or otherwise disqualified from doing business with SHA. The proposer understands that if selected, it shall provide evidence with the SUSPENSION AND DEBARMENT COMPLIANCE CERTIFICATE FOR SUB-CONSULTANTS form attached to this RFP of proposer's sub-contractors' (if applicable) eligibility.
- C. Certification and Representations of Offerors Form: The Consultant shall submit to SHA a completed and signed Certifications and Representations of Offerors form (HUD-5369-C) (attached hereto) for itself.

### **2) Payment Requirements:** SHA will pay the total grant amount specified in the Contract in bi-annual sums, with the first distribution to be made within 30 days of a fully executed contract. Funds are subject to compliance with Contract and required reports. SHA may, in its reasonable discretion, modify payment dates or amounts and will notify the Agency of any such changes in writing. Grant amounts not used will be subject to redistribution.

### **3) Approval of Sub-Consultants:** SHA retains the right of final approval of any sub-consultant of the selected proposer who must inform all sub-consultants of this provision.

### **4) Documents Produced:** All construction drawings, reports, specifications, and other documents produced under contract to SHA must be submitted to SHA in both hard copy and a digital format that meets SHA's requirements, using Microsoft Office or AutoCad

products in an IBM-compatible format. All documents and products created by the Consultant and their sub-consultants shall become the exclusive property of SHA.

- 5) **Other Contracts:** During the original term and all subsequent renewal terms of the contract resulting from this RFP, SHA expressly reserves the right, through any other sources available, to pursue and implement alternative means of soliciting and awarding similar or related services as described in this RFP.
- 6) **Funding Availability:** By responding to this RFP, the proposer acknowledges that for any contract signed as a result of this RFP, the authority to proceed with the work is contingent upon the availability of funding.
- 7) **Contract Requirements:** Proposers may review a sample of SHA's standard contract language that will form the basis for any contract executed based on this solicitation by visiting the following web site:

[http://www.seattlehousing.org/business/guidelines/pdf/Consultant Professional Services Contract.pdf](http://www.seattlehousing.org/business/guidelines/pdf/Consultant_Professional_Services_Contract.pdf)

SHA's standard contract document is intended to guide you in developing your proposal. The actual contract that the successful proposer and SHA will sign will be based on this sample contract. Please be advised that SHA will only negotiate some aspects of the contract. Much of the contents of the sample contract are based on non-flexible requirements and cannot be modified in any form.

- 8) **Insurance:** The following are the insurance requirements that will be included in the contract executed based on this RFP:

Within seven (7) days from the date of the Notice of Award, and prior to commencement of the Work, Consultant shall obtain all the insurance required by the Contract Documents and provide evidence satisfactory to Owner that such insurance has been procured. Review of the Consultant's insurance by Owner shall not relieve or decrease the liability of Consultant.

Failure of the Consultant to fully comply with the insurance requirements of this Contract will be considered a material breach of contract and, at the option of Owner, will be cause for such action as may be available to Owner under other provisions of this Contract or otherwise in law, including immediate termination of the Contract.

A. **General Insurance Requirements:**

1. Prior to undertaking any work under this Contract, the Consultant shall procure and maintain continuously for the duration of this Contract, at no expense to Owner, insurance coverage as specified below, in connection with the performance of the work of this Contract by the Consultant, its agents, representatives, employees and/or subcontractors (the term subcontractors as used in this Contract shall include sub-consultants). Review of the Consultant's insurance by Owner shall not relieve or decrease the liability of Consultant.
2. The Consultant's insurance shall be primary as respects Owner, and any other insurance maintained by Owner shall be excess and not contributing insurance with the Consultant's insurance.
3. Except with respect to the limits of insurance, and any rights or duties specifically assigned to the first named insured, the Consultant's Commercial General Liability

and Commercial Automobile Liability insurance coverage shall apply as if each named insured were the only named insured, and separately to each insured against whom claim is made or suit is brought.

