



**FORT WORTH HOUSING SOLUTIONS**

**RFP NO. 2018-100**

**Electronic Document Management/Workflow Software**

**Release Date: October 9, 2018**

**RFP Due Date: November 1, 2018**



## **REQUEST FOR PROPOSALS**

### **RFP NO. 2018-100 Electronic Document Management/Workflow Software**

Fort Worth Housing Solutions (FWHS) is currently accepting **sealed proposals**.

**Sealed Proposals** shall consist of one (1) USB Flash Drive, one (1) Original bound copy of the RFP, and three (3) bound copies of the RFP containing all materials as listed in the RFP.

**FWHS reserves the right to reject any or all RFPs. MBE/WBE firms are encouraged to submit RFPs.**

**All questions for the RFP must be submitted in writing and e-mailed to Fort Worth Housing Solutions at [procurement@fwhs.org](mailto:procurement@fwhs.org) or faxed to (817) 333-3592 no later than, 11:00 a.m. on October 22, 2018.**

**PRE-PROPOSAL: October 18, 2018 at 11:00 a.m. C.S.T.**

**Fort Worth Housing Solutions  
300 South Beach Street  
Fort Worth, TX 76105**

**Dial-In Number: (563) 999-2272**

**Meeting ID 603801**

**RFP DUE DATE/TIME: November 1, 2018 at 11:00 C.S.T.**

**FWHS Procurement Office  
300 South Beach Street  
Fort Worth, TX 76105**

**SOLICITATION DOCUMENTS ARE AVAILABLE ONLINE AT: [www.fwhs.org](http://www.fwhs.org).**

**SOLICITATION DOCUMENTS ARE AVAILABLE FOR PICK-UP ON OCTOBER 9, 2018. BETWEEN 8:30 AM AND 4:00PM MONDAY THROUGH FRIDAY AT THE FOLLOWING LOCATION:**

**Fort Worth Housing Solutions  
Procurement Department  
300 South Beach Street  
Fort Worth, TX 76105  
(817) 535-6877**

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### **Exhibit A – Document Checklist**

#### **Exhibit B – HUD Forms**

- a) Instructions to Offerors Non-Construction (HUD-5369-B)
- b) Certifications and Representations of Offerors - Non Construction (HUD 5369-C)
- c) General Conditions for Non-Construction Contracts (HUD-5370-C)

#### **Exhibit C – FWHS Forms**

- a) Business References
- b) Non-Collusive Affidavit
- c) Conflict of Interest Questionnaire
- d) Profile of Firm
- e) Section 3 Guidelines/Forms
- f) M/WBE Guidelines
- g) Equal Employment Opportunity

## I. INTRODUCTION

Fort Worth Housing Solutions (FWHS) is pleased to issue this Request for Proposal (RFP) for Electronic Document Management/Workflow Software.

FWHS is seeking **sealed proposals** from interested and qualified companies who have experience with providing software and services to meet the needs for a paperless electronic record system. It is FWHS' intention to move to a paperless environment for all of its core processes. Since 85% of our paper documents relate to tenant processing, this is our primary focus. However, we expect to remove paper from most of our other processes also. The areas include Accounts Payable, Contract Administration, Procurement, Human Resources and other 'back office' processes.

Note that 'paperless' refers to dramatically minimizing the use of paper in our processes. We do not expect to completely eliminate the use of paper. We do expect the solution to address process, and improve workflows, and therefore the objective is not simply to eliminate file cabinets by scanning documents "after the fact."

FWHS is changing the face of affordable and attainable housing opportunities by providing mixed-income rental and homeownership possibilities that enable our clients to flourish in the community.

FWHS accomplishes this by assisting our clients in elevating themselves to the next level of self-sufficiency and personal responsibility through life-changing programs. Through its real estate development program, FWHS also delivers stable investment opportunities for our development partners.

Currently the FWHS administers approximately 6,253 of Housing Choice Voucher (Section 8) housing units. It is also in the process of converting its remaining 998 public housing units to project-based Section 8 rental assistance contracts. FWHS also has 3,285 privately managed affordable and market rate units.

Learn more about Fort Worth Housing Solutions at <http://www.fwhs.org>.

## II. SCOPE OF SERVICES

### A. Scope of Services

#### 1. Overview

Fort Worth Housing Solutions (FWHS) invites all interested vendors to submit proposals to provide software to meet the needs for a Document Management/Workflow System – paperless Electronic Tenant Record system. The proposed solution should address the key technologies and functionality, including but not limited to:

- a. Document Management
  - i. File creation
  - ii. Document filing
  - iii. Document indexing
  - iv. Document and Data Linking
  - v. File retrieval
- b. Electronic Records Management
  - i. Retention and Disposition Schedules
- c. Workflow
  - i. Document routing
  - ii. Serial and parallel task flows
  - iii. Electronic forms
  - iv. Noticeboards/Dashboards for Task Assignment and Management (HAB)
- d. Imaging
  - i. Document Recognition
- e. Content Security
- f. Search Features
- g. Browsing/Folders
- h. Integration with our Housing Authority Management System

FWHS initially plans to implement the selected system in its' Housing Choice Voucher and Public Housing Programs.

- a. Current participant files
- b. Finance, including:
  - i. Requisitions

- ii. Contracts
- iii. Accounts Payable
- iv. Receiving Documents
- v. Human Resources

FWHS is seeking a solution that will address the key requirements for the programs' processes including document management, imaging, content security, search, and folders; and can address broader Enterprise Content Management requirements in the future. One of the key requirements is the proven ability to integrate the proposed solution with our Emphasys Computer Solutions software (ECS).

It is expected that all proposals include formal training and qualified software support for the term of the contract, following successful implementation as determined by FWHS.

## **2. Current Environment**

- a. Infrastructure is Hosted in a Cloud Environment
- b. User Operating System
  - i. Virtual Desktop Interface (VDI) Windows 10
- c. Major Application Software
  - i. Emphasys Computer Solutions Elite (ECS Elite)
- d. Users
  - i. Administrative Office:
    - 1. Housing Choice Voucher
    - 2. Finance/Administrative
    - 3. Human Resources
    - 4. Resident Services
    - 5. Special Programs
    - 6. Legal
  - ii. Remote sites
    - 1. Public Housing
    - 2. Development and Asset Management
    - 3. Procurement

## **3. Documents**

FWHS currently stores documents on and off site. Estimated documents on site to be included in document management system:

Housing Choice Voucher Program:

- a. Current participants, current year: 3,080 files
  - i. Initial lease up: 170 pages per new admission (estimate 400 number of new admissions per year)
  - ii. Annual recertification: 90 pages per participant per year
  - iii. Annual inspection: 15 pages per inspection per year
  - iv. Other inspections: 15 pages per inspection per year
  - v. Interim certification: 25 pages per interim
  - vi. Move: 130 pages per move
  - vii. Termination: 15 pages per termination
  - viii. Other actions/documents: 20 pages per participant
  - ix. Annual Growth: 20% participants
- b. Backlog Scanning: 700 files
  - i. Current participants: Last action: 250 pages per participant

Property Management:

- a. Current residents: 1245 files
- b. Initial lease up: 150 pages per new admission (estimate 30 number of new admissions per year)
  - i. Annual recertification: 90 pages per resident per year
- c. Annual inspection: 5 pages per inspection per year, 2 inspections per year
  - i. Interim certification: 25 pages per interim
  - ii. Transfer: 100 pages per transfer
  - iii. Eviction: 15 pages per eviction
- d. Backlog Scanning:
  - iv. Current Residents: Last action: 250 pages per resident

Finance:

- a. Invoices: Estimate 1600/month

#### **4. Objective**

FWHS' key objectives for the project are:

- a. Minimize or eliminate the use of paper in our key processes
- b. Automate and manage our key processes through configurable workflows
- c. Minimize or eliminate manual data entry tasks  
Ensure compliance with all regulatory, statutory and voluntary requirements

#### **5. Requirements**

The following are requirements to achieve our objectives. If selected as one of the respondent(s), vendor must anticipate demonstrating any of the following:

1. The proposed solution should use nonproprietary file formats (documents are stored in an "open" format allowing us to connect it to another system) and be scalable (system can support 1 user or 1,000 users without major changes).
2. Streamline the processing of documents and information, including the ability to automatically capture the following document types: inbound emails and attachments, faxes, scanned images, existing electronic documents, other paper documents such as: applicant, client, resident and landlord records, requisitions, inspections, quotes, invoices, vouchers, employee records, etc. and to store the captured objects (image/documents) by indexing into a single, electronic repository which allows the retrieval of the objects from anywhere via VDI, WAN, LAN, VPN, intranet or internet (any TCP/IP Route).
3. Must be compatible with a Virtual Desktop Environment (VDI).
4. Automatically link/associate documents with related documents and data (i.e. 50058's with supporting documents).
5. Provide an Enterprise Content Management System (ECM) solution integrated with core business and operations applications without requiring additional programming.
6. Provide options for both programmatic and non-programmatic integration to other business and operations applications without requiring additional software.
7. Provide direct access to documents from the display of business and operations applications (primarily, ECS Elite but others possible) through some form of application enabler.
8. Provide automated generation of document 'packets' (i.e. recertification packets).
9. Provide automated document checklists for key processes (applications, move-outs, etc.) with alerts and checklists for late/missing documents.
10. Provide users with simple electronic access to documents, records and information using existing folder concepts.



11. Retrieval sorting requirements include retrieval by name, social security number, tenant number, address, action and document, including but not limited to the following specific tasks:

- i. Section 8 Programs (New Lease Up)
- ii. Application
- iii. Request for Tenancy Approval
- iv. Landlord documents
- v. Verifications
- vi. Calculation worksheet
- vii. HUD Form 50058
- viii. Rent reasonableness
- ix. Lease
- x. HAP Contract
- xi. Annual recertification
- xii. Inspections
  1. Annual
  2. Initial
  3. Letters/certifications/extensions
  4. Special/complaint
  5. Quality control
- xiii. Interim certification
- xiv. Application
- xv. Move
- xvi. Notices**
  - Request for Tenancy Approval
  - Rent increase
- xvii. Notices**
  - Rent reasonableness
  - Rent Calculation
  - Lease
- xviii. Termination**
  - Termination letter
  - Termination documentation

xix. Hearing letters

**xx. Other forms**

- Vouchers
- Extensions
- Birth certificates
- Social security cards
- Citizen forms
- Reasonable accommodations
- Communication

**xxi. Letters, as applicable**

- Property Management Programs
- Finance

12. Provide agency staff with access to documents from anywhere via WAN, LAN, VPN, intranet or internet (any TCP/IP Route).

13. Print to any print device, a standard desktop or network printing service.

14. Ability to import any document, report or other content that is printable from a Windows Application directly into the Document Management System.

15. Allow distribution of the captured objects via print, fax or email. Create quality images of handwritten or electronically created documents.

16. Provide audit capabilities such as who viewed, deleted, changed, annotated, faxed, printed or re-indexed an object, where the user connected from, and when the user performed the action.

17. Enabling filtering, searching and reporting for audits.

18. Provide access control with internal security or Active Directory single sign on.

19. Provide concurrent user licenses for accessing the Document Management System.

20. Provide one (1) license for testing purposes for future use.

21. Provide ability to create dynamic electronic forms to use as forms and as part of a workflow process.

22. Provide scanning/imaging capability with automatic identification/recognition of different types of documents.

23. Provide desk-side electronic signature capture.

24. Provide secure, digital signatures for HAP contracts, etc.

25. Provide remote access to documents for specific processes from an iPad or Android tablet with the ability to capture signatures electronically.
26. A work plan of action with timelines outlining how the proposal requirements will be accomplished and how the work will be performed are required. Separate work plans must be presented for the Installation/Conversion and Initial Training respectively. Also, note that FWHS will not consider incidental training that occurs during Installation/Conversion as Initial Training.
27. The Installation/Conversion work must explain all efforts and expectations relative to history data capture and migration.
28. Each work plan must include anticipated start-up and completion dates as well as budgeted hours and cost.
29. Reminder: It is imperative to realize that FWHS intends to begin implementation of certain modules of the awarded vendor in 2019.
30. Additional relevant information may be submitted at Respondent's option. This may include management techniques, cost control methods and experience, cost estimating, track record, and schedule compliance.
31. Progress Billing: Each proposal shall include a description of how the respondent intends to progress bill the execution of respective work plans. The Respondent must agree to the application of a retention factor equal to ten percent (10%) of total costs payable only upon project completion.
32. Provide details about how data from the existing system will be converted into the proposed system.
33. Include how much history can be/will be converted.
34. If applicable, include information concerning third party data conversion vendors.
35. Give a brief history of the proposed solution. When was the package developed? How has it evolved?
36. Provide a comprehensive list of the modules included in the proposal.
37. Does your solution include all System Requirements requested? If not, note those specifically not included.
38. Does your solution include all of the General Features described? If not, note the specific features not included.
39. Specifically list and briefly describe any special features of the system believed to be differentiating and uniquely beneficial to FWHS.
40. List any known bugs and/or problems which have not yet been corrected. FWHS will survey existing customers for known bugs and/or problems. Any bugs and/or problems

not listed but identified as a common issue from the existing customer reference check may be viewed extremely unfavorably by FWHS.

41. Identify any Beta testing underway and explain the purpose and goals.
42. Describe your organization's policy concerning software upgrades and/or corrections.
43. Describe your organization's technical support. If various types of support plans exist, list each plan and related costs.
44. Provide for access instructions or flash drive to a generic product demonstration that will allow FWHS evaluators the opportunity to see a preliminary demonstration of your solution prior to a full Respondent directed demonstration.
45. Provide information on the reports generated by the system. Describe how customized reports are prepared. If an integrated report writer is included, then describe how it is utilized.
46. If the system includes "Dashboard" functions, then describe how this is operated and its capabilities.
47. Provide information on any electronic file documentation your system provides. If necessary, please describe how your system would/could integrate with a third party electronic document management system.
48. Include a listing of additional equipment and estimated costs for hardware upgrades.

### **III. IMPLEMENTATION REQUIREMENTS**

#### **A. PROJECT MANAGEMENT**

FWHS is looking for a full service provider that can offer a turn-key solution. The implementation process will need to include project controls and processes that will ensure a smooth roll-out. Respondents are required to provide information on their project planning and implementation approach including specific tasks and a project plan with timeline and labor hours. Proposals should clearly outline the Respondent's methodology and address the following items.

- i. Project Planning Process/Methodology/Project Plan
- ii. Project Risk Management/Mitigation
- iii. Required Protocols/Standards
- iv. Product Certifications
- v. Testing and Acceptance Procedures
- vi. Training
- vii. Documentation

- viii. Implementation Support and Stabilization
  - a. FWHS requires a minimum one-year warranty (implementation and system) after installation.
  - b. Identify any pass-through manufacturer's warranties.
  - c. Assurance that the system or any key component is not nearing or at the end of its lifecycle.
  - d. Annual maintenance and support costs for hardware and software.

**B. RESPONDENT OPERATING PROCEDURES**

Responses should include a description of the Respondent's procedures for doing business including project management and technical support. Examples include:

What is your proposed plan for managing and supporting the FWHS account?

