

HOUSING AUTHORITY OF THE CITY OF PITTSBURGH

**REQUEST FOR PROPOSALS FOR
LIFE INSURANCE, LONG TERM DISABILITY AND ACCIDENTAL
DEATH & DISMEMBERMENT INSURANCE
RFP# 650-25-14**

Due:
September 15, 2014
2:00 P.M.

**To: Mr. Kim Detrick
Procurement Director/Contracting Officer
100 Ross Street.
2nd Floor
Pittsburgh, PA 15219**

SECTION I INTRODUCTION

The HACP is a municipal corporation, formed under the U.S. Housing Act of 1937, codified at 42 U.S.C. Section 1401 et seq. as amended and the Housing Authority Law of Commonwealth of Pennsylvania codified at 35 P.C. 1542, et. seq. as amended. As such, the HACP is charged with providing “affordable decent, safe and sanitary housing for low-income persons.”

The HACP has approximately 319 employees and services over 10,000 residents. The Authority itself maintains approximately 5208 units of rental housing; and, through its Housing Choice Voucher Program (HCV) /Section 8, funds the rental of more than approximately 5247 other units of privately owned housing.

Major operational departments include Property Management, Maintenance, Occupancy, Housing Choice Voucher Program (HCV) and Development and Modernization. Major administrative departments include Legal, Finance, Management Information Systems, and Human Resources. Our public and community relations departments are Community Affairs and Resident Self-Sufficiency. All departments work together to achieve the goals of the Authority that are set by the Board of Commissioners. Day to day decision-making rests with the Executive Director, who reports to the Board of Commissioners on a regular basis.

The Housing Authority of the City of Pittsburgh seeks proposals from persons or organizations qualified to provide: Group Term Life, Accidental Death and Dismemberment (AD&D) and Group Long Term Disability (LTD) benefits. A more detailed scope of services is provided in Section II of the Request for Proposals (“RFP”)

The Housing Authority employs approximately 319 full time and part time individuals as of August 2014. Of those, approximately 271 full time employees are eligible to participate in Group Term Life, Accidental Death and Dismemberment (AD&D) and Group Long Term Disability (LTD) (part time employees are not eligible to participate in benefits). Of the eligible employees, approximately 271 participate in the Group Term Life and 271 in the Accidental Death and Dismemberment and approximately 243 participate in Group Long Term Disability being solicited by this RFP. Please see details provided in our census (Attachment K). We will begin labor negotiations with all unions shortly. There are six (6) labor contracts covering all union employees at the Housing Authority. All six (6) labor contracts expire December 31, 2014. In addition, the Housing Authority currently has 5 individuals/families enrolled in our benefits under COBRA.

The Housing Authority is soliciting proposals directly from providers (broker services are not engaged and broker fees/commission should **not** be included in rate proposals) for Group Term Life, Accidental Death and Dismemberment (AD&D) and Group Long Term Disability (LTD) Benefits for its work force. Election/participation in any of these benefits is optional. Regular full time employees may elect participation in these benefits upon hire and temporary full time employees may elect participation after completing 90 consecutive days of employment. Full time employees are not required to participate in our benefit offerings for Group Term Life, Accidental Death and Dismemberment (AD&D) and Group Long Term Disability (LTD)

coverage. Part time employees are not eligible to participate in any of the benefits. The effective date for coverage is always the first (1st) of the month and termination of coverage is always effective the last day of the month.

Contracts for Group Term Life, Accidental Death and Dismemberment (AD&D) and Group Long Term Disability (LTD) coverage will be awarded and administered through the Department of Human Resources.

The proposer who is awarded a contract under this RFP must be committed to providing cost-effective employee benefits and will be required to meet with, report to, and address the needs of administration of the HACP in providing Group Term Life, Accidental Death and Dismemberment (AD&D) and Group Long Term Disability (LTD) Benefit Insurance Programs. The Human Resources Director will have overall responsibility for contract administration. Day-to-day enrollment, processing, bill reconciliation/payment and communication will be handled by the Benefits Manager. The Benefits Manager will be assisted by the WC/Benefits Assistant.