4. Insurance policies, deductibles, self-insured retentions, and insurance carriers will be subject to review and approval by Owner. Except for Professional Liability Insurance coverage, if applicable, each insurer must either be 1) authorized to do business in the State of Washington and maintain A.M. Best's ratings of "A VII" or higher, or 2) procured as surplus lines under the provisions of RCW Chapter 48.15 ("Unauthorized Insurers"), except as may be otherwise approved by the Owner. Insurers or reinsurers of Professional Liability (Errors and Omissions) Insurance must have a rating of "B+VII or higher.

B. Insurance Coverage and Terms: The following are the types and amounts of insurance coverage that must be maintained by the Consultant during the term of this Contract. The Consultant must provide acceptable evidence of such coverage prior to beginning work under this Contract. Consultant shall maintain the following insurance coverage for the duration of the contract and for one (1) year after final completion.

1. Commercial General Liability Insurance. Commercial General Liability (CGL) insurance including bodily injury, property damage, and products/completed operations, written on an occurrence form, with the following minimum coverage:

\$1,000,000 each occurrence, and  
\$2,000,000 aggregate

Coverage shall extend to cover the use of all equipment on the site or sites of the work of this Contract. In the event that the services to be provided under this Contract involve the Consultant's contact with minor children, and/or elderly, disabled or vulnerable adults as defined in RCW 74.34.020, the Consultant shall provide evidence that sexual misconduct coverage has not been excluded from the policy and is covered under the policy. Acceptable evidence of sexual misconduct coverage must include an endorsement and policy excerpt(s) and is subject to approval by Owner's Risk Manager.

2. Employers Liability or Washington Stop Gap Liability. A policy of Employers Liability or a Washington Stop Gap Liability insurance endorsement with the following minimum coverage:

\$1,000,000 each accident/disease

3. Commercial Automobile Liability Insurance. A policy of Commercial Automobile Liability Insurance, including coverage for owned, non-owned, leased or hired vehicles written on an insurance industry standard form (CA 00 01) or equivalent, with the following minimum coverage:

\$1,000,000 combined single limit (CSL) coverage

4. Workers Compensation. A policy of Workers Compensation. As respects Workers Compensation insurance in the State of Washington, the Consultant shall secure its liability for industrial injury to its employees in accordance with the provisions of Title 51 of the Revised Code of Washington (RCW). If the Consultant is qualified as a self-insurer in accordance with Chapter 51.14 RCW, the Consultant shall so certify

by a letter signed by a corporate officer, indicating that it is a qualified self-insured, and setting forth the limits of any policy of excess insurance covering its employees, or any similar coverage required.

5. Professional Liability Insurance: A policy of Errors and Omissions Liability Insurance appropriate to the Consultant's profession. Coverage should be for a professional error, act, or omission arising out of the scope of work shown in the Contract, with the following minimum coverage:

\$1,000,000 each Claim

If the Professional Liability Insurance policy is written on a claims-made form, the Consultant warrants continuation of coverage, either through policy renewals or the purchase of an extended reporting period ("tail") for a minimum of three (3) years from the date of completion of the work authorized by the Contract. In the event that the Consultant is authorized to engage subconsultants, each subconsultant shall provide evidence of separate professional liability coverage equal to the levels specified above, unless such requirement is waived in writing by Owner.

6. Cyber Liability: When applicable, the Consultant shall provide Cyber Liability coverage including both first and third party coverage, covering claims involving privacy violations, information theft, damage to or destruction of electronic information, intentional and/or unintentional release of private information, alteration of electronic information, extortion and network security.

\$1,000,000 each Occurrence

Cyber liability coverage can be either stand alone or included within the Professional liability policy

7. Commercial Crime Insurance/Employee Theft Insurance. When applicable, a policy of Commercial Crime Insurance/Employee Theft Insurance including third party coverage in favor of OWNER with the following minimum coverage:

\$1,000,000 per claim / aggregate

- C. Owner As Additional Insured: All liability policies except Professional Liability and Workers Compensation shall be endorsed to include Owner as additional insured on a primary and non contributory basis for Work performed in accordance with the Contract documents, and all insurance certificates shall evidence the Owner as additional insured.
- D. Waiver of Subrogation: Consultant's policy shall provide waiver of subrogation by endorsement or otherwise.
- E. Deductibles or Self-Insured Retention: Any deductibles or self-insured retentions \$25,000 or higher must be declared to, and approved by the Owner. The deductible and/or self-insured retention of the policies shall not limit or apply to the Consultant's liability to the Owner. Payment of deductibles shall be the responsibility of the Consultant.
- F. No Limitation of Liability - The limits of liability specified herein are minimum limits only. Such minimum limits of liability requirements shall not be construed to limit the

liability of the Consultant or of any of their respective insurers. The Consultant shall include the Owner as an additional insured for primary and non-contributory limits of liability for the full valid and collectible limits of liability maintained by the Consultant whether such limits are primary, excess, contingent or otherwise. This provision shall apply regardless of whether limits maintained by the Consultant are greater than the minimum limits required by this Contract, and regardless of whether the certification of insurance by the Consultant specifies lower minimum limits than those specified for or maintained by the Consultant.

G. Proof of Insurance and Insurance Expiration:

1. The Consultant shall furnish certificates of insurance and policy endorsements as evidence of compliance with the insurance requirements of the Contract. Such certificates and endorsements must be signed by a person authorized by that insurance company to bind coverage on its behalf.
2. The Owner must be included as an Additional Insured on a primary and non-contributory basis on all Commercial General Liability and Automobile Liability policies of the Consultant. As respects the CGL insurance such additional insured status shall be evidenced by an ISO endorsement form CG2010 or equivalent.
3. As respects CGL insurance such Additional Insured status shall contain a "separation of insureds" provision.
4. The Consultant shall include all subconsultants at any tier as insureds under its policies (except for Professional Liability insurance) and ensure that the Consultant's coverage of subconsultants under the Consultant's policies is not excluded by any policy provision or endorsement. Alternatively, the Consultant shall:
  - a.) Obtain from each subconsultant not insured under the Consultant's policy or policies of insurance, evidence of insurance meeting all the requirements of this Contract, and
  - b.) Maintain such evidence on file for a period of one (1) year after the completion of this Contract and, upon request, submit such evidence to SHA for examination.
5. The Consultant's insurance shall not be reduced or canceled without forty-five (45) days prior written notice to Owner, except for cancellation for nonpayment of premium, which notice shall not be less than ten (10) days prior to such date, unless a longer period of written notice is required under the provisions of Revised Code of Washington (RCW 48.18.290). The Consultant shall not permit any required insurance coverage to expire during the term of this Contract.
6. Owner reserves the right to require complete, certified copies of all required insurance policies at any time during the term of this Contract, or to waive any of the insurance requirements of this Contract at its sole discretion.

H. Criminal Background Investigation: The Consultant shall conduct a criminal background investigation of all employees, volunteers, subcontractors and sub-consultants performing any work who may reasonably be expected to have direct or incidental contact with SHA residents, SHA staff members, or vulnerable population. In addition, a criminal background investigation shall be performed for any person performing work under this Contract who is given use of an SHA building-access card or who collects payments of any kind. The criminal background investigation shall include, but not

necessarily be limited to, a Washington State Patrol background report or if the employee, volunteer, subcontractor or subconsultant resides in a state other than Washington, the background report should be obtained from the state patrol office where the employee, subcontractor or subconsultant has resided for the last 3 years. In the event a background check provides evidence of a felony conviction that information shall be provided to the SHA Project Manager. If any person performing work under this Contract is charged with a felony, the Consultant agrees to remove that person from performing any further work on the project unless and until SHA agrees in writing to allow the person to continue.