- i. Support team members (resumes). Respondent must list sales and support team members.
- ii. Describe your company's technical support system, response and problem resolution procedures.
- iii. What characteristics set your company apart? Describe unique examples of product, service or added value.
- iv. What new technology and additional products or services does your company plan to utilize in the near future that would be advantageous to FWHS?

**C. PROPOSED SOLUTION**

Provide a narrative of the proposed solution including listing of all hardware and software components. Responses should address all items identified in the requirements section as well as other optional features recommended by the Respondent. The Respondent should highlight features and capabilities that the Respondent feels are the strength of the proposed solution. The section should include the following major parts.

- i. Solution Overview
- ii. System Functionality
- iii. Technical Specifications
- iv. System Requirements
- v. Product Support

Respondents should discuss any potential upgrades that are required or recommended as part of the solution that are deemed outside the scope of work such as router and switch upgrades, cabling, and PC upgrades to support unified messaging. Respondents should discuss technology/platform strategy and future upgrade plans that will assist in the decision process.

#### **D. IMPLEMENTATION PLAN**

Provide a work plan including Respondent's methodology for implementing the proposed solution. This section should address all key phases including project planning, configuration, testing, rollout and support. A project plan listing tasks, dependencies, owner (Respondent or customer) and associated labor hours is required. Responses should include implementation plan considerations including estimated time frame and deliverables for various stages of the project.

Responses should include a discussion of resources required by FWHS staff including IT personnel and end user training for the implementation as well as skills required to support the new system. Key areas of interest include testing procedures and project risk mitigation to help avoid system downtime. The plan should include a review and acceptance process and criteria allowing FWHS final acceptance of the fully-implemented turn-key solution. Must specify a partial payment schedule. Final payment will be provided after FWHS final acceptance.

In addition to evaluating the plan described above, evaluation of the implementation plan will include evaluation of the scope of support program and service levels and the reasonableness of contract terms.

#### **E. ADDITIONAL REQUIREMENTS**

Respondent must agree to be solely responsible for costs and performance of any subcontractors it intends to use for implementation or other services. All On-site personnel will be required to comply with FWHS workplace, security, IT and conduct policies and requirements.

Title to hardware is expected to be in FWHS unless otherwise expressly indicated in the submission. The right to relocate the system and transfer it with any reorganization or to successor agencies is required.

A sample statement of work for the implementation services should be included in the submission. Proposed legal contracts for the services to be provided should be submitted for FWHS evaluation (subject to negotiation).

The solution and components must be provided with indemnification against third party claims of intellectual property infringement covering the customary mode of use of the system. The proposal should include information regarding the warranty remedies.

Payment for installation of the document imaging workflow system will be made based upon negotiated milestones.

### **IV. SUBMISSION PROCEDURES & REQUIREMENTS**

Proposal(s) must be submitted no later than at on **November 1, 2018 11:00 a.m. C.S.T.** Faxed proposals **will not** be considered.

Any proposal received after the specified date and time **will not** be considered. Proposals must be in the specified office of FWHS on or before the above specified date and time. If you choose to mail your proposal, it must arrive by the specified date and time, regardless of the postmark date.

The submission package must be **sealed**, labeled accordingly, and received by Fort Worth Housing Solutions at time listed above at the location listed below:

Fort Worth Housing Solutions  
RFP NO. 2018-100 Electronic Document Management/Workflow Software  
300 South Beach Street  
Fort Worth, TX 76105  
Attn: Procurement Department

Respondents must submit the following in order for the submission to be considered complete:

- One (1) paper version of the proposal with original signatures labeled “Original”
- Three (3) bound copies of the proposal labeled “Copy”
- One (1) USB flash drive containing the full proposal

**The Respondent is required to submit the following information, although FWHS reserves the right to request additional information upon review of initial submissions: Please TAB Sections.**

**A. Information Required in the Proposal**

**1. Letter of Interest (TAB 1)**

- a) Include contact name and address: name, title, email, telephone and fax number to be contacted for clarification or additional information regarding proposals (Cover letter).
- b) A brief statement summarizing the Respondent’s company, relevant experience, and qualifications.

**2. Past Performance on Similar Projects (TAB 2)**

Provide information about past clients for whom the Respondent provided the same or similar services. You may also provide references from related service providers or agency personnel. Include a brief description of Respondent’s business relationship with the reference.

**3. Key Personnel/Staff (TAB 3)**

Qualification statement of proficiency including a list of staff member(s) to be assigned for this project, resumes can be provided.

**4. Desired System Functionality List (TAB 4)**

**1. Document Imaging and Capture:**

- a. Does your system provide the ability to handle documents of mixed types, sizes and conditions?
- b. Does your system provide support for leading scanners and input devices?
- c. Does your system provide image enhancement features?
- d. Does your system provide the ability to capture color documents?
- e. Does your system provide the ability to integrate with leading capture systems?

2. Indexing:

- a. Does your system support fielded indexing?
- b. Does your system support full-text indexing?
- c. Does your system provide indexing from external data sources, in particular from our Housing Management system? (ECS Elite)
- d. Does your system provide for auto-fills of index values?
- e. Does your system support bar coding, both generation of the barcode and creation of the barcode?
- f. Does your system provide “heads up” indexing support for images, i.e. split-screen indexing, with image on one side and the index field on the other side?
- g. Does your system provide automated data capture, i.e. zoned optical character recognition / intelligent character recognition support for index extraction, barcode recognition, etc., as well as manual indexing and data entry?
- h. Does your system provide the ability to provide full audit trail for all changes to indexing information?
- i. Does your system provide the ability to modify existing indexes?

3. Document Management:

- a. Does your system provide a single logical repository for documents (accessed by multiple users in multiple on-site or remote locations)?
- b. Does your system provide the ability to store all object types, including document images, document and desktop files, PDF, JPEG, TXT RFT, photos, videos, audio, email?
- c. Does your system support check in/check out?
- d. Does your system offer version control?
- e. Does your system provide for annotations and redactions with security?
- f. Does your system offer major and minor versions?
- g. Does your system provide the ability to support published versions (finalized available for public viewing) versus non-published versions (editable, only available to users with rights)?
- h. Does your system provide a missing documents checklist?



4. Records Management:

- a. Does your system provide support for reliable retention of documents in accordance with relevant regulations/best practices?
- b. Does your system provide the ability to ensure timely disposition (disposal) of documents in accordance with relevant best practices (keeping an audit of all record destructions, providing certifiable proof of destruction)?
- c. Does your system provide the ability to notify administrators or managers when disposition or migration is called for?
- d. Does your system provide the ability to define retention and disposition schedules (which are monitored to ensure compliance)?
- e. Does your system provide the ability for users (with rights) to declare documents or content as records, add them to the records repository, and assign status to prevent destruction?
- f. Does your system provide security over electronic records to ensure trustworthiness so it can be upheld in court, i.e. appropriate backups, security, version control, retrieval capabilities, access control?

5. Content Security:

- a. Does your system provide the ability to set security at the user and group levels?
- b. Does your system provide the ability to limit what users can see and to do based on security level?
- c. Does your system provide the ability to provide access to previous document versions, based on security?
- d. Does your system provide the ability to maintain audit log for user changes (i.e. index or document changes)?
- e. Does your system provide support for single-sign-on environments?
- f. Does your system provide support for security access control down to the document and annotation levels?

6. Search:

- a. Does your system support search and retrieval from browser-based interfaces?
- b. Does your system support search and retrieval from thick and thin-client interfaces?
- c. Does your system provide the ability to support multi-attribute search?
- d. Does your system provide the ability to save searches and to share saved searches with other individuals, groups and departments?

e. If your system has notes capability, are they searchable as well?

7. Integration with Existing Systems/Applications:

- a. Does your system provide integration with Microsoft Office Suite?
- b. Does your system integrate with our housing authority management software (ECS Elite) at both the data and user interface levels?
- c. Does your system provide documented, standards-based application programming interfaces (APIs)?

8. Browsing/Folders

- a. Do you allow the same document to be a member of multiple folders?
- b. Can you replicate our existing physical file folder structure with sections depending on program type? (i.e. HCV, PH, RAD, FSS, Tax Credit, etc.)
- c. If a document resides in multiple folders, is the document replicated or is it cross-referenced?
- d. Can folders and sub-folders be auto created when new documents are added?
- e. Can we search folders for a list of missing documents?
- f. Can notes be added to folders?
- g. Can folders be moved, copied and re-ordered?
- h. Can new folders be auto created based on dates? For example, a year 2019 folder will be created when we start the New Year?

9. Workflow

- a. Does your system provide the ability to support advanced routing logic within work processes?
- b. Does your system support configurable workflows by program type (i.e. recertification process for PH vs HCV)?
- c. Does your system provide the ability to route images, documents or work items based on any available index criteria?
- d. Does our system provide the ability to support both serial and parallel routing?
- e. Does your system provide the ability to generate notification for high priority, escalations, and pending and overdue work items?
- f. Does your solution provide the ability for users to draw from a shared queue of work tasks?

- g. Does your solution provide the ability to integrate with other systems for notification of pending work tasks, i.e. email, etc.?
- h. Does your system provide the ability for users to digitally sign a work item or document?
- i. Does your solution provide the ability for users to specify delegates to complete their work tasks when they are unavailable?
- j. Does your system provide visibility into different users' tasks and workloads by managers for work balancing and metrics?

10. Hardware Requirements:

- a. Will your system work in a Virtual Desktop Environment?
- b. Where will the primary software (i.e. main database) be installed (server, web-based server, individual PC's)?
- c. What are the specifications for the server, if applicable?
- d. What are the hardware (server, storage, scanner, other) requirements?
- e. Can network scanners or multifunction printer/scanners be used?
- f. What are the Third Party software requirements, (Server OS, Database, capturing software), for the initial projects?
- g. Does the software have a client side?
- h. If so, does each client need to be upgraded with each software release?
- i. Can the software be upgraded / installed automatically?
- j. Is consulting included as part of the purchase price?
- k. What consulting is covered?
- l. How many hours of consulting are included?
- m. At what level can you recover: system, module, index, other?
- n. How are installation and initial set-up handled?

**5. Licensing, Support, Maintenance and Training – (Tab 5)**

- a. Is your support offered as a service on a subscription basis as well as a perpetual license?
- b. Will your organization provide software maintenance?
- c. What is included in the standard maintenance contract?
- d. Is maintenance provided by third parties or your own personnel?

- e. How often does your organization update and upgrade the software?
  - f. How long are previous releases supported?
  - g. Are new releases backward/forward compatible?
  - h. Do you provide customer support?
  - i. What level of support do you provide?
  - j. What hours is your Technical Support department available for support?
  - k. How quick are the normal response times?
  - l. Will you provide off-hours support?
  - m. What if we need to contact you after regular business hours?
  - n. How do you solve problem isolation and identification procedures?
  - o. What are your problem escalation procedures?
  - p. How do you release new software versions and updates?
  - q. How are these new releases installed?
  - r. How often is the typical release cycle?
  - s. Is any third-party software included in the system that is being proposed?
  - t. Does your system provide on-line help?
  - u. Does it provide it at the field entry level?
  - v. Does your system provide a way for customers to create their own on-line help?
  - w. What documentation is provided with your system: user, administration, operational?
  - x. What format is the documentation in?
  - y. Does your system have a backup/restore utility?
1. Training:
- a. Is training provided as part of the system?
  - b. Where is the training conducted?
  - c. What administrative training is required?
  - d. What user training is required?
  - e. What training courses are recommended before implementation?

## 6. COST PROPOSAL (TAB 6)

Proposal must include the proposed cost, including any and all out of pocket costs, broken down by major activity, and identify any discounts offered to FWHS. The cost shall be provided as a "not to exceed" amount. Payment will be based upon milestones in project completion.

Include roles, hourly rates and number of hours for each individual that will work on the project. Any hourly or daily rates applicable to the project must not be increased during the duration of the project.

Respondent should clearly indicate the level and type of support to be provided in detail that relates to their proposed "Annual support and maintenance of software and hardware." This should include hours of operation for support or available support plans with associated service levels (SLAs) and costs.

Cost proposal should identify any hardware and software required to implement the system (including the manufacturer/licensor). All hardware will be expected to be new and not refurbished unless otherwise expressly identified by the Respondent. The cost proposal should outline the warranty and support periods associated with all proposed Equipment and Implementation Services, and identify any available plans/programs for trading in and upgrading to next generation equipment and protecting against produce obsolescence. The cost proposal will be assumed to include all required licensing and third-party royalties, unless otherwise expressly identified by the Respondent. Cost proposals should include the following cost components:

- a. Equipment (Hardware)
- b. Equipment (Software)
- c. Implementation Services
- d. Annual Training
- e. Annual support and maintenance of software and hardware
- f. Separately Priced Items
  - i. Telephone units
  - ii. Call center capability
  - iii. Interactive Voice Response
- g. Optional Items

Describe your organization's policy concerning customer requested software modifications and note the cost associated with such modifications.

## **7. Financial Statement (TAB 7)**

Include two (2) copies of financial statements for the last three years for the primary member of the team and any guarantors. If required, this information may be confidentially included by Respondent as long as this documentation is clearly marked confidential.

## **8. HUD Forms (TAB 8)**

Each Respondent must complete the forms as provided in Exhibit B.

## **9. FWHS Forms (TAB 9)**

Each Respondent must complete the applicable forms as provided in Exhibit C. Additional information on specific forms is included below.

- a. **Business References:** Provide three (3) references from related service providers or agency personnel. Include a brief description of Respondent's business relationship with the reference. See Exhibit C.
- b. **Section 3 Participation:** Provide a detailed narrative on how the Respondent will assist the FWHS to comply with HUDs Section 3 requirements for hiring Section 3 residents and/or local disadvantaged individuals and businesses. A copy of HUDs Section 3 requirement is provided in Exhibit C.
- c. **Minority and Women Business Participation:** Proposals submitted in response to this solicitation MUST include an MBE/WBE participation plan which, at a minimum, demonstrates "Best Efforts" have been taken to achieve compliance with MBE/WBE goals.
- d. All other applicable form listed in Exhibit C.

## **B. Request for Information**

Respondents desiring any explanation or further information regarding the solicitation must submit an e-mail request no later than **October 22, 2018 at 11:00 a.m. C.S.T.** to Kelvin Noble at [procurement@fwhs.org](mailto:procurement@fwhs.org). Any clarification and/ or information will be furnished promptly as a written addendum to the RFP and posted on the FWHS website at [www.fwhs.org](http://www.fwhs.org).

## **C. Evaluation Process**

A selection committee composed of FWHS staff will review proposals in accordance with this RFP and will recommend to the FWHS Board of Commissioners the firm(s) most advantageous and supportive of the agency's needs. The selection committee and/or the Board of Commissioners may at its discretion request interviews with Respondents to discuss specific aspects and clarifications of their proposal(s). The Board of Commissioners will make the final decision.

**D. Anticipated Schedule of Events**

The anticipated schedule for the RFP and contract approval is as follows:

<b>Event</b>	<b>Date</b>
RFP available for distribution	Tuesday, October 9, 2018
Pre-Proposal Conference	Thursday, October 18, 2018 at 11:00 a.m. C.S.T.
Deadline for receipt of written questions	Monday, October 22, 2018 at 11:00 a.m. C.S.T.
Response to written questions	Thursday, October 25, 2018
RFP Due Date	Thursday, November 1, 2018 at 11:00 a.m. C.S.T.
Estimated Contract Award Date	To be determined

Fort Worth Housing Solutions reserves the right at its sole discretion to amend any or all of the dates associated with the anticipated schedule of events.