The Housing Authority is seeking to contract directly with insurance providers (without broker services/fees) to provide Group Term Life, Accidental Death and Dismemberment (AD&D) and Group Long Term Disability (LTD) benefits to its full time employees. Our current 3-year contract for Group Term Life, Accidental Death and Dismemberment (AD&D) and Group Long Term Disability (LTD) benefits expires December 31, 2014. Our current provider is:

<u>Insurance Type</u>	<u>Provider</u>	<u>Participation Structure</u>
Group Term Life		
Accidental Death and Dismemberment (AD&D)	Lincoln Financial Group	Employee
Group Long Term Disability (LTD)		

It is the goal of the Housing Authority to enter into a 3-year contract(s) for the period January 1, 2015 through December 31, 2017 with a ceiling placed on rate increases for years two (2) and three (3) of the contract.

Proposers may bid both as a **competing provider** within the Housing Authority (alongside other provider plans) and as an **exclusive provider** (the only provider for a particular type of insurance) in any or all types of insurance covered by this solicitation. Be certain to clearly state if your proposal/rates are to be considered as a “competing provider” or “exclusive provider” and feel free to submit rates for both types of offerings.

It is the intent of the Authority to continue providing the same type of benefits currently offered to the Authority’s employees. **NOTE: In your primary proposal (so marked), if you identify a benefit that you are unable to match exactly because of your current approved plans/benefits filed with the Commonwealth of Pennsylvania, you must clearly state so and**

identify the closest match to that benefit. Please “bold and underline” this information in your primary rate/fee proposal and schedule of benefits.

Your **primary** rate/fee proposal and schedule of benefits (so marked) must take into account the Authority’s desire to provide the same type of benefits. We will or soon will be in labor negotiations and we are not authorized to adjust benefits at this stage. Proposers may, however, submit **secondary** (so marked) and **tertiary** (so marked) rate/fee proposals that improve the rate/fee structure and we will review them with our various unions during collective bargaining. **You must be very clear in your proposal submissions in identifying the adjustments you are proposing for your secondary and tertiary proposals that allow for improvements in rates/fees.**

The Authority reserves the right to allow its affiliates to use the services provided in this contract.

The Authority is contemplating the award of a professional service contract or contracts for a period of three (3) years in the form of the **Contract (Attachment A)** through this solicitation process. (Shaded Areas should be filled out; complete contract should be returned as part of your proposal.)

Claims Experience Life Report for 2008-2011
As provided in (**Attachment L**).

Claims Experience Long Term Disability Report for 2008-2011
As provided in (**Attachment L1**).

Any questions regarding this Request for Proposals should be in writing and directed to:

Mr. Kim Detrick-Procurement Director/Contracting Officer
Housing Authority of the City of Pittsburgh
100 Ross St., 2nd Floor
Pittsburgh, PA 15219
412-456-5116, Option 1
412-456-5007 fax
Kim.Detrack@hacp.org

A complete proposal package may be obtained from:

Business Opportunities Section of the HACP website, www.hacp.org

Following are the Key Dates associated with this Request for Proposals:

September 15, 2014
2:00 P.M.

Deadline for Submission of Proposals
Mr. Kim Detrick – Procurement
Director/Contracting Officer
Procurement Department
Housing Authority of the City of Pittsburgh
100 Ross St. 2nd Fl.
Pittsburgh, PA 15219

September 4, 2014
2:00 P.M.

Pre-submission Meeting:

Housing Authority of the City of Pittsburgh
100 Ross St. 2nd Fl.
Pittsburgh, PA 15219

September 5, 2014
2:00 P.M.

Deadline for the submission of written
questions.