**ATTACHMENT A**  
**Request for Proposal (Solicitation No. 4973)**  
**Budget Worksheets**  
**(Copies of Budget Worksheets for RFP Purposes)**

**See SHA Website for Link to Actual Excel Templates**

**Budget Summary Tab**

**REQUEST FOR PROPOSAL NO. 4973**  
**HOUSING LOCATOR SERVICES**  
**BUDGET SUMMARY**

Instructions: Complete Personnel and Non Personnel tabs which will auto fill the Operating Budget below  
Enter Overhead costs directly into the table below

<b>Operating Budget</b>	Year 1 - 2017	Year 2 - 2018	Year 3 - 2019	2.5 Year Total
Salary Costs	0	0	0	0
Operating Expenses	0	0	0	0
Materials & Supplies	0	0	0	0
Professional/Technical	0	0	0	0
Subtotal - Operating Budget	0	0	0	0
Overhead Costs (Indirect Costs) <i>(may not exceed 10%)</i>				
Total Operating Budget	0	0	0	0

**Personnel Tab**

**REQUEST FOR PROPOSAL NO. 4973**  
**HOUSING LOCATOR SERVICES**  
**PERSONNEL COSTS**

**PERSONNEL COSTS**

Provide the number of employees (FTEs) you are proposing for each position under this contract

Salaries: Detailed Line Item Justification

Staff Name	Job Title	Annual Salary per FTE	2017 FTE Allocation	2018 FTE Allocation	2019 FTE Allocation	% Inflation (Annualized)	% Benefits	Year 1 - 2017	Year 2 - 2018	Year 3 - 2019	2.5 year total
											\$0
											\$0
											\$0
											\$0
											\$0
											\$0
											\$0
											\$0
											\$0
											\$0
<b>Subtotals</b>								\$0	\$0	\$0	\$0

**Non-Personnel Tab**

**OPERATING COSTS**

Provide the Operating Costs you are proposing under this contract and the value for each contract year.

Proposed Operating Costs:	Year 1 - 2017	Year 2 - 2018	Year 3 - 2019	2.5 year total
Expense A				\$0
				\$0
				\$0
				\$0
				\$0
				\$0
				\$0
				\$0
<b>Subtotal Operating Costs</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

**MATERIALS & SUPPLIES**

Provide the Materials & Supplies you are proposing under this contract and the value for each contract year.

Proposed Materials & Supplies:	Year 1 - 2017	Year 2 - 2018	Year 3 - 2019	2.5 year total
Expense A				\$0
				\$0
				\$0
				\$0
				\$0
				\$0
				\$0
				\$0
<b>Subtotal Materials &amp; Supplies</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

**PROFESSIONAL/TECHNICAL**

Provide the Professional/Technical fees (including sub-contractors) you are proposing under this contract and the value for each contract year.

Proposed Client Support:	Year 1 - 2017	Year 2 - 2018	Year 3 - 2019	2.5 year total
Expense A				\$0
				\$0
				\$0
				\$0
				\$0
				\$0
				\$0
				\$0
<b>Subtotal Professional/Technical</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

# Creating Moves to Opportunity: Seattle & King County

Pilot  
Project

## Understanding Strategies to Support Children's Access to Opportunity Neighborhoods

Creating Moves to Opportunity (CMTO) aims to improve long-term outcomes of children by evaluating strategies that support Housing Choice Voucher (HCV) families' move to high opportunity neighborhoods. Given that many low-income families with children still reside in low opportunity areas in the Seattle-King County area, Seattle Housing Authority (SHA) and King County Housing Authority (KCHA) are taking part in reducing rental barriers and increasing neighborhood choice through the Seattle-King County CMTO pilot project.

CMTO will provide and evaluate strategies that reduce barriers and level the playing field for families with children trying to access high opportunity areas. This pilot will provide practice-relevant evidence that informs:

- Local best practices to facilitate higher rates of lease-up among voucher holders in opportunity areas, especially in tight rental markets.
- The design and policies of other public housing authorities' mobility initiatives.

Which strategies most effectively support families with children to move to opportunity areas?

### Neighborhood quality matters

A recent study<sup>1</sup> provides compelling evidence that children who moved to higher opportunity areas had significantly better outcomes than their counterparts:



32% more likely to attend college



\$302,000 increase in total lifetime earnings



26% less likely to become single parents

## Project Framework

To ensure the mobility strategies address rental barriers appropriately, CMTO involves frontline staff, families, external researchers and other stakeholders in a 2.5 year process to refine strategies.