#### IV. EVALUATION/SELECTION CRITERIA

RFP will be evaluated and rated on, but may not be limited to, the following criteria:

<b>CRITERIA</b>	<b>POINTS</b>
<b>Functionality</b> <ul style="list-style-type: none"> <li>a. Electronic Document Management/Workflow Software /capture 0-5 pts.</li> <li>b. Indexing 0-5 pts.</li> <li>c. Document management 0-5 pts.</li> <li>d. Records management 0-5 pts.</li> <li>e. Content security 0-5 pts.</li> <li>f. Search functions 0-5 pts.</li> <li>g. Integration 0-10 pts.</li> <li>h. Browsing/folders 0-5 pts.</li> <li>i. Workflow 0-5 pts.</li> <li>j. Hardware requirements 0-5 pts.</li> </ul>	<b>55</b>
<b>Licensing/Support/Maintenance/Training</b>	<b>15</b>
<b>Cost Proposal</b>	<b>15</b>
<b>Entity Financial Health and Service Sustainability</b>	<b>10</b>
<b>Section 3 &amp; M/WBE Efforts</b>	<b>5</b>
<b>TOTAL</b>	<b>100</b>
<b>Up to 10 additional points may be awarded to selected respondent(s) for a product demonstration</b>	<b>1-10</b>

Interviews, if desired by FWHS, will be used to identify the top ranking Respondent(s).

#### V. GENERAL CONDITIONS OF THE RFP

##### A. General Conditions

1. LATE SUBMISSIONS WILL NOT BE ACCEPTED OR CONSIDERED.
2. FWHS reserves the right to accept or reject any and all proposals submitted, either in whole or in whole or in part, with or without cause; to waive any informalities of any proposal; to extend, amend or cancel this RFP at any time; and, to make the award in the best interest of FWHS.



3. FWHS reserves the right to request additional information, if needed, from prospective Respondents.
4. In the event that it becomes necessary for FWHS to revise any part of this RFP, revisions will be provided in the form of an Addendum to all prospective Respondents. FWHS may issue and does require Respondents to acknowledge addendums to the RFP. Proposals must conform to any addenda that may be issued to this RFP.
5. Proposals that are incomplete or not in conformance with the submission requirements may be eliminated from further consideration. Respondents should note carefully the submission requirements.
6. All proposals submitted in response to this RFP will be considered public information and may be made available to the general public (including news media) unless Confidential and/or Proprietary information is submitted under separate cover and is clearly designated as such.
7. The Respondent shall provide an oral presentation regarding proposal submitted, if requested to do so by FWHS.
8. Respondents may modify or withdraw a proposal prior to the RFP due date, by an authorized representative of that organization. All submissions will become the property of FWHS after the RFP Deadline.
9. The Respondent affirms that he/she is of lawful age and that no other person, firm, partnership, or corporation has any interest in this submittal or in the contract proposed to be entered into.
10. The Respondent affirms that its proposal is made without any understanding, agreement or connection with any other person, firm, partnership or corporation making a submittal for the same purpose, and is in all respects fair and without collusion or fraud.
11. The Respondent has carefully read the provisions, terms, and conditions of the RFP document and does hereby agree to be bound thereby.
12. FWHS reserves the right to make multiple awards from this RFP and also retains the right to negotiate with the selected firm(s).
13. Additional services and/or service adjustments may be added or deleted during the life of any contract awarded hereunder as mutually agreed upon in writing between FWHS and Respondent.
14. Respondent must meet FWHS' insurance requirements as requested in the RFP.
15. The Respondent will not offer any gratuity, favor, or anything of monetary value to any officials or employee of FWHS for the purpose of influencing consideration of a response to this RFP.

16. FWHS reserves the right to disqualify any proposal(s) that may present a conflict of interest between Fort Worth Housing Solutions, its employees or Board members, Respondent(s), or parties identified in the proposal.

17. Proposal's may NOT be withdrawn for one-hundred twenty (120) days from the RFP due date.

**B. Mistakes in Proposals**

If a mistake in a proposal is suspected or alleged, the proposal may be corrected or withdrawn during any negotiations that are held. If negotiations are not held, or if best and final offers have been received, the Respondent may be permitted to correct a mistake in the proposal and the intended correct offer may be considered based on the conditions that follow:

1. The mistake and the intended correct offer are clearly evident on the face of the proposal.
2. The Respondent submits written evidence which clearly and convincingly demonstrates both the existing offer and such correction would not be contrary to the fair and equal treatment of other Respondents.

Mistakes after award shall not be corrected unless the Contracting Officer makes a written determination that it would be disadvantageous to FWHS not to allow the mistake to be corrected. The approval or disapproval of requests of this nature shall be in writing by the Contracting Officer.

**C. Conflicts of Interest**

The Respondent warrants that to the best of his/her knowledge and belief and except as otherwise disclosed, he/she does not have any organizational conflict of interest. Conflict of interest is defined as a situation in which the nature of work under this contract and the Respondent's organizational, financial, contractual or other interests are such that:

1. Award of the contract may result in an unfair competitive advantage; or
2. The Respondent's objectivity in performing the contract work may be impaired. In the event the Respondent has an organizational conflict of interest as defined herein, the Respondent shall disclose such conflict of interest fully in the proposal submission.
3. The Respondent 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 President which shall include a description of the action which the Respondent has taken or intends to take to eliminate or neutralize the conflict. FWHS may, however, terminate the contract if it is in its best interest.

4. In the event the Respondent was aware of an organizational conflict of interest before the award of this contract and intentionally did not disclose the conflict to the President, FWHS may terminate the contract for default.
5. The provisions of this clause shall be included in all subcontracts and consulting agreements wherein the work to be performed is similar to the service provided by the Respondent. The Respondent shall include in such subcontracts and consulting agreements any necessary provisions to eliminate or neutralize conflicts of interest.
6. No member of the FWHS Board of Commissioners shall be allowed to share any or part of this contract or to derive any benefit to arise there from. This provision shall be construed to extend to this contract if made with a corporation for its general benefit.
7. Any FWHS official or employee who exercises or has exercised any functions or responsibilities with respect to any FWHS contract/ procurement activities, or who is in a position to participate in the decision-making process or gain inside information with regards to any FWHS contract/procurement activities, obtain a financial or economic interest or benefit from the contract/ procurement, or have an interest in any contract or subcontract, or agreement with respect thereto or the proceeds there under, either for himself or herself or for those with whom he or she has family or business ties, during his or her tenure with the FWHS or for one year after such individual leaves FWHS.
8. FWHS reserves total discretion to determine the proper treatment of any conflict of interest disclosed under this provision.

**D. Indemnity**

The Contractor shall indemnify and hold harmless FWHS for any and all claims, lawsuits, causes of action and liability arising out of the execution, performance or nonperformance of this Agreement or in connection with the Contractor use of FWHS premises. The costs of any actions stated herein will be the sole responsibility of the Contractor.

**E. Acceptance of RFP and Contract Terms**

Respondent's submission of a proposal in response to the RFP shall constitute acceptance by the Respondent of the terms and conditions of this RFP. In the event that the Respondent's proposal is accepted for contract award, the Respondent agrees to enter into a negotiated contract with FWHS at a later time and date.

The contract may be for three (3) years with additional two (2) one-year renewal options. All contract extensions must have the mutual consent of all parties and must be requested and accepted in writing. The Respondent must maintain compliance with all federal, state, local and laws and regulations.

**F. Contract Award**

Subject to the rights reserved in this RFP, FWHS will award the contract by written notice to the selected Respondent (the “Contractor”). The award of the contract is subject to the approval of the FWHS Board of Commissioners and/or the FWHS President, and it shall be conditioned on the successful negotiation of revisions, if any, to the RFP, recommended as part of the evaluation of proposals.

A contract shall be awarded in accordance with the terms and conditions of this RFP to the Respondent whose proposal is most advantageous to the FWHS considering price, qualifications, technical and other factors as specified in this RFP, FWHS reserves the right to negotiate and award any element of this RFP, to reject any or all proposals or to waive any minor irregularities or technicalities in RFP received as in the best interest of FWHS.

**G. No Warranty**

Respondents are required to examine the RFP, scope of services, and instructions pertaining to the services requested. Failure to do so will be at the Respondent’s own risk. It is assumed that the Respondent has made full investigation as to be fully informed as to the extent and character of the services requested. No warranty or representation is made or implied as the information contained in this RFP.

**H. Expense of RFP Submission**

All expenses incurred in the preparation and submission of the RFP to FWHS in response to this RFP shall be borne by the Respondent.

**EXHIBIT A**

Documents Checklist

**Documents Checklist**

All documents, including this Checklist, must be completed in full and submitted in a sealed envelope, in the requested order, or the package may be considered as a non-responsive submittal.

<u>Document Checklist</u>	<u>Initial if Included</u>
1. PROPOSAL DOCUMENT CHECKLIST	_____
2. RECEIPT OF ADDENDUM(S)—If Applicable	_____
3. BUSINESS REFERENCES	_____
4. SIGNED NON-COLLUSIVE AFFIDAVIT	_____
5. SECTION 3 FORMS	_____
6. INSURANCE CERTIFICATES	_____
7. SIGNED EQUAL EMPLOYMENT OPPORTUNITY	_____
8. COMPLETED W-9	_____

I understand that failure to submit all these items may cause my submittal to be considered non-responsive.

Name \_\_\_\_\_

Title \_\_\_\_\_

Company \_\_\_\_\_

## **EXHIBIT B**

### **HUD FORMS**

- a) Instructions to Offerors Non-Construction (HUD-5369-B)
- b) Certifications and Representations of Offerors - Non Construction (HUD 5369-C)
- c) General Conditions for Non-Construction Contracts (HUD-5370-C)

## 1. Preparation of Offers

(a) Offerors are expected to examine the statement of work, the proposed contract terms and conditions, and all instructions. Failure to do so will be at the offeror's risk.

(b) Each offeror shall furnish the information required by the solicitation. The offeror shall sign the offer and print or type its name on the cover sheet and each continuation sheet on which it makes an entry. Erasures or other changes must be initialed by the person signing the offer. Offers signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the HA.

(c) Offers for services other than those specified will not be considered.

## 2. Submission of Offers

(a) Offers and modifications thereof shall be submitted in sealed envelopes or packages (1) addressed to the office specified in the solicitation, and (2) showing the time specified for receipt, the solicitation number, and the name and address of the offeror.

(b) Telegraphic offers will not be considered unless authorized by the solicitation; however, offers may be modified by written or telegraphic notice.

(c) Facsimile offers, modifications or withdrawals will not be considered unless authorized by the solicitation.

## 3. Amendments to Solicitations

(a) If this solicitation is amended, then all terms and conditions which are not modified remain unchanged.

(b) Offerors shall acknowledge receipt of any amendments to this solicitation by

- (1) signing and returning the amendment;
- (2) identifying the amendment number and date in the space provided for this purpose on the form for submitting an offer,
- (3) letter or telegram, or
- (4) facsimile, if facsimile offers are authorized in the solicitation. The HA/HUD must receive the acknowledgment by the time specified for receipt of offers.

## 4. Explanation to Prospective Offerors

Any prospective offeror desiring an explanation or interpretation of the solicitation, statement of work, etc., must request it in writing soon enough to allow a reply to reach all prospective offerors before the submission of their offers. Oral explanations or instructions given before the award of the contract will not be binding. Any information given to a prospective offeror concerning a solicitation will be furnished promptly to all other prospective offerors as an amendment of the solicitation, if that information is necessary in submitting offers or if the lack of it would be prejudicial to any other prospective offerors.

## 5. Responsibility of Prospective Contractor

(a) The HA shall award a contract only to a responsible prospective contractor who is able to perform successfully under the terms and conditions of the proposed contract. To be determined responsible, a prospective contractor must -

- (1) Have adequate financial resources to perform the contract, or the ability to obtain them;

- (2) Have a satisfactory performance record;
- (3) Have a satisfactory record of integrity and business ethics;
- (4) Have a satisfactory record of compliance with public policy (e.g., Equal Employment Opportunity); and
- (5) Not have been suspended, debarred, or otherwise determined to be ineligible for award of contracts by the Department of Housing and Urban Development or any other agency of the U.S. Government. Current lists of ineligible contractors are available for inspection at the HA/HUD.

(b) Before an offer is considered for award, the offeror may be requested by the HA to submit a statement or other documentation regarding any of the foregoing requirements. Failure by the offeror to provide such additional information may render the offeror ineligible for award.

## 6. Late Submissions, Modifications, and Withdrawal of Offers

(a) Any offer received at the place designated in the solicitation after the exact time specified for receipt will not be considered unless it is received before award is made and it -

- (1) Was sent by registered or certified mail not later than the fifth calendar day before the date specified for receipt of offers (e.g., an offer submitted in response to a solicitation requiring receipt of offers by the 20th of the month must have been mailed by the 15th);
- (2) Was sent by mail, or if authorized by the solicitation, was sent by telegram or via facsimile, and it is determined by the HA/ HUD that the late receipt was due solely to mishandling by the HA/ HUD after receipt at the HA;
- (3) Was sent by U.S. Postal Service Express Mail Next Day Service - Post Office to Addressee, not later than 5:00 p.m. at the place of mailing two working days prior to the date specified for receipt of proposals. The term "working days" excludes weekends and U.S. Federal holidays; or
- (4) Is the only offer received.

(b) Any modification of an offer, except a modification resulting from the HA's request for "best and final" offer (if this solicitation is a request for proposals), is subject to the same conditions as in subparagraphs (a)(1), (2), and (3) of this provision.

(c) A modification resulting from the HA's request for "best and final" offer received after the time and date specified in the request will not be considered unless received before award and the late receipt is due solely to mishandling by the HA after receipt at the HA.

(d) The only acceptable evidence to establish the date of mailing of a late offer, modification, or withdrawal sent either by registered or certified mail is the U.S. or Canadian Postal Service postmark both on the envelope or wrapper and on the original receipt from the U.S. or Canadian Postal Service. Both postmarks must show a legible date or the offer, modification, or withdrawal shall be processed as if mailed late. "Postmark" means a printed, stamped, or otherwise placed impression (exclusive of a postage meter machine impression) that is readily identifiable without further action as having been supplied and affixed by employees of the U.S. or Canadian Postal Service on the date of mailing. Therefore, offerors should request the postal clerk to place a hand cancellation bull's-eye postmark on both the receipt and the envelope or wrapper.

(e) The only acceptable evidence to establish the time of receipt at the HA is the time/date stamp of HA on the offer wrapper or other documentary evidence of receipt maintained by the HA.



(f) The only acceptable evidence to establish the date of mailing of a late offer, modification, or withdrawal sent by Express Mail Next Day Service-Post Office to Addressee is the date entered by the post office receiving clerk on the "Express Mail Next Day Service-Post Office to Addressee" label and the postmark on both the envelope or wrapper and on the original receipt from the U.S. Postal Service. "Postmark" has the same meaning as defined in paragraph (c) of this provision, excluding postmarks of the Canadian Postal Service. Therefore, offerors should request the postal clerk to place a legible hand cancellation bull's eye postmark on both the receipt and the envelope or wrapper.