****Deadlines are subject to extension at HACP discretion and will be communicated as an
addendum to this solicitation.**

SECTION II SCOPE OF SERVICES

The selected offeror will be responsible for providing Group Term Life, Accidental Death and Dismemberment and Group Long Term Disability.

The Scope of Services shall include, but is not limited to the following:

1. Provide employee benefits in the area(s) of basic group Life and Accidental Death & Dismemberment and Long Term Disability.
2. Participate in the open enrollment of the work force.
3. Manage/pay claims in accordance with the contract issued as a result of an award emanating from this RFP.
4. Provide an adjudication system to members for dispute resolution.
5. Issue monthly bills to the Authority based on enrollment and contracted rates or specify what information will be needed for HACP to submit self-administered bill payments.
6. Attend meetings with the Housing Authority on an at least quarterly basis to review and analyze data and develop solutions to contain costs.
7. Provide reports and drill-down data to ensure an in-depth full analysis and copy HACP authorized personnel on all final decisions affecting claims.
8. Comply with all privacy regulations, including safeguarding the privacy and confidential medical data of members enrolled through the Authority program.
9. Perform any other services not expressly stated but considered to be an industry standard for employee benefit insurance programs for Life/AD&D, and Long Term Disability Income Replacement.
10. Provide any and all other services necessary to assure an effective employee benefit program.

Additional Information:

There is no age reduction schedule for the life insurance component
Current insurance rates will not be released as part of this solicitation
HACP will not provide copies of the current booklets as part of this solicitation
For long term disability, the employee pays ½ and HACP pays ½ of the premium cost
Life insurance is issued at 1.5 times annual salary.
Benefits Booklets are to be provided to all HACP employees
HACP staff will ensure all forms and enrollments are completed
HACP does not offer supplemental life insurance

The Professional Services Contract that is anticipated for use to obtain these services is included herein as **Attachment A**.

SECTION III GENERAL REQUIREMENTS

An Offeror may be an individual or a business corporation, partnership, firm, joint venture or other legal entity duly organized and authorized to do business in the City of Pittsburgh, financially sound and able to provide the services being procured by HACP.

If an Offeror has been debarred, suspended or otherwise lawfully precluded from participating in any public procurement activity, such firm shall disclose that information in its offer, which may be sufficient ground for disqualification. If the selected firm fails to disclose such information and HACP discovers it thereafter, then HACP could terminate the contract.

Each Offeror must be in good standing with HACP, and any Federal, State or Municipality that has or has had a contracting relationship with the firm. Therefore, if a Federal, State or Municipal entity has terminated any contract with an Offeror for deficiencies or defaults, that Offeror is not eligible to submit a Response to this Solicitation.

If Offeror is not in good standing with HACP, and/or any Federal, State or Municipality this must be disclosed.

Offeror must have and maintain all necessary insurance to cover malpractice liability and workers' compensation and submit proof of it with their proposal submission.

SECTION IV CONTENT OF RESPONSE DOCUMENTS

Offerors submitting Proposals should fully read and comprehend the *Instructions to Offerors Non-Construction* provided in **Attachment B** and *General Conditions – Non Construction* provided in **Attachment C**. Proposals received without all of the required information may be deemed non-responsive. Offerors must submit one original plus three (3) paper copies of their technical proposal and one (1) electronic copy in .PDF format on a CD, and one (1) original paper, one (1) paper copy and (1) electronic copy in .PDF format of the fee proposal. Proposals must include, in the same order as below and using the forms attached hereto, the following information, exhibits and schedules:

A. General Information

1. Letter of Interest (Cover letter)
2. Type of Organization; Corporation, Partnership, Joint Venture or Sole Proprietorship. Names of shareholders, partners, principals and any other persons exercising control over the Firm.
3. Description of the Offeror's capacity including staff resources
4. Organizational Certifications:
 - (a) Copies of Certificate of Incorporation, Partnership Agreement, Joint Venture or other organizational document.
 - (b) A corporate resolution signed by the Secretary of the Corporation and notarized, certifying the name of the individual(s) authorized to sign the offer, the contract and any amendments thereto.