CMTO will use a randomized study design with a pilot group that receives the CMTO services and a standard group that receives usual HCV services to evaluate the effectiveness of the strategies. Enrollment will begin in late 2017 with initial strategies implemented in 2018. After the incorporation of feedback and lessons learned, individual strategies will be further assessed in 2019.

## CMTO Strategies

### Rental Success Counseling

- Rental success coaching
- Education about local schools, amenities and mobility neighborhoods

### Housing Locator Services

- Facilitate housing search
- Connections to units and landlords

### Flexible Financial Assistance

- Assistance with security deposit, application fee and moving costs

### Fast Track Lease-Up

- Expedite request for tenancy paperwork and inspection process



<sup>1</sup>Chetty, Raj, Nathaniel Hendren, and Lawrence Katz. 2016. "The Effects of Exposure to Better Neighborhoods on Children: New Evidence from the Moving to Opportunity Project." *American Economic Review* 106 (4).

## **Forms to be Completed and Returned with your Proposal**

- ***Vendor Fact Sheet***
- ***Suspension and Debarment Compliance Certificate for Consultant***
- ***Suspension and Debarment Compliance Certificate for Sub-Consultants***
- ***Certifications and Representations of Offerors – Non Construction Contract (form HUD 5369-C)***

**Forms to be Completed and Returned with Submitted Original Proposal**



**VENDOR FACT SHEET**

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

<b>General Business Information:</b>				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:			
<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"/>
Employee Tax ID No. (TIN) or Social Security No. (if Individual):					

<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). <i>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.</i>		
<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"/> MBE (Minority-Owned Business Enterprise)	<input type="checkbox"/> HUD Section 3 Business	<input type="checkbox"/> Caucasian (1)	
<input type="checkbox"/> WBE (Women-Owned Business Enterprise)		<input type="checkbox"/> African American (2)	
<input type="checkbox"/> MWBE (Minority / Women-Owned Business Enterprise)		<input type="checkbox"/> Native American (3)	
<input type="checkbox"/> CBE (Combination Business Enterprise)		<input type="checkbox"/> Hispanic American (4)	
<input type="checkbox"/> Small Business		<input type="checkbox"/> Asian/Pacific American (5)	
<input type="checkbox"/> Certified by OMWBE (Washington State Office of Minority and Women's Business Enterprises)		<input type="checkbox"/> Hasidic Jews (6)	
<input type="checkbox"/> Self-Identified (SHA may request a signed statement re: self-certification)			

**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.

<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, 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 <a href="http://seattlehousing.org/business/guidelines/pdf/Purchase_Order_Terms_Conditions.pdf">http://seattlehousing.org/business/guidelines/pdf/Purchase_Order_Terms_Conditions.pdf</a> .	

## 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**

**SUSPENSION AND DEBARMENT COMPLIANCE CERTIFICATE FOR CONSULTANT**

By signing below, the Consultant 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.

**Consultant's Firm Name:** \_\_\_\_\_

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

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

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

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

**NOTE:** This requirement applies to the Consultant'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 consultant 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_denials_of_participation).

**SEATTLE HOUSING AUTHORITY**

**SUSPENSION AND DEBARMENT COMPLIANCE CERTIFICATE FOR SUB-CONSULTANTS**

*The Prime Consultant may use this form if the Prime can verify that their Sub-Consultants 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 CONSULTANT form to each sub- consultant to be completed and returned.*

**Prime Consultant's Name:** \_\_\_\_\_ certifies that neither any of the sub- consulting 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- consultant hired after submission of this certification.
- A renewal certification for every sub- consultant on the anniversary of the Contract execution date if the Contract Time extends beyond one year.

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

<b>Prime Consultant's Signature</b>	<b>Printed Name</b>	<b>Title</b>	<b>Date</b>

**Sub- Consultant Firm Listing:** (If sub- consultants 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-consultants. Please contact Greg Antoine at 206-615-3394 or by e-mail at [Gregory.Antoine@seattlehousing.org](mailto:Gregory.Antoine@seattlehousing.org) if you have any questions regarding compliance with this requirement.

# 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 Has 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. 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.

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**Signature & Date:**

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**Typed or Printed Name:**

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**Title:**

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