(g) Notwithstanding paragraph (a) of this provision, a late modification of an otherwise successful offer that makes its terms more favorable to the HA will be considered at any time it is received and may be accepted.

(h) If this solicitation is a request for proposals, proposals may be withdrawn by written notice, or if authorized by this solicitation, by telegram (including mailgram) or facsimile machine transmission received at any time before award. Proposals may be withdrawn in person by a offeror or its authorized representative if the identity of the person requesting withdrawal is established and the person signs a receipt for the offer before award. If this solicitation is an Invitation for bids, bids may be withdrawn at any time prior to bid opening.

## 7. Contract Award

(a) The HA will award a contract resulting from this solicitation to the responsible offeror whose offer conforming to the solicitation will be most advantageous to the HA, cost or price and other factors, specified elsewhere in this solicitation, considered.

(b) The HA may

- (1) reject any or all offers if such action is in the HA's interest,
- (2) accept other than the lowest offer,
- (3) waive informalities and minor irregularities in offers received, and (4) award more than one contract for all or part of the requirements stated.

(c) If this solicitation is a request for proposals, the HA may award a contract on the basis of initial offers received, without discussions. Therefore, each initial offer should contain the offeror's best terms from a cost or price and technical standpoint.

(d) A written award or acceptance of offer mailed or otherwise furnished to the successful offeror within the time for acceptance specified in the offer shall result in a binding contract without further action by either party. If this solicitation is a request for proposals, before the offer's specified expiration time, the HA may accept an offer, whether or not there are negotiations after its receipt, unless a written notice of withdrawal is received before award. Negotiations conducted after receipt of an offer do not constitute a rejection or counter offer by the HA.

(e) Neither financial data submitted with an offer, nor representations concerning facilities or financing, will form a part of the resulting contract.

## 8. Service of Protest

Any protest against the award of a contract pursuant to this solicitation shall be served on the HA by obtaining written and dated acknowledgment of receipt from the HA at the address shown on the cover of this solicitation. The determination of the HA with regard to such protest or to proceed to award notwithstanding such protest shall be final unless appealed by the protestor.

## 9. Offer Submission

Offers shall be submitted as follows and shall be enclosed in a sealed envelope and addressed to the office specified in the solicitation. The proposal shall show **the hour and date specified in the solicitation for receipt, the solicitation number, and the name and address of the offeror, on the face of the envelope.**

It is very important that the offer be properly identified on the face of the envelope as set forth above in order to insure that the date and time of receipt is stamped on the face of the offer envelope. Receiving procedures are: date and time stamp those envelopes identified as proposals and deliver them immediately to the appropriate contracting official, and only date stamp those envelopes which do not contain identification of the contents and deliver them to the appropriate procuring activity only through the routine mail delivery procedure.

[Describe bid or proposal preparation instructions here:]

Please note that additional conditions, specifications and instructions pertaining to this RFP are contained within the RFP document issued.

# Certifications and Representations of Offerors

## Non-Construction Contract

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)

- |   |   |
|---|---|
| <input type="checkbox"/> Black Americans    | <input type="checkbox"/> Asian Pacific Americans  |
| <input type="checkbox"/> Hispanic Americans | <input type="checkbox"/> Asian Indian Americans   |
| <input type="checkbox"/> Native Americans   | <input type="checkbox"/> 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:

---

# General Conditions for Non-Construction Contracts

## Section I – (With or without Maintenance Work)

### U.S. Department of Housing and Urban Development

Office of Public and Indian Housing

Office of Labor Relations

OMB Approval No. 2577-0157 (exp. 3/31/2020)

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**Applicability. This form HUD-5370-C has 2 Sections. These Sections must be inserted into non-construction contracts as described below:**

- 1) **Non-construction contracts** (*without* maintenance) **greater than \$105,000 - use Section I;**
- 2) **Maintenance contracts** (including nonroutine maintenance as defined at 24 CFR 968.105) **greater than \$2,000 but not more than \$150,000 - use Section II;** and
- 3) **Maintenance contracts** (including nonroutine maintenance), **greater than \$150,000 – use Sections I and II.**

### Section I - Clauses for All Non-Construction Contracts greater than \$150,000

#### 1. Definitions

The following definitions are applicable to this contract:

- (a) "Authority or Housing Authority (HA)" means the Housing Authority.
- (b) "Contract" means the contract entered into between the Authority and the Contractor. It includes the contract form, the Certifications and Representations, these contract clauses, and the scope of work. It includes all formal changes to any of those documents by addendum, Change Order, or other modification.
- (c) "Contractor" means the person or other entity entering into the contract with the Authority to perform all of the work required under the contract.
- (d) "Day" means calendar days, unless otherwise stated.
- (e) "HUD" means the Secretary of Housing and Urban development, his delegates, successors, and assigns, and the officers and employees of the United States Department of Housing and Urban Development acting for and on behalf of the Secretary.

#### 2. Changes

- (a) The HA may at any time, by written order, and without notice to the sureties, if any, make changes within the general scope of this contract in the services to be performed or supplies to be delivered.
- (b) If any such change causes an increase or decrease in the hourly rate, the not-to-exceed amount of the contract, or the time required for performance of any part of the work under this contract, whether or not changed by the order, or otherwise affects the conditions of this contract, the HA shall make an equitable adjustment in the not-to-exceed amount, the hourly rate, the delivery schedule, or other affected terms, and shall modify the contract accordingly.
- (c) The Contractor must assert its right to an equitable adjustment under this clause within 30 days from the date of receipt of the written order. However, if the HA decides that the facts justify it, the HA may receive and act upon a

- proposal submitted before final payment of the contract.
- (d) Failure to agree to any adjustment shall be a dispute under clause Disputes, herein. However, nothing in this clause shall excuse the Contractor from proceeding with the contract as changed.
  - (e) No services for which an additional cost or fee will be charged by the Contractor shall be furnished without the prior written consent of the HA.

#### 3. Termination for Convenience and Default

- (a) The HA may terminate this contract in whole, or from time to time in part, for the HA's convenience or the failure of the Contractor to fulfill the contract obligations (default). The HA shall terminate by delivering to the Contractor a written Notice of Termination specifying the nature, extent, and effective date of the termination. Upon receipt of the notice, the Contractor shall: (i) immediately discontinue all services affected (unless the notice directs otherwise); and (ii) deliver to the HA all information, reports, papers, and other materials accumulated or generated in performing this contract, whether completed or in process.
- (b) If the termination is for the convenience of the HA, the HA shall be liable only for payment for services rendered before the effective date of the termination.
- (c) If the termination is due to the failure of the Contractor to fulfill its obligations under the contract (default), the HA may (i) require the Contractor to deliver to it, in the manner and to the extent directed by the HA, any work as described in subparagraph (a)(ii) above, and compensation be determined in accordance with the Changes clause, paragraph 2, above; (ii) take over the work and prosecute the same to completion by contract or otherwise, and the Contractor shall be liable for any additional cost incurred by the HA; (iii) withhold any payments to the Contractor, for the purpose of off-set or partial payment, as the case may be, of amounts owed to the HA by the Contractor.
- (d) If, after termination for failure to fulfill contract obligations (default), it is determined that the Contractor had not failed, the termination shall be deemed to have been effected for the convenience of the HA, and the Contractor shall be entitled to payment as described in paragraph (b) above.
- (e) Any disputes with regard to this clause are expressly made subject to the terms of clause titled Disputes herein.

#### 4. Examination and Retention of Contractor's Records

- (a) The HA, HUD, or Comptroller General of the United States, or any of their duly authorized representatives shall, until 3 years after final payment under this contract, have access to and the right to examine any of the Contractor's directly pertinent books, documents, papers, or other records involving transactions related to this contract for the purpose of making audit, examination, excerpts, and transcriptions.

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- (b) The Contractor agrees to include in first-tier subcontracts under this contract a clause substantially the same as paragraph (a) above. "Subcontract," as used in this clause, excludes purchase orders not exceeding \$10,000.
  - (c) The periods of access and examination in paragraphs (a) and (b) above for records relating to:
    - (i) appeals under the clause titled Disputes;
    - (ii) litigation or settlement of claims arising from the performance of this contract; or,
    - (iii) costs and expenses of this contract to which the HA, HUD, or Comptroller General or any of their duly authorized representatives has taken exception shall continue until disposition of such appeals, litigation, claims, or exceptions.

#### 5. Rights in Data (Ownership and Proprietary Interest)

The HA shall have exclusive ownership of, all proprietary interest in, and the right to full and exclusive possession of all information, materials and documents discovered or produced by Contractor pursuant to the terms of this Contract, including but not limited to reports, memoranda or letters concerning the research and reporting tasks of this Contract.

#### 6. Energy Efficiency

The contractor shall comply with all mandatory standards and policies relating to energy efficiency which are contained in the energy conservation plan issued in compliance with the Energy Policy and Conservation Act (Pub.L. 94-163) for the State in which the work under this contract is performed.

#### 7. Disputes

- (a) All disputes arising under or relating to this contract, except for disputes arising under clauses contained in Section III, Labor Standards Provisions, including any claims for damages for the alleged breach there of which are not disposed of by agreement, shall be resolved under this clause.
- (b) All claims by the Contractor shall be made in writing and submitted to the HA. A claim by the HA against the Contractor shall be subject to a written decision by the HA.
- (c) The HA shall, with reasonable promptness, but in no event in no more than 60 days, render a decision concerning any claim hereunder. Unless the Contractor, within 30 days after receipt of the HA's decision, shall notify the HA in writing that it takes exception to such decision, the decision shall be final and conclusive.
- (d) Provided the Contractor has (i) given the notice within the time stated in paragraph (c) above, and (ii) excepted its claim relating to such decision from the final release, and (iii) brought suit against the HA not later than one year after receipt of final payment, or if final payment has not been made, not later than one year after the Contractor has had a reasonable time to respond to a written request by the HA that it submit a final voucher and release, whichever is earlier, then the HA's decision shall not be final or conclusive, but the dispute shall be determined on the merits by a court of competent jurisdiction.
- (e) The Contractor shall proceed diligently with performance of this contract, pending final resolution of any request for relief, claim, appeal, or action arising under the contract, and comply with any decision of the HA.

#### 8. Contract Termination; Debarment

A breach of these Contract clauses may be grounds for termination of the Contract and for debarment or denial of participation in HUD programs as a Contractor and a subcontractor as provided in 24 CFR Part 24.

#### 9. Assignment of Contract

The Contractor shall not assign or transfer any interest in this contract; except that claims for monies due or to become due from the HA under the contract may be assigned to a bank, trust company, or other financial institution. If the Contractor is a partnership, this contract shall inure to the benefit of the surviving or remaining member(s) of such partnership approved by the HA.

#### 10. Certificate and Release

Prior to final payment under this contract, or prior to settlement upon termination of this contract, and as a condition precedent thereto, the Contractor shall execute and deliver to the HA a certificate and release, in a form acceptable to the HA, of all claims against the HA by the Contractor under and by virtue of this contract, other than such claims, if any, as may be specifically excepted by the Contractor in stated amounts set forth therein.

#### 11. Organizational Conflicts of Interest

- (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 this contract and a contractor's organizational, financial, contractual or other interests are such that:
  - (i) Award of the contract may result in an unfair competitive advantage; or
  - (ii) The Contractor's objectivity in performing the contract work may be impaired.
- (b) The Contractor agrees that if after award it discovers an organizational conflict of interest with respect to this contract or any task/delivery order under the contract, he or she shall make an immediate and full disclosure in writing to the Contracting Officer which shall include a description of the action which the Contractor has taken or intends to take to eliminate or neutralize the conflict. The HA may, however, terminate the contract or task/delivery order for the convenience of the HA if it would be in the best interest of the 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 Contracting Officer, the HA may terminate the contract for default.
- (d) The terms of this clause shall be included in all subcontracts and consulting agreements wherein the work to be performed is similar to the service provided by the prime Contractor. The Contractor shall include in such subcontracts and consulting agreements any necessary provisions to eliminate or neutralize conflicts of interest.

#### 12. Inspection and Acceptance

- (a) The HA has the right to review, require correction, if necessary, and accept the work products produced by the Contractor. Such review(s) shall be carried out within 30 days so as to not impede the work of the Contractor. Any

product of work shall be deemed accepted as submitted if the HA does not issue written comments and/or required corrections within 30 days from the date of receipt of such product from the Contractor.

- (b) The Contractor shall make any required corrections promptly at no additional charge and return a revised copy of the product to the HA within 7 days of notification or a later date if extended by the HA.
- (c) Failure by the Contractor to proceed with reasonable promptness to make necessary corrections shall be a default. If the Contractor's submission of corrected work remains unacceptable, the HA may terminate this contract (or the task order involved) or reduce the contract price or cost to reflect the reduced value of services received.

### 13. Interest of Members of Congress

No member of or delegate to the Congress of the United States of America or Resident Commissioner shall be admitted to any share or part of this contract or to any benefit to arise there from, but this provision shall not be construed to extend to this contract if made with a corporation for its general benefit.

### 14. Interest of Members, Officers, or Employees and Former Members, Officers, or Employees

No member, officer, or employee of the HA, no member of the governing body of the locality in which the project is situated, no member of the governing body in which the HA was activated, and no other public official of such locality or localities who exercises any functions or responsibilities with respect to the project, shall, during his or her tenure, or for one year thereafter, have any interest, direct or indirect, in this contract or the proceeds thereof.

### 15. Limitation on Payments to Influence Certain Federal Transactions

(a) Definitions. As used in this clause:

"Agency", as defined in 5 U.S.C. 552(f), includes Federal executive departments and agencies as well as independent regulatory commissions and Government corporations, as defined in 31 U.S.C. 9101(1).

"Covered Federal Action" means any of the following Federal actions:

- (i) The awarding of any Federal contract;
- (ii) The making of any Federal grant;
- (iii) The making of any Federal loan;
- (iv) The entering into of any cooperative agreement; and,
- (v) The extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

Covered Federal action does not include receiving from an agency a commitment providing for the United States to insure or guarantee a loan.

"Indian tribe" and "tribal organization" have the meaning provided in section 4 of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450B). Alaskan Natives are included under the definitions of Indian tribes in that Act.

"Influencing or attempting to influence" means making, with the intent to influence, any communication to or appearance before an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with any covered Federal action.

"Local government" means a unit of government in a State and, if chartered, established, or otherwise recognized by a State for the performance of a governmental duty, including a local public authority, a special district, an intrastate district, a council of governments, a sponsor group representative organization, and any other instrumentality of a local government.

"Officer or employee of an agency" includes the following individuals who are employed by an agency:

- (i) An individual who is appointed to a position in the Government under title 5, U.S.C., including a position under a temporary appointment;
- (ii) A member of the uniformed services as defined in section 202, title 18, U.S.C.;
- (iii) A special Government employee as defined in section 202, title 18, U.S.C.; and,
- (iv) An individual who is a member of a Federal advisory committee, as defined by the Federal Advisory Committee Act, title 5, appendix 2.