B. Previous Related Experience

1. Describe why Offeror feels its organization is qualified to provide the requested services. Provide information about Offeror's past experience of same or similar services. Such listing shall include at least the following information for a minimum of three (3) references.
 - i. Name of the contracting entity. If the Offeror has performed work for any housing authority, including HACP, that housing authority must be listed as a reference.
 - ii. Name, title and a telephone number of a contract person for each identified contracting entity to permit reference checks to be performed. The identified party must be one who has first-hand knowledge regarding the operation of the contracted facility or project and who was involved in managing the contract between the Offeror and the contracting entity.

C. Proposed Staffing and Sub-consultants Responsibilities and Qualifications

Provide the following information relative to the proposed staffing and sub-consultants for this contact:

1. Provide background information regarding each identified Staff member that accurately describes his or her employment history and relevant experience providing services similar to those described in this Request for Proposals.

2. Description of the Scope of Services for at least three (3) projects in which the Staff and/or sub-consultant has provided services similar to those described in this Request for Proposals. Please include the individual's role in each project and all relevant aspects of each project.

D. Methodology

1. Project Approach: Provide a brief narrative of the Offeror's approach to the services described in this Request for Proposals.
 - (a) Location of claims office(s) that will handle the Authority's group Life/AD&D, Long Term Disability policies.
 - (b) Any plan for which your company furnishes a proposal must provide a detailed list of benefits as listed below. In addition, the Authority will consider other plan designs during contract negotiations resulting in various cost savings.

Life Insurance = 1.5 of annual base pay rounded to the next \$1,000.00 amount –
(Minimum benefit \$23,000; Maximum Benefit: Lesser of 1.5 times annual compensation or \$ \$350,000)

- Covered Classes – All active, full-time employees working minimum 40 hours per week or those Part time (working less than 40 hours) on an approved reduced schedule due to Medical Leave
- Eligibility Waiting Period – First of month on or after 90 days of active service

Continuation Options:

- Layoff- Maximum Benefit Period: Last day of month in which layoff begins.
- Employer approved Medical Leave from own occupation:
Maximum Benefit Period: Up to 24 months
- Family Medical Leave
Maximum Benefit Period: 12 weeks full time or reduced work schedule due to Medical Leave
- Military Service Leave
Maximum Benefit Period: Up to day Employee fails to return to work as outlined in USERR Act of 1994

Waiver of Premium
Waiting Period

9 months from date
Employee's Active Service
ends at work

Describe Waiver of Premium Provisions.

Max. Benefit Period:
Applicable Coverage's

To age 65
Life Insurance Benefits for
Employee

Terminal Illness Benefit	50% of Life Insurance. Benefit in force on date Insured is determined to be Disabled. Maximum benefit: \$175,000. (50% of \$350,000.)
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A.D. & D. = 1.0 annual base pay rounded to the next \$1,000.00 amount
(Minimum \$15,000; Maximum \$250,000)

- Covered Classes – All active, full-time employees working minimum 40hrs/week or those Part-time (working less than 40 hours) on an approved reduced schedule due to Medical Leave
- Eligibility Waiting Period – First of month following 90 days of active service
- Time Period for Loss – Covered Loss must occur within 365 days of Covered Accident

- Maximum Age for Insurance None
- Schedule of Covered Losses

Covered Loss	Benefit
Loss of Life	100% of Principal Sum
Loss of Two or More Hands or Feet	100% of Principal Sum
Loss of Sight of Both Eyes	100% of Principal Sum
Loss of One Hand or One Foot And Sight in One Eye	100% of Principal Sum
Loss of Speech/Hearing both ears	100% of Principal Sum
Quadriplegia	100% of Principal Sum
Paraplegia	50% of Principal Sum
Hemiplegia	50% of Principal Sum