"Person" means an individual, corporation, company, association, authority, firm, partnership, society, State, and local government, regardless of whether such entity is operated for profit or not for profit. This term excludes an Indian tribe, tribal organization, or other Indian organization with respect to expenditures specifically permitted by other Federal law.

"Recipient" includes all contractors, subcontractors at any tier, and subgrantees at any tier of the recipient of funds received in connection with a Federal contract, grant, loan, or cooperative agreement. The term excludes an Indian tribe, tribal organization, or any other Indian organization with respect to expenditures specifically permitted by other Federal law.

"Regularly employed means, with respect to an officer or employee of a person requesting or receiving a Federal contract, grant, loan, or cooperative agreement, an officer or employee who is employed by such person for at least 130 working days within one year immediately preceding the date of the submission that initiates agency consideration of such person for receipt of such contract, grant, loan, or cooperative agreement. An officer or employee who is employed by such person for less than 130 working days within one year immediately preceding the date of submission that initiates agency consideration of such person shall be considered to be regularly employed as soon as he or she is employed by such person for 130 working days.

"State" means a State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, a territory or possession of the United States, an agency or instrumentality of a State, and a multi-State, regional, or interstate entity having governmental duties and powers.

(b) Prohibition.

- (i) Section 1352 of title 31, U.S.C. provides in part that no appropriated funds may be expended by the recipient of a Federal contract, grant, loan, or cooperative agreement to pay any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with any of the following covered Federal actions: the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(ii) The prohibition does not apply as follows:

(1) Agency and legislative liaison by Own Employees.

(a) The prohibition on the use of appropriated funds, in paragraph (i) of this section, does not apply in the case of a payment of reasonable compensation made to an officer or employee of a person requesting or receiving a Federal contract, grant, loan, or cooperative agreement, if the payment is for agency and legislative activities not directly related to a covered Federal action.

(b) For purposes of paragraph (b)(i)(1)(a) of this clause, providing any information specifically requested by an agency or Congress is permitted at any time.

(c) The following agency and legislative liaison activities are permitted at any time only where they are not related to a specific solicitation for any covered Federal action:

(1) Discussing with an agency (including individual demonstrations) the qualities and characteristics of the person's products or services, conditions or terms of sale, and service capabilities; and,

(2) Technical discussions and other activities regarding the application or adaptation of the person's products or services for an agency's use.

(d) The following agency and legislative liaison activities are permitted where they are prior to formal solicitation of any covered Federal action:

(1) Providing any information not specifically requested but necessary for an agency to make an informed decision about initiation of a covered Federal action;

(2) Technical discussions regarding the preparation of an unsolicited proposal prior to its official submission; and

(3) Capability presentations by persons seeking awards from an agency pursuant to the provisions of the Small Business Act, as amended by Public Law 95-507 and other subsequent amendments.

(e) Only those activities expressly authorized by subdivision (b)(ii)(1)(a) of this clause are permitted under this clause.

(2) Professional and technical services.

(a) The prohibition on the use of appropriated funds, in subparagraph (b)(i) of this clause, does not apply in the case of-

(i) A payment of reasonable compensation made to an officer or employee of a person requesting or receiving a covered Federal action or an extension, continuation, renewal, amendment, or modification of a covered Federal action, if payment is for professional or technical services rendered directly in the preparation, submission, or negotiation of any bid, proposal, or application for that Federal action or for meeting requirements imposed by or pursuant to law as a condition for receiving that Federal action.

(ii) Any reasonable payment to a person, other than an officer or employee of a

person requesting or receiving a covered Federal action or an extension, continuation, renewal, amendment, or modification of a covered Federal action if the payment is for professional or technical services rendered directly in the preparation, submission, or negotiation of any bid, proposal, or application for that Federal action or for meeting requirements imposed by or pursuant to law as a condition for receiving that Federal action. Persons other than officers or employees of a person requesting or receiving a covered Federal action include consultants and trade associations.

(b) For purposes of subdivision (b)(ii)(2)(a) of clause, "professional and technical services" shall be limited to advice and analysis directly applying any professional or technical discipline.

(c) Requirements imposed by or pursuant to law as a condition for receiving a covered Federal award include those required by law or regulation, or reasonably expected to be required by law or regulation, and any other requirements in the actual award documents.

(d) Only those services expressly authorized by subdivisions (b)(ii)(2)(a)(i) and (ii) of this section are permitted under this clause.

(iii) Selling activities by independent sales representatives.

(c) The prohibition on the use of appropriated funds, in subparagraph (b)(i) of this clause, does not apply to the following selling activities before an agency by independent sales representatives, provided such activities are prior to formal solicitation by an agency and are specifically limited to the merits of the matter:

(i) Discussing with an agency (including individual demonstration) the qualities and characteristics of the person's products or services, conditions or terms of sale, and service capabilities; and

(ii) Technical discussions and other activities regarding the application or adaptation of the person's products or services for an agency's use.

(d) Agreement. In accepting any contract, grant, cooperative agreement, or loan resulting from this solicitation, the person submitting the offer agrees not to make any payment prohibited by this clause.

(e) Penalties. Any person who makes an expenditure prohibited under paragraph (b) of this clause shall be subject to civil penalties as provided for by 31 U.S.C. 1352. An imposition of a civil penalty does not prevent the Government from seeking any other remedy that may be applicable.

(f) Cost Allowability. Nothing in this clause is to be interpreted to make allowable or reasonable any costs which would be unallowable or unreasonable in accordance with Part 31 of the Federal Acquisition Regulation (FAR), or OMB Circulars dealing with cost allowability for recipients of assistance agreements. Conversely, costs made specifically unallowable by the requirements in this clause will not be made allowable under any of the provisions of FAR Part 31 or the relevant OMB Circulars.

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## 16. Equal Employment Opportunity

During the performance of this contract, the Contractor agrees as follows:

- (a) The Contractor shall not discriminate against any employee or applicant for employment because of race, color, religion, sex, or national origin.
- (b) The Contractor shall take affirmative action to ensure that applicants are employed, and that employees are treated during employment without regard to their race, color, religion, sex, or national origin. Such action shall include, but not be limited to (1) employment; (2) upgrading; (3) demotion; (4) transfer; (5) recruitment or recruitment advertising; (6) layoff or termination; (7) rates of pay or other forms of compensation; and (8) selection for training, including apprenticeship.
- (c) The Contractor shall post in conspicuous places available to employees and applicants for employment the notices to be provided by the Contracting Officer that explain this clause.
- (d) The Contractor shall, in all solicitations or advertisements for employees placed by or on behalf of the Contractor, state that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex, or national origin.
- (e) The Contractor shall send, to each labor union or representative of workers with which it has a collective bargaining agreement or other contract or understanding, the notice to be provided by the Contracting Officer advising the labor union or workers' representative of the Contractor's commitments under this clause, and post copies of the notice in conspicuous places available to employees and applicants for employment.
- (f) The Contractor shall comply with Executive Order 11246, as amended, and the rules, regulations, and orders of the Secretary of Labor.
- (g) The Contractor shall furnish all information and reports required by Executive Order 11246, as amended and by rules, regulations, and orders of the Secretary of Labor, or pursuant thereto. The Contractor shall permit access to its books, records, and accounts by the Secretary of Labor for purposes of investigation to ascertain compliance with such rules, regulations, and orders.
- (h) In the event of a determination that the Contractor is not in compliance with this clause or any rule, regulation, or order of the Secretary of Labor, this contract may be canceled, terminated, or suspended in whole or in part, and the Contractor may be declared ineligible for further Government contracts, or federally assisted construction contracts under the procedures authorized in Executive Order 11246, as amended. In addition, sanctions may be imposed and remedies invoked against the Contractor as provided in Executive Order 11246, as amended, the rules, regulations, and orders of the Secretary of Labor, or as otherwise provided by law.
- (i) The Contractor shall include the terms and conditions of this clause in every subcontract or purchase order unless exempted by the rules, regulations, or orders of the Secretary of Labor issued under Executive Order 11246, as amended, so that these terms and conditions will be binding upon each subcontractor or vendor. The Contractor shall take such action with respect to any subcontractor or purchase order as the Secretary of Housing and Urban Development or the Secretary of Labor may direct as a means of enforcing such provisions, including sanctions for noncompliance; provided that if the

Contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction, the Contractor may request the United States to enter into the litigation to protect the interests of the United States.

## 17. Dissemination or Disclosure of Information

No information or material shall be disseminated or disclosed to the general public, the news media, or any person or organization without prior express written approval by the HA.

## 18. Contractor's Status

It is understood that the Contractor is an independent contractor and is not to be considered an employee of the HA, or assume any right, privilege or duties of an employee, and shall save harmless the HA and its employees from claims suits, actions and costs of every description resulting from the Contractor's activities on behalf of the HA in connection with this Agreement.

## 19. Other Contractors

HA may undertake or award other contracts for additional work at or near the site(s) of the work under this contract. The contractor shall fully cooperate with the other contractors and with HA and HUD employees and shall carefully adapt scheduling and performing the work under this contract to accommodate the additional work, heeding any direction that may be provided by the Contracting Officer. The contractor shall not commit or permit any act that will interfere with the performance of work by any other contractor or HA employee.

## 20. Liens

The Contractor is prohibited from placing a lien on HA's property. This prohibition shall apply to all subcontractors.

## 21. Training and Employment Opportunities for Residents in the Project Area (Section 3, HUD Act of 1968; 24 CFR 135)

- (a) 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 to low- and very low-income persons, particularly persons who are recipients of HUD assistance for housing.
- (b) The parties to this contract agree to comply with HUD's regulations in 24 CFR Part 135, which implement section 3. As evidenced by their execution of this contract, the parties to this contract certify that they are under no contractual or other impediment that would prevent them from complying with the Part 135 regulations.
- (c) The contractor agrees to send to each labor organization or representative of workers with which the contractor has a collective bargaining agreement or other understanding, if any, a notice advising the labor organization or workers' representative of the contractor's commitments under this section 3 clause, and will post copies of the notice in conspicuous places at the work site where both employees and applicants for training and employment positions can see the notice. The notice shall describe the section 3 preference, shall set forth minimum number and job titles subject to hire, availability of



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apprenticeship and training positions, the qualifications for each; and the name and location of the person(s) taking applications for each of the positions; and the anticipated date the work shall begin.

- (d) The contractor agrees to include this section 3 clause in every subcontract subject to compliance with regulations in 24 CFR Part 135, and agrees to take appropriate action, as provided in an applicable provision of the subcontract or in this section 3 clause, upon a finding that the subcontractor is in violation of the regulations in 24 CFR Part 135. The contractor will not subcontract with any subcontractor where the contractor has notice or knowledge that the subcontractor has been found in violation of the regulations in 24 CFR Part 135.
- (e) The contractor will certify that any vacant employment positions, including training positions, that are filled (1) after the contractor is selected but before the contract is executed, and (2) with persons other than those to whom the regulations of 24 CFR Part 135 require employment opportunities to be directed, were not filled to circumvent the contractor's obligations under 24 CFR Part 135.
- (f) Noncompliance with HUD's regulations in 24 CFR Part 135 may result in sanctions, termination of this contract for default, and debarment or suspension from future HUD assisted contracts.

## **22. Procurement of Recovered Materials**

- (a) In accordance with Section 6002 of the Solid Waste Disposal Act, as amended by the Resource Conservation and Recovery Act, the Contractor shall procure items designated in guidelines of the Environmental Protection Agency (EPA) at 40 CFR Part 247 that contain the highest percentage of recovered materials practicable, consistent with maintaining a satisfactory level of competition. The Contractor shall procure items designated in the EPA guidelines that contain the highest percentage of recovered materials practicable unless the Contractor determines that such items: (1) are not reasonably available in a reasonable period of time; (2) fail to meet reasonable performance standards, which shall be determined on the basis of the guidelines of the National Institute of Standards and Technology, if applicable to the item; or (3) are only available at an unreasonable price.
- (b) Paragraph (a) of this clause shall apply to items purchased under this contract where: (1) the Contractor purchases in excess of \$10,000 of the item under this contract; or (2) during the preceding Federal fiscal year, the Contractor: (i) purchased any amount of the items for use under a contract that was funded with Federal appropriations and was with a Federal agency or a State agency or agency of a political subdivision of a State; and (ii) purchased a total of in excess of \$10,000 of the item both under and outside that contract.

## **EXHIBIT C**

### **FWHS FORMS**

- a) Business References
- b) Non-Collusive Affidavit
- c) Conflict of Interest Questionnaire
- d) Profile of Firm
- e) Section 3 Guidelines/Forms
- f) M/WBE Guidelines
- g) Equal Employment Opportunity
- h) Sample Certificate of Insurance
- i) W-9

**BUSINESS REFERENCES**

Please provide a minimum of three (3) references and a brief description of the business relationship. Additional pages may be used, if necessary.

Company Name: \_\_\_\_\_  
Contact Person: \_\_\_\_\_  
Address: \_\_\_\_\_  
City, State, Zip: \_\_\_\_\_  
Email: \_\_\_\_\_  
Description: \_\_\_\_\_  
\_\_\_\_\_

Company Name: \_\_\_\_\_  
Contact Person: \_\_\_\_\_  
Address: \_\_\_\_\_  
City, State, Zip: \_\_\_\_\_  
Email: \_\_\_\_\_  
Description: \_\_\_\_\_  
\_\_\_\_\_

Company Name: \_\_\_\_\_  
Contact Person: \_\_\_\_\_  
Address: \_\_\_\_\_  
City, State, Zip: \_\_\_\_\_  
Email: \_\_\_\_\_  
Description: \_\_\_\_\_  
\_\_\_\_\_

**FORM OF NON-COLLUSIVE AFFIDAVIT  
(PRIME BIDDER)**

State of \_\_\_\_\_

County \_\_\_\_\_, being first duly sworn, deposes and says:

That he/she is \_\_\_\_\_, the party making the foregoing proposal or bid, and attests to the following:

- (1) That affiant employed no person, confirmation, firm, association, or other organization, either directly or indirectly, to secure the public contract under which he received payment, other than persons regularly employed by the Affiant whose services in connection with the construction of the public building or project in securing the public contract were in the regular course of their duties for Affiant; and
- (2) That no part of the contract price received by Affiant was paid to any person, corporation, firm, association or other organization for soliciting the contract, other than the payment of their normal compensation to persons regularly employed by the Affiant whose services in connection with the construction of the public building or project were in the regular course of their duties for Affiant.
- (3) That such proposal or bid is genuine and not collusive or sham; that said Bidder has not colluded, conspired, connived, or agreed, directly or indirectly, with any Bidder or person, to put in a sham bid or try to refrain from bidding, and has not in any manner directly or indirectly, sought by agreement or collusion, or communication or conference, with any person, to fix the bid price of Affiant or of any other Bidder, or to fix any overhead, profit, or cost element of said bid price, or of that of any other Bidder, or to secure any advantage against the Housing Authority or any person interested in the proposed contract; and that all statements in said proposal or bid are true.

\_\_\_\_\_  
Signature\*

\*Bidder if the Bidder is an individual; all partners if Bidder is a partnership; officer if the Bidder is a corporation.

SUBSCRIBED AND SWORN TO before me, this the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

\_\_\_\_\_  
NOTARY PUBLIC

My Commission Expires: \_\_\_\_\_, 20\_\_\_\_\_

# CONFLICT OF INTEREST QUESTIONNAIRE FORM CIQ

For vendor or other person doing business with local governmental entity

This questionnaire reflects changes made to the law by H.B. 1491, 80<sup>th</sup> Leg., Regular Session.

This questionnaire is being in accordance with Chapter 176, Local Government Code by a person who has a business relationship as defined by Section 176.00 (1-a) with a local governmental entity and the person meets requirements under Section 176.006 (a).

By law this questionnaire must be filed with the record administrator of the local Governmental entity not later than the 7<sup>th</sup> business day after the date the person becomes aware of facts that require the statement to be filed. See Section 176.006, Local Government Code.

A person commits an offense if the person knowingly violates Section 176.006, Local Government Code. An offense under this section is a Class C misdemeanor.

**OFFICE USE ONLY**

Date Received

1. Name of person who has a business relationship with local governmental entity.

2.  Check this box if you are filing an update to a previously filed questionnaire.

(The law requires that you file an update completed questionnaire with the appropriate filing authority not later than the 7<sup>th</sup> business day after the date the originally filed questionnaire becomes incomplete or inaccurate.)

3. Name of local government officer with whom filer has employment or business relationship.

\_\_\_\_\_   
 Name of Officer

This section (item 3 including subparts A, B, C & D) must be completed for each officer with whom the filer has an employment or other business relationship as defined by Section 176.001 (1-a), Local Government Code. Attach additional pages to this Form CIQ as necessary.

A. Is the local government officer named in this section receiving or likely to receive taxable income, other than investment income, from the filer of the questionnaire?

Yes                       No

B. Is the filer of the questionnaire receiving or likely to receive taxable income, other than investment income, from or at the direction of the local government officer named in this section AND the taxable income is not received from the local governmental entity?

Yes                       No

C. Is the filer of this questionnaire employed by a corporation or other business entity with respect to which the Local government officer serves as an officer or director, or holds an ownership of 10 percent or more?

Yes                       No

D. Describe each employment relationship with the local government officer named in this section.

4.

\_\_\_\_\_   
 Signature of person doing business with the governmental entity

\_\_\_\_\_   
 Date

**Note: A completed Profile of Firm Form must be submitted for each subcontractor.**

Proposed Subcontractors					
Item	Company Name	Address	Phone	Specialty	W/M/BE
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					
11					
12					
13					
14					
15					
16					
17					
18					
19					
20					
I understand and agree that if awarded a contract as a result of this solicitation that the use of the above subcontractors is subject to the approval of FWHS and becomes a part of the contract. I further understand that any change in subcontractors also requires the pre-approval of FWHS.			_____ (Signature)		
			_____ (Printed Name & Title)		

**Note: A completed Profile of Firm Form must be submitted for each subcontractor**

**PROFILE OF FIRM FORM (Page 1 of 2)**

(This Form must be fully completed by all Proposers and Subcontractors)

(1) Prime \_\_\_ Joint Venture/Partner \_\_\_ Sub-contractor \_\_\_ (This form shall be completed by and for each).

(2) Name of Firm: \_\_\_\_\_ Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_

(3) Street Address, City, State, Zip: \_\_\_\_\_

(4) Identify Principals/Partners in Firm

NAME	TITLE	% OF OWNERSHIP

(5) Please indicate the operating structure of your company.

- Publicly Held Corporation  
  Privately Held Corporation  
  Government Agency  
  Non-Profit Organization  
  Partnership  
  Sole Proprietorship

(6) Respondent's Diversity Statement: You must check all of the following that apply to the ownership of this firm and enter where provided the correct percentage (%) of ownership of each:

Minority- (MBE), or Woman-Owned (WBE) Business Enterprises qualify by virtue of 51% or more Ownership and active management by one or more of the following:

- African American  
  \*\*Native American  
  Hispanic American  
  Asian/Pacific American  
  Hasidic Jew  
  Asian/Indian American
- \_\_\_\_\_%  
 \_\_\_\_\_%  
 \_\_\_\_\_%  
 \_\_\_\_\_%  
 \_\_\_\_\_%  
 \_\_\_\_\_%

- Woman-Owned (MBE)  
  Woman-Owned (Caucasian)  
  Disabled Veteran  
  Caucasian American (Male)  
  Other (Specify):

(7) Is the business 51% or more owned by a public housing resident? \_\_\_ Yes \_\_\_ No. If yes, provide name and address of the public housing facility:

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

Facility Address: \_\_\_\_\_ City: \_\_\_\_\_

SWMBE Certification Number: \_\_\_\_\_

Certification Agency: \_\_\_\_\_

(Note: A CERTIFICATION/NUMBER IS NOT REQUIRED – ENTER IF AVAILABLE)

**PROFILE OF FIRM FORM (Page 2 of 2)**

(Form must be completed, 9-10 if applicable)

(8) Federal Tax ID Number: \_\_\_\_\_

(9) City of Fort Worth Business License No: \_\_\_\_\_

(10) State of Texas License Type and No: \_\_\_\_\_

(11) Has your firm or any member of your firm been a party to litigation with a public entity? If yes, when, with whom and state the circumstances and any resolution.

Yes  No

(12) Has your firm or any member of your firm ever sued or been sued by the Fort Worth Housing Solutions or its affiliated entities? If yes, when and state the circumstances and any resolution of the lawsuit.

Yes  No

(13) Has your firm or any member of your firm ever had a claim brought against because of breach of contract or Non-performance? If yes, when and state the circumstances and any resolution of the matter.

Yes  No

(14) Debarred Statement: Has this firm, or any principal(s) ever been debarred from providing any services by the Federal Government, any state government, the State of Texas, or any local Government agency within or without the State of Texas? If "Yes," please attach a full detailed explanation, including dates, circumstances and current status.

Yes  No

(15) Disclosure Statement: Does this firm or any principals thereof have any current, past, personal or Professional relationship with any Commissioner or Officer of FWHA? If "Yes," please attach a full detailed explanation, including dates, circumstances and current status.

Yes  No

(16) Verification Statement: The undersigned Offeror hereby states that by completing and submitting this form he/she is verifying that all information provided herein is, to the best of his/her knowledge, true and accurate, and agrees that if the FWHS discovers that any information entered herein is false, that shall entitle the FWHS to not consider nor make award or to cancel any award with the undersigned party.

\_\_\_\_\_  
**Signature**

\_\_\_\_\_  
**Date**

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

\_\_\_\_\_  
**Company**



**Purpose:**

The purpose of Section 3 of the Housing and Urban Development of 1968 (12 U.S.C. 1701u) (Section 3) is to ensure that employment and other economic and business opportunities generated by HUD Financial Assistance shall be directed to Fort Worth Housing Solutions (FWHS) Residents and other low- and very low-income persons, particularly those who are recipients of government housing assistance and to business concerns which provide economic opportunities to FWHS Residents and other low- and very low-income persons.

**General Policy Statement:**

It is the declared policy of the Fort Worth Housing Solutions (FWHS) that Equal Employment Opportunities shall be provided for every employee and applicant for employment regardless of race, color, religion, sex, national origin, handicap, or economic status; and, that through the award of contracts to contractors, vendors, and suppliers, that employment and business opportunities be created for residents of FWHS properties and other qualified low- and very low income persons residing within the geographical boundaries of City of Fort Worth. This policy does not end with the mere prohibition of discriminatory practices by programs receiving HUD financial assistance or contractors, subcontractors, and vendors contracting with FWHS. FWHS recognizes its obligation as well as the obligation of potential contractors, subcontractors, to develop practical steps to achieve the goals of providing meaningful, full time employment opportunity, as well as business opportunities to FWHS residents and other Section 3 eligible persons.

Such obligation shall be demonstrated not merely through inclusion of positive or "best effort" steps, but shall result in a reasonable level of success in the recruitment, employment, and utilization of FWHS Residents and other Section 3 eligible persons and businesses in the workforce and subcontracting of work resulting out of the expenditure of HUD funding. The FWHS's Contracting Officer, through official resolution, shall examine and consider a contractor/vendor's success in providing employment and business opportunities to FWHS Residents prior to acting on any proposed contract award.

**Numerical Goals for Section 3 Compliance:**

Section 3 is a federal statute that expressly encourages , to the maximum extent feasible. To that end, FWHS has adopted the following numerical goals for meeting the greatest extent feasible requirement to provide economic opportunities to section 3 Residents and Section 3 Business Concerns in the procurement and awarding of modernization-funded construction, maintenance and professional services contracts:

NUMERICAL GOALS FOR SECTION 3 COMPLIANCE

Areas of Focus (Applies to all contracts)	Numerical Goal
Contractor and Sub-Contractor Hiring (full-time, part-time, temporary, Seasonal) applies to construction and maintenance service contracts.	10%
Contract Awards (applies to Construction contracts).	10%
All other Contracts Awards (i.e., services, and professional services).	3%
These goals apply to all Contractors as well as any Tier Sub-contractor	

Recipients and Contractors may demonstrate compliance with the "greatest extent feasible" requirement of Section 3 by meeting the numerical goals set forth in this Section 3 Program for providing training, employment, and contracting opportunities to Section 3 Residents and Section 3 Business Concerns. Efforts to employ Section 3 Residents to the greatest extent feasible should be made at all job levels.

FWHS in its own operations, shall endeavor to achieve the goals of Section 3 and shall provide equal responsibility to its contractors, vendors and suppliers to implement progressive efforts to also attain compliance. In doing so, FWHS shall evaluate contractors' compliance towards achieving the goals of Section 3 and ensure a system of Leveling sanctions against contractor, vendor or supplier for non-compliance.

The numerical goals established above represent minimum numerical targets and all prospective contractors shall be advised and encouraged to seek Section 3 participation to the greatest extent feasible. Any contractor that meets the minimum numerical goals set forth above will be considered to have complied with the Section 3 requirements. Any contractor that does not meet the numerical goals set forth above has the burden of demonstrating why it was not feasible to meet the numerical goals. In the event no competing contractors were successful in meeting the minimum goals set forth above, FWHS shall consider documentation provided by the contractor evidencing impediments encountered despite actions taken to comply with the Section 3 requirements. Such evidence shall be subject to the satisfaction of FWHS.

All contractors submitting bids/proposals to the Housing Authority shall be required to complete certifications, as appropriate, as acknowledgement of the Section 3 contracting and employment provisions as required by this selection. Such certifications shall be supported with adequate evidence to support representations made. The certifications required to be submitted with the bid/proposal consist of the following:

- h. Certification for business concerns seeking Section 3 preference.
- e. Contractor certification of efforts to fully comply with Employment and training provisions of Section 3.

Prior to the award of any contract, the contractor shall enter into negotiations with FWHS for the purpose of incorporating into the contract a provision, to the greatest extent possible, hiring of Public Housing residents or other Section 3 residents to be trained or employed on the contract. Such resulting provision shall obligate the contractor toward the greatest extent possible, achieving the numerical goals listed above and shall be based on a detailed workforce analysis to be compiled by the contractor and submitted to FWHS prior to award of contract

**Definitions:**

Annual Contributions Contract (ACC) means the contract under the U.S. Housing Act of 1937 (1937 Act) between HUD and the PHA, or between HUD and the IHA that contains the terms and conditions under which HUD assist the PHA or IHA in providing decent, safe, and sanitary housing for low-income families. The ACC must be in the form prescribed by HUD under which HUD agrees to provide assistance in the deployment, modernization, and/or operation, of a low-income housing project under the 1937 Act, and the PHA or IHA agrees to develop, modernize and operate the project in compliance with all provisions of the ACC and the 1937 Act, and all HUD

regulations and implementing requirements and procedures.

Applicant means any entity which makes an application for Section 3 covered assistance, and includes, but is not limited to, and State, unit of local government, public housing agency, Indian housing authority, Indian tribe, or other public body, public or private nonprofit organization, private agency or institution, mortgagor, developer, limited dividend sponsor, builder, property manager, community housing development organization (CHDO), resident manage corporation, resident council, or cooperative association.

Contractor means any entity which contract to perform work generated by the expenditure of Section 3 covered assistance, or for work in connection with a Section 3 covered project.

Department or HUD means the Department of Housing and Urban Development, including its field offices to which authority has been delegated to perform functions under this part.

Employment opportunities generated by Section 3 covered assistance means all employment opportunities generated by the expenditure of Section 3 covered public and Indian housing Assistance (i.e., operating assistance, development assistance and modernization assistance, as described in § 135.3 (a) (1)).

Housing development means low-income housing owned, developed, or operated by public housing agencies or Indian housing authorities in accordance with HUD's public and Indian housing program regulations codified in 24 CFR Chapter IX.

HUD Youth build programs means programs that receive assistance under subtitle D of Title IV of the National Affordable Housing Act, as amended by the Housing and Community Development Act of 1992 (42 U.S.C. 12699), and provide disadvantaged youth with opportunities of employment, education, leadership development, and training in the construction or rehabilitation of housing for homeless individuals and members of low- and very low-income families.

TPA means the Job Training Partnership Act (29 U.S.C. 1579(a)).

Metropolitan area means a metropolitan statistical area (MSA), as established by the Office of Management and Budget.

New hires mean full-time employees for permanent, temporary or seasonal employment opportunities.

Other HUD programs means HUD programs, other than HUD public and Indian housing programs, that provide housing and community development assistance for “section 3 covered projects,” as defined in this section.

Public housing resident has the meaning given this term in 24CFR part 963.

Recipient means any entity, which receives section 3 covered assistance, directly from HUD or from another recipient and includes, but is not limited to, any State, unit of local government, PHA, IHA, Indian tribe, or other public body, public or private nonprofit organization, private agency or institution, mortgagor, developer, limited dividend sponsor, builder, property manager, community housing development organization, resident management corporation resident council, or cooperative association.

Section 3 means section 3 of the Housing and Urban Development Act of 1968, as amended (12 U.S.C. 1701 u).

Section 3-business concern means a business concern, as defined in this section:

- 1) That is 51 percent or more owned by section 3 residents; or
- 2) Whose permanent, full-time employees include persons, at least 30 percent of whom are currently section 3 residents; or within three years of the date of first employment with the business concern were section 3 residents or;
- 3) That provides evidence of a commitment to subcontract in excess of 25 percent of the dollar award of all subcontracts to be awarded to business concerns that meet the qualifications set forth in paragraphs (1) or (2) in this definition of “section 3 business concern.”

Section 3 covered assistance means:

- 1) Public and Indian Housing development assistance provided pursuant to section 5 of the 1937 Act;
- 2) Public and Indian housing operating assistance provided pursuant to section 9 of the 1937 Act.
- 3) Public and Indian housing modernization assistance provided pursuant to section 14 of the 1937 Act.

Section 3 covered contract means a contract or subcontract (including a professional service contract) awarded by a recipient or contractor for work generated by the expenditure of section 3 covered assistance, or for work arising in connection with section 3-covered project.

Section 3-covered project means the construction, reconstruction, conversion, rehabilitation of housing (including reduction and abatement of lead-based paint hazards), other public construction which includes buildings, maintenance or improvements (regardless of ownership) assisted with housing or community development assistance.

Section 3 resident means:

- 1) A public housing resident; or
- 2) An individual who resides in the metropolitan area or non-metropolitan county in which the section 3 covered assistance is expended, and who is:
  - I. A low-income person, as this term is defined in section 3(b)(2) of the 1937 Act (42 U.S.C. 1437 a (b)(2)). Section 3(b)2 of the 1937 Act defines this term to mean families (including single persons) whose incomes do not exceed 80% of the median family income for the area, as determined by the Secretary, with adjustments for smaller and larger families, except that the Secretary may establish income ceilings higher or lower than 80% of the median for the area on the basis of the Secretary’s findings that such variations are necessary because of prevailing levels of construction cost or unusually high low-income families; or
  - II. A very low-income person, as this term is defined in section 3(b)(2) OF THE 1937 ACT (42 U.S.C. 1437 a (b)(2) defines this term to mean families (including single persons) whose incomes do not exceed 50% of the median family income for the area, as determined by the Secretary with adjustments made for smaller or larger families, except that the Secretary’s may establish income ceilings higher or lower than 50% of the median for the area on the basis of the Secretary’s findings that such variations are necessary because of unusually high low family incomes.

3. A person seeking the training and employment preference provided evidence by section 3 bears the responsibility of providing evidence (if requested) that the person eligible for the preference..

Service area means the geographical area in which the persons benefiting from the section 3-covered project reside.

Subcontractor means any entity (other than a person who is an employee of the contractor) which has a contract with a contractor to undertake a portion of the contractor’s obligation of the performance of work generated by the

expenditure of section covered assistance, or arising in connection with a section 3 covered project.

Section 3 joint venture means an association of business concerns, one of which qualifies as a section 3 business concerns, formed by written joint venture agreement to engage in and carry out a specific business venture for which purpose the business concerns combine their efforts, resources, and skills for joint profit, but not necessarily on a continuing or permanent basis for conducting business generally, and for which the section 3 business concern:

- 1) Is responsible for a clearly defined portion of the work to be performed and holds management responsibilities in the joint venture; and
- 2) Performs at least 25% of the work and is contractually entitled to compensation proportionate to its work.

**Preference for Section 3 Business Concerns (Contracting)**

FWHS in accordance with Section 3 of the Housing and Urban Development Act of 1968, requires contractors and sub-contractors (including professional service contracts) to direct their efforts towards awarding contracts to section 3 business concerns in the following order of priority and expend greatest extent feasible efforts to achieve, at minimum, the numerical goals established in this section:

- **1<sup>st</sup> Priority – Category 1 Section 3 Businesses**

Business concerns that are 51% or more owned by residents of the housing development(s) for which work is performed, or whose full-time, permanent workforce includes 30% of these persons as employees.

- **2<sup>nd</sup> Priority – Category 2 Section 3 Businesses**

Business concerns that are 51% or more owned by residents of other Fort Worth Housing Solutions Public Housing developments other than the development(s) where the work is performed or whose full-time permanent workforce includes 30% of these person(s) as employees.

- **3<sup>rd</sup> Priority – Category 3 Section 3 Businesses**

Business Concerns that are designated HUD Youth-Build programs being carried out in the City of Fort Worth.

- **4<sup>th</sup> Priority – Category 4 Section 3 Businesses**

Business concerns that are 51% or more owned by a section 3 resident(s) or whose permanent, full-time workforce includes no less than 30% Section 3 residents (category 4 businesses), or that subcontract in excess of 25% of the total amount of sub-contracts to Section 3 business concerns.

A section 3-business concern seeking a contract for a subcontract shall submit evidence to FWHS, if requested,

sufficient to demonstrate to the satisfaction of the Contracting Officer that the business concern is responsible and has the ability to perform successfully under the terms and conditions of the proposed contract. Federal Regulations at 2CFR200.317-326, concerning the ability of the contractor to perform successfully, requires consideration of the contractor’s record in complying with Public Policy requirements, technical capacity, financial capacity and integrity. Section 3 compliance is a matter of properly considered as part of this determination.

**Preference in Award of Section 3 Contracts**

Preference in the award of Section 3 contracts that are awarded under the sealed bid procurement process shall be provided in accordance with the following:

*Sealed bids shall be solicited from all businesses (Section 3 business concerns, and non-Section 3 business concerns). An award will be made to the qualified Section 3 business concern with the highest priority ranking and with the lowest responsive bid, provided that bid is;*

A. *Within the maximum total contract price established in the Authority’s budget for the project for which bids are being taken.*

And

B. *It is not more than “X” higher than the total bid price of the lowest responsive bid from any responsive bidder.*

**“X” IS DETERMINED AS FOLLOWS**

	<b>“X” =Lesser of:</b>
When the lowest responsive bid less than \$100,000	10% of that bid or \$9,000
<b>WHEN THE LOWEST RESPONSIVE BID:</b>	
At least \$100,000, but less than <b>\$200,000</b>	9% of that bid or \$16,000
At least \$200,000, but less than <b>\$300,000</b>	8% of that bid or \$21,000
At least \$300,000, but less than <b>\$400,000</b>	7% of that bid or \$24,000
At least \$400,000, but less than <b>\$500,000</b>	6% of that bid or \$25,000
At least \$500,000, but less than <b>\$1 Million</b>	5% of that bid or \$40,000
At least \$1 Million, but less than <b>\$2 Million</b>	4% of that bid or \$60,000
At least \$2 Million, but less than <b>\$4 Million</b>	3% of that bid or \$80,000
At least \$4 Million, but less than <b>\$7 Million</b>	2% of that bid or \$105,000
<b>7 Million or more</b>	1-1/2% of the lowest bid with no dollar limit

Preference in the award of Section 3 contracts that are awarded under the competitive negotiation (qualification based) method of procurement shall be accomplished by providing an evaluation criteria specific to the Section 3 rule and assigning a value equivalent to not more than fifteen (15) percent of the total number of available rating points. Such Section 3 evaluation criteria shall be for the provision of the preference for Section 3 business concerns.

#### **Preference for Section 3 Residents (Employment & Training)**

FWHS, in accordance with Section 3 of the Housing and Urban Development Act of 1968, requires contractors and sub-contractors (including professional service contracts) to direct their efforts toward providing training and employment opportunities to Section 3 residents in the following order of priority and expend greatest extent feasible efforts to achieve at minimum, the numerical goals established in this section:

- 1<sup>st</sup> Priority—Category 1 Section 3 Residents Residents of the development for which work is performed.
- 2<sup>nd</sup> Priority—Category 2 Section 3 Residents Residents of other Public Housing developments outside of the development(s) where the work is performed.
- 3<sup>rd</sup> Priority—Category 3 Section 3 Residents Residents of the City of Fort Worth who are participants in HUD Youth-build programs being carried out in the City.
- 4<sup>th</sup> Priority—Category 4 Section 3 residents Other Section 3 Residents.

#### **Certification Procedure:**

FWHS has its own program of self-certification for individuals and business concerns seeking recognition as a Section 3 resident or Section 3 business concern as defined in this Section 3 Program. Any Individual or business concern seeking Section 3 preferences in the awarding of the contracts or purchase agreements shall complete appropriate certification forms and provide adequate documentation as evidence of eligibility for preference under the Section 3 program. An individual or business concern may apply for certification as a Section 3 resident or Section 3 business concern either prior to bidding for FWHS work or during the actual bidding process. Any business concern that submits certification for preference after receipt of bid will not be considered eligible for Section 3 preference in the evaluation of that specific bid award. Certifications for Section 3 preference for business concerns must be received by FWHS prior to the submission of bids or along

with the bid Certification for eligibility as a Section 3 resident may be made at any time. Individuals or business concerns seeking to file for Section 3 preference shall contact:

A resident seeking preference in training and employment shall certify that he/she is a Section 3 resident by completing the appropriate certification form and attaching adequate proof of Section 3 eligibility.

A business concern seeking preference in the awarding of a contract or purchase shall certify that the business concern is a Section 3 business by completing the appropriate certification form and attaching adequate proof of Section 3 eligibility as required.

#### **Protest Procedure:**

FWHS desires to offer to concerned parties a procedure whereby complaints alleging non-compliance with the Section 3 Statute can receive prompt and equitable hearing and resolution. Protest surrounding FWHS's Section 3 program may be submitted in writing to the Section 3 Coordinator:

All complaints of non-compliance with the Section 3 Statue shall conform with the following requirements.

6. Complaints shall be filed in writing and shall contain the name, address, and phone number of the person filing the complaint, and a brief description of the alleged violation of the regulations.
  - Complaints shall be filed within thirty (30) calendar days after the complaint becomes aware of the alleged violation.
7. An investigation as may be appropriate, will follow the filing of a complaint. The investigation will be conducted by FWHS's Section 3 Coordinator. These rules contemplate informal, but thorough investigations, affording all interested persons and their representative, if any, an opportunity to submit testimony and/or evidence as may be available and relevant to the complaint.
- g. Written documentation as to the validity of the complaint and a description of the findings or resolution, if any, will be issued by the Section 3 Coordinator no later than thirty (30) days after the filing of a complaint.

In cases where concerned parties wish to have its complaint considered outside of FWHS, a complaint may Be filed with the Assistant Secretary for Fair Housing and Equal Opportunity, Department of Housing and Urban Development, Washington, D.C., 20410. A complaint must be received no later than 180 days from the date of the action or omission upon which the complaints based, unless the time for filing is extended by the Assistant Secretary for good cause shown.

**FWHS FORM S3-1**  
**SECTION 3 COMPLIANCE PLAN**

**All FWHS Contractors for Section 3 covered contracts must submit this form.**

Section 3 requires that, to the greatest extent feasible, employment and other economic opportunities generated by HUD funds be directed to low-income residents, particularly those who are recipients of government assistance for housing, and to business concerns which provide economic opportunities to low-income persons.

We provide the following Section 3 Compliance Plan to outline how we will meet the requirements of Section 3.

**Part I: Current Status as a Section 3 Business Concern (select one)**

We are a Section 3 business concern and are submitting [FWHS Form S3-2](#) and supporting documentation with our submission.

We are not a Section 3 business concern.

**Part II: Subcontracting (select one)**

We commit to subcontracting at least 10% of the total dollar amount of this contract (for building trade contracts), or 3% of the total dollar amount of this contract (for non-building trade contracts), to qualifying Section 3 business concerns. [FWHS Forms S3-3](#) is attached.

We do not intend to subcontract the minimum threshold percentage of 10% of the total dollar amount of this contract (for building trade contracts), or 3% of the total dollar amount of this contract (for non- building trade contracts), to qualifying Section 3 business concerns.

**Part III: Hiring (select one)**

We anticipate needing to hire new employees to complete this project and commit that 30% of the new hires will be Section 3 residents. Attached is [FWHS Form S3-4](#) outlining the specific hiring needs.

We anticipate needing to hire new employees to complete this project, but do not commit to hiring Section 3 residents. Attached is [FWHS Form S3-4](#) outlining our specific hiring needs.

We do not anticipate needing any new hires to complete this project.

**Part IV: Efforts That Will be Taken to Satisfy the Section 3 Requirements**

Review Section I of [Appendix to 24 CFR 135](#). Attach a narrative description outlining which, if any, of the “Example Efforts to Offer Training and Employment Opportunities to Section 3 Residents” will be used to achieve the Section 3 requirements. The narrative must include a description of how each committed action will be implemented (for example, if flyers will be posted, discuss where they will be posted, or if agencies will be contacted, outline which agencies will be contacted). FWHS is not accepting financial contributions to a Section 3 fund in lieu of efforts to comply with Section 3 requirements.

The undersigned company official does swear or affirm that the information on this form is true and correct to the best of his or her knowledge and there is no willful intent to mislead or commit fraud.

Signature \_\_\_\_\_ Company \_\_\_\_\_

Date \_\_\_\_\_

**FWHS FORM S3-2  
CERTIFICATION FOR SECTION 3 BUSINESS CONCERNS**

Name of Business (the "Company") \_\_\_\_\_

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

Type of Business:                     Corporation                     Partnership  
(Select one)                             Sole Proprietorship            Joint Venture

**Select the Section 3 business concern type you are claiming (A, B, or C) and attach the required supporting documentation as follows:**

**A. Section 3 resident-owned enterprise (51 percent or more owned by Section 3 residents)**

- I am a FWHS public housing or Section 8 HCV resident; or  
Copy of evidence of participation in a public assistance program; or
- Other evidence:

**Attach the following documentation for business entity type, as applicable:**

- Copy of Articles of Incorporation
- Partnership Agreement
- Assumed Business Name Certificate
- List of owners/stockholders and percentage of ownership of each
- Additional documentation, as necessary

**B. Section 3 status due to at least 30 percent of the Company's permanent, full-time employees are currently Section 3 residents, or were Section 3 eligible residents within 3 years of their date of first employment with the Company**

- List of all current full-time employees denoting each employee's hire date, and whether they qualify for Section 3 status, via [FWHS Form S3-5](#), Existing Employee List. Note: the Company must maintain a copy of [FWHS Form S3-6](#) for each Section 3 resident employee in their files.

**C. Section 3 status by subcontracting more than 25 percent of the dollar amount of the contract to qualified Section 3 business concerns**

- List of subcontracted Section 3 business (es) and subcontract amount(s) via [FWHS Form S3-3](#), Subcontracting Plan. Note: Contractors must collect a copy of this form, [FWHS Form S3-2](#), Certification for Section 3 Business Concerns, from each subcontractor claiming to be a Section 3 business concern, as well as the required supporting documentation, and retain this information in their files.

Under penalty of perjury, I certify that I am authorized to provide the above information. I attest to the truthfulness of my statements and agree to provide, upon request, additional documents to verify the information I have provided above.

Signature \_\_\_\_\_

Print Name \_\_\_\_\_ Date \_\_\_\_\_

**FWHS FORM S3-3  
SUBCONTRACTING PLAN**

Total Dollar Value of contract: \$ \_\_\_\_\_

Total Approximate Dollar Value of all subcontracts: \$ \_\_\_\_\_

List All Subcontractors and Briefly Describe Work They Will Perform	Approximate Dollar Value	Construction (C) or Non-Construction (NC)	Section 3 Business Concern (Y/N)
1.	\$		
2.	\$		
3.	\$		
4.	\$		
5.	\$		
6.	\$		

HUD's [Section 3 Clause](#) must be included in all contracts with subcontractors. Contractors must also collect [FWHS Form S3-2](#), Certification for Section 3 Business Concerns, from each subcontractor claiming to be a Section 3 business concern, as well as the required supporting documentation, and retain this information in their files.

The undersigned company official does swear or affirm that the information on this form is true and correct to the best of his or her knowledge and there is no willful intent to mislead or commit fraud.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Company/Contractor

\_\_\_\_\_  
Date



**FWHS FORM S3-4  
HIRING PLAN**

Project Name \_\_\_\_\_ Contractor/Subcontractor Name \_\_\_\_\_ Date \_\_\_\_\_

**Instructions:** In the chart below specify **all** new positions that will be needed for this project.

JOB CATEGORY/TITLE	Total # of Expected NEW HIRES and TRAINEES	Total # of Expected SECTION 3 NEW HIRES	Total # of New SECTION 3 TRAINEES	Expected HIRE DATE(S) of all new hires and trainees (note: there can be more than one date in each category)	Anticipated LENGTH OF HIRE (months)
<b>Professionals:</b>					
<b>Technicians:</b>					
<b>Office/Clerical:</b>  <b>Construction Work by Trade/Title</b>  <b>Trade:</b>					
<b>Trade:</b>					
<b>Trade:</b>					
<b>Other:</b>					
<b>Other:</b>					
<b>TOTALS:</b>					

The undersigned company official does swear or affirm that the information on this form is true and correct to the best of his or her knowledge and there is no willful intent to mislead or commit fraud. Additionally, the undersigned confirms that a [FWHS Form S3-6](#) will be collected from each Section 3 new hire or trainee and will be retained on file.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

**FWHS FORM S3-6  
CERTIFICATION FOR SECTION 3 RESIDENTS**

All residents of FWHS public housing developments and all of FWHS's Section 8 Housing Choice Voucher (HCV) holders qualify as Section 3 residents. Additionally, individuals residing in the [Fort Worth-Arlington MSA](#) who meet the **Low-Income** limits set forth below can qualify for Section 3 status.

<b>2017 Income Limits</b>	
<b>Number in Household</b>	<b>Low Income (80%)</b>
1 person	\$ 40,000
2 person	\$ 45,700
3 person	\$ 51,400
4 person	\$ 57,100
5 person	\$ 61,700
6 person	\$ 66,250
7 person	\$ 70,850
8 person	\$ 75,400

I am a FWHS public housing resident or Section 8 HCV holder (mark one): **YES** **NO**

If you are not a FWHS public housing resident or HCV holder, does your household fall at or below the applicable Low Income Limit outlined in the chart above (mark one)?: **YES** **NO**

The total number of members in my household = \_\_\_\_\_

My household's total annual income = \$ \_\_\_\_\_

My permanent address is: \_\_\_\_\_

I understand that the information above relating to the size and annual income of my family may require verification. I agree to provide documents upon request verifying this information and I authorize my employer to release information required for HUD or FWHS to verify my status as a Section 3 resident.

Under penalty of perjury, I certify that I have voluntarily provided the above information. I attest to the truthfulness of my statements fully understanding that this information is subject to verification by the appropriate agencies.

Signature \_\_\_\_\_

Print Name \_\_\_\_\_ Date \_\_\_\_\_

**FWHS FORM S3-5  
EXISTING EMPLOYEE LIST**

**All FWHS Contractors for Section 3 covered contracts must submit this form.**

A. PROJECT NAME AND LOCATION: \_\_\_\_\_

B. CONTRACTOR /SUBCONTRACTOR:

C. DATE:

D. TOTAL # OF EMPLOYEES:

E. TOTAL # OF SECTION 3 RESIDENTS:

**Instructions:** In the chart below list all current employees who will work on the above listed FWHS project. Or, if documenting that 30% of current employees are Section 3 residents for Section 3 business concern status, attach a listing or spreadsheet of all current employees, and list below all current employees that are Section 3 residents. Use additional pages if more space is needed.

EMPLOYEE NAME & ADDRESS	HIRE DATE	JOB CATEGORY/TRADE	SECTION 3 RESIDENT (Y or N)

The undersigned company official does swear or affirm that the information on this form is true and correct to the best of his or her knowledge and there is no willful intent to mislead or commit fraud. Additionally, if my company is claiming Section 3 business concern status due to 30% of the company’s employees being Section 3 residents, I confirm that a [FWHS Form S3-6](#) will be retained on file for each Section 3 resident employee.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date



**Exhibit C**

**M/WBE PARTICIPATION**

**M/WBE PARTICIPATION:** The Offeror agrees to use his/her best efforts to subcontract with minority business enterprises and/or women business enterprises (herein called M/WBE) certified as such or recognized by Fort Worth Housing Solutions as a certified M/WBE. Offeror shall make a good faith effort to subcontract a sufficient dollar amount with M/WBEs to ensure that a minimum of 20 percent of the final contract dollars are expended on one or more M/WBE. All adjustments that cause the contract price to increase will also increase the total amount that the Offeror must make a good faith effort to expend on M/WBEs.

**USING BEST EFFORTS TO FULFILL M/WBE REQUIREMENT:** In the event Fort Worth Housing Solutions has a reasonable belief that Offeror will not use his/her its best efforts to meet the 20 percent M/WBE participation goal, Fort Worth Housing Solutions reserves the right to pull work from the contract. Best efforts may be established by a showing that Offeror has contacted and solicited bids/quotes from subcontractors and worked with the Housing Authority to seek assistance in identifying M/WBEs.

**NOTIFICATION OF M/WBE PARTICIPATION:** Offeror agrees to promptly complete and return all M/WBE Confirmation of Participation and M/WBE Confirmation of Payment forms utilized by Fort Worth Housing Solutions to confirm M/WBE subcontracting by submitting copies of checks made payable to the respective M/WBE subcontractor(s) signed by the offeror.

\_\_\_\_\_  
**RESPONDENT**

\_\_\_\_\_  
**DATE**

Note: This form must bear a signature.

**RESPONDENT'S PROPOSED MBE/WBE PARTICIPATION FORM**

Respondent proposes to work with the following MBE/WBE participants:

<b><u>Name of Participant</u></b>	<b><u>MBE/WBE</u></b>	<b><u>Certifying Entity (City/Metro/HISD)</u></b>	<b><u>Percent of Total Work</u></b>

EQUAL EMPLOYMENT OPPORTUNITY – EMPLOYER INFORMATION REPORT

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

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

City, State, ZIP: \_\_\_\_\_

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

JOB CATEGORIES	OVERALL TOTALS	MALE					FEMALE				
		WHITE (Not of Hispanic Origin)	BLACK (Not of Hispanic Origin)	HISPANIC	ASIAN OR PACIFIC ISLANDER	AMERICAN INDIAN OR ALASKAN NATIVE	WHITE (Not of Hispanic Origin)	BLACK (Not of Hispanic Origin)	HISPANIC	ASIAN OR PACIFIC ISLANDER	AMERICAN INDIAN OR ALASKAN NATIVE
Officials and Managers											
Professionals											
Technicians											
Sales Workers											
Office and Clericals											
Craft Workers (Skilled)											
Operatives (Semi-Skilled)											
Laborers											
Service Workers											
TOTAL											

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

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

**ACORD**<sup>TM</sup>

# CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YY)

**THIS CERTIFICATE IS ISSUED AS MATTER OF INFORMATION ONLY AND CONFERS NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW.**

Date the Certificate is issued

**IMPORTANT: If the certificate holder is an ADDITIONAL INSURED, the policy(ies) must be endorsed. If SUBROGATION IS WAIVED, subject to the terms and conditions of the policy, certain policies may require an endorsement. A statement on this certificate does not confer rights to the certificate holder in lieu of such endorsement(s).**

**PRODUCER**

**1**

This block identifies the Agent or Broker and their address.

**2**

This block may include contact information for the broker / agency. It's often helpful to contact the broker directly for clarification, revision requests or renewal certificates. Some agencies will only communicate with their insureds and do not allow or respond to 3<sup>rd</sup> requests.

**INSURER(S) AFFORDING COVERAGE**

**3**

The insurance company will be identified here. The insurer letter appears again in the left-hand margin near the center of the page (**\*3**) to show which insurer provides which type of coverage.

**INSURED**

**4**

The Insured is Vendor, Contractor or lessee (the policy holder).

- INSURER A:
- INSURER B:
- INSURER C:
- INSURER D:
- INSURER E:

**COVERAGES**

THE POLICIES OF INSURANCE LISTED BELOW HAVE BEEN ISSUED TO THE INSURED NAMED ABOVE FOR THE POLICY PERIOD INDICATED. NOTWITHSTANDING ANY REQUIREMENT, TERM OR CONDITION OF ANY CONTRACT OR OTHER DOCUMENT WITH RESPECT TO WHICH THIS CERTIFICATE MAY BE ISSUED OR MAY PERTAIN, THE INSURANCE AFFORDED BY THE POLICIES DESCRIBED HEREIN IS SUBJECT TO ALL THE TERMS, EXCLUSIONS AND CONDITIONS OF SUCH POLICIES. AGGREGATE LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.

INSR LTR	TYPE OF INSURANCE	POLICY NUMBER	POLICY EFFECTIVE DATE (MM/DD/YY)	POLICY EXPIRATION DATE (MM/DD/YY)	LIMITS
<b>*3</b>	<b>GENERAL LIABILITY</b> <input type="checkbox"/> COMMERCIAL GENERAL LIABILITY <input type="checkbox"/> CLAIMS MADE <input type="checkbox"/> OCCUR GEN'L AGGREGATE LIMIT APPLIES PER: <input type="checkbox"/> POLICY <input type="checkbox"/> PROJECT				EACH OCCURRENCE \$ FIRE DAMAGE (Any one fire) \$ MED EXPENSE (Any one person) \$ PERSONAL & ADV INJURY \$ GENERAL AGGREGATE \$ PRODUCTS-COMP/OP AGG \$
	<b>AUTOMOBILE LIABILITY</b> <input type="checkbox"/> ANY AUTO <input type="checkbox"/> ALL OWNED AUTOS <input type="checkbox"/> SCHEDULED AUTOS <input type="checkbox"/> HIRED AUTOS <input type="checkbox"/> NON-OWNED AUTOS				COMBINED SINGLE LIMIT (Ea accident) \$ BODILY INJURY (Per person) \$ BODILY INJURY (Per accident) \$ PROPERTY DAMAGE (Per accident) \$ AUTO ONLY-EA ACCIDENT \$ OTHER THAN AUTO ONLY: EA ACC \$ AGG \$
<b>*3</b>	<b>GARAGE LIABILITY</b> <input type="checkbox"/> ANY AUTO				EACH OCCURRENCE \$ AGGREGATE \$
<b>*3</b>	<b>EXCESS LIABILITY</b> <input type="checkbox"/> OCCUR <input type="checkbox"/> CLAIMS M DEDUCTIBLE RETENTION \$				E.L. EACH ACCIDENT \$ E.L. DISEASE - EA EMPLOYEE \$ E.L. DISEASE - POLICY LIMIT \$
<b>*3</b>	<b>WORKERS' COMPENSATION AND EMPLOYERS LIABILITY</b>				WC STATUTORY LIMITS OTH-ER
	<b>OTHER</b>				

These sections show only the coverages provided through the agent or broker identified in "1" above. If the insured uses more than one broker, a separate certificate is needed to show those coverages.

These two column shows inception and expiration dates for policies identified. Pay special attention that coverage does not expire before or during your project or lease.

The coverages & limits required in the solicitation, or those which are applicable to the projects scope of work MUST be included on the certificate.

**DESCRIPTION OF OPERATIONS/LOCATIONS/VEHICLES/EXCLUSIONS ADDED BY ENDORSEMENT/SPECIAL/PROVISIONS**

**7**

Forth Worth Housing Solutions is endorsed as additional insured on the general and auto liability policies on a primary and non-contributory basis.

**CERTIFICATE HOLDER**

**8**

[Firm Name]  
[Address]

ATTN: PM contact or Procurement Team

**CANCELLATION**

SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, THE ISSUING INSURER WILL ENDEAVOR TO MAIL \_\_\_\_\_ DAYS WRITTEN NOTICE TO THE CERTIFICATE HOLDER NAMED TO THE LEFT, BUT FAILURE TO DO SO SHALL IMPOSE NO OBLIGATION OR LIABILITY OF ANY KIND UPON THE INSURER, ITS AGENTS OR REPRESENTATIVES.

AUTHORIZED REPRESENTATIVE

**9**

Must be signed by an authorized representative of the brokerage agency.



# Request for Taxpayer Identification Number and Certification

**Give Form to the  
requester. Do not  
send to the IRS.**

<b>Print or type See Specific Instructions on page 2.</b>	<b>1</b> Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.	
	<b>2</b> Business name/disregarded entity name, if different from above	
	<b>3</b> Check appropriate box for federal tax classification; check only <b>one</b> of the following seven boxes: <input type="checkbox"/> Individual/sole proprietor or single-member LLC <input type="checkbox"/> C Corporation <input type="checkbox"/> S Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/estate <input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) ▶ _____ <b>Note.</b> For a single-member LLC that is disregarded, do not check LLC; check the appropriate box in the line above for the tax classification of the single-member owner. <input type="checkbox"/> Other (see instructions) ▶ _____	<b>4</b> Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3): Exempt payee code (if any) _____ Exemption from FATCA reporting code (if any) _____ <i>(Applies to accounts maintained outside the U.S.)</i>
	<b>5</b> Address (number, street, and apt. or suite no.)	Requester's name and address (optional)
	<b>6</b> City, state, and ZIP code	
	<b>7</b> List account number(s) here (optional)	

<b>Part I Taxpayer Identification Number (TIN)</b>																																																																							
Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see <i>How to get a TIN</i> on page 3.  <b>Note.</b> If the account is in more than one name, see the instructions for line 1 and the chart on page 4 for guidelines on whose number to enter.	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="10" style="text-align: center;"><b>Social security number</b></td> </tr> <tr> <td style="width: 30px;"> </td><td style="width: 30px;"> </td><td style="width: 30px;"> </td><td style="width: 30px;"> </td><td style="width: 30px;"> </td><td style="width: 30px;"> </td><td style="width: 30px;"> </td><td style="width: 30px;"> </td><td style="width: 30px;"> </td><td style="width: 30px;"> </td> </tr> <tr> <td colspan="3" style="text-align: center;">-</td> <td colspan="4" style="text-align: center;">-</td> <td colspan="3"></td> </tr> <tr> <td colspan="10" style="text-align: center;"><b>or</b></td> </tr> <tr> <td colspan="10" style="text-align: center;"><b>Employer identification number</b></td> </tr> <tr> <td style="width: 30px;"> </td><td style="width: 30px;"> </td><td style="width: 30px;"> </td><td style="width: 30px;"> </td><td style="width: 30px;"> </td><td style="width: 30px;"> </td><td style="width: 30px;"> </td><td style="width: 30px;"> </td><td style="width: 30px;"> </td><td style="width: 30px;"> </td> </tr> <tr> <td colspan="3" style="text-align: center;">-</td> <td colspan="4" style="text-align: center;">-</td> <td colspan="3"></td> </tr> </table>	<b>Social security number</b>																				-			-							<b>or</b>										<b>Employer identification number</b>																				-			-						
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<b>Part II Certification</b>	
Under penalties of perjury, I certify that:	
1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and 2. 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 3. I am a U.S. citizen or other U.S. person (defined below); and 4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.	
<b>Certification instructions.</b> You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions on page 3.	

<b>Sign Here</b>	Signature of U.S. person ▶	Date ▶
------------------	----------------------------	--------

### General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

**Future developments.** Information about developments affecting Form W-9 (such as legislation enacted after we release it) is at [www.irs.gov/fw9](http://www.irs.gov/fw9).

### Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following:

- Form 1099-INT (interest earned or paid)
- Form 1099-DIV (dividends, including those from stocks or mutual funds)
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-S (proceeds from real estate transactions)
- Form 1099-K (merchant card and third party network transactions)

- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
- Form 1099-C (canceled debt)
- Form 1099-A (acquisition or abandonment of secured property)

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

*If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding? on page 2.*

By signing the filled-out form, you:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding, or
3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income, and
4. Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct. See *What is FATCA reporting?* on page 2 for further information.