Coma

Monthly Benefit	1% of Principal Sum
Number of Monthly Benefits	11
Lump Sum Benefit	100% of Principal Sum
When Payable	Beginning of 12 th Month
Loss of One Hand or Foot	50% of Principal Sum
Loss of Sight in One Eye	50% of Principal Sum
Loss of Speech	50% of Principal Sum
Loss of Hearing (both ears)	50% of Principal Sum
Loss of all four fingers of same hand	50% of Principal Sum
Loss of Thumb, Index finger same hand	25% of Principal Sum

ADDITIONAL AD & D COVERAGES

- Exposure and Disappearance Coverage-Principal Sum multiplied by percentage applicable to Covered Loss

ADDITIONAL ACCIDENT BENEFITS

- Seatbelt and Airbag Benefit:

- Seatbelt Benefit: 10% of Principal Sum – Maximum \$25,000
- Airbag Benefit: 5% of Principal Sum – Maximum \$5,000
- Default Benefit: \$1,000

LTD = Income replacement –60% of monthly base pay–

- Covered Classes – All active, full-time employees working minimum 40 hours per week or those Part-time (working less than 40 hours) on an approved reduced schedule due to Medical Leave
- Eligibility Waiting Period - First of month on or after 90 days Active Service
- Definition of Disability: Employee disabled if, solely because of Injury or Sickness, he/she is unable to perform material duties of his/her Regular Occupation.
- Provide benefits if employee is working in any occupation for which he or she is qualified based on education, training or experience that yields less than 60% of wage or salary as reported in effect prior to date Disability began
- Elimination Period: 180 Days
- Definition of Covered Earnings: Employee's wage/salary in effect just prior to date Disability begins. Does not include bonus, commissions, overtime pay or other extra compensation.
- Gross Disability Benefit Lesser of 60% of monthly covered earnings rounded to nearest dollar or Maximum Disability Benefit
- Maximum Disability Benefit \$15,000 per month
- Minimum Disability Benefit Greater of \$100 or 10% of Monthly Benefit prior to any reductions for Other Income benefits
- Describe Waiver of Premium Provisions
- Describe "Other Income" Benefits
- ADDITIONAL BENEFITS:
- Survivor Benefit 100% of sum of 1st full Disability Benefit plus amount of any Disability Earnings by which benefit had been reduced.
- Maximum Benefit Period Single lump sum equal to 3 monthly Survivor Benefits.

Age when Disability Begins

Max. Benefit Period

62 or under	Emp. 65 th birthday or at min., date 42 nd Monthly benefit is payable
Age 63	Date 36 th Monthly Benefit payable
Age 64	Date 30 th Monthly Benefit payable
Age 65	Date 24 th Monthly Benefit payable
Age 66	Date 21 st Monthly Benefit payable
Age 67	Date 18 th Monthly Benefit payable
Age 68	Date 15 th Monthly Benefit payable
Age 69 or older	Date 12 th Monthly Benefit payable

E. Certifications and Representations of Offerors

Each Offeror must complete the Certifications and Representations of Offerors provided in Attachment D.

F. Minority and Women Business Participation Plan

HACP MBE and WBE Goals. It is the policy of HACP to ensure that Minority Business Enterprises (MBEs) and Women-owned Businesses (WBEs) are provided maximum opportunity to participate in contracts let by HACP. In accordance with Executive Order 11625, HACP has established a minimum threshold of eighteen percent (18%) of the total dollar amount for MBE utilization in this contract. HACP has established a seven percent (7%) minimum threshold for participation of WBEs, and, HACP strongly encourages and affirmatively promotes the use of MBEs and WBEs in all HACP contracts. For these purposes, an MBE is defined as "any legal entity other than a joint venture, organized to engage in commercial transactions, that is at least fifty-one percent (51%) owned and controlled by one or more minority persons." Also, a minority person is defined as a member of a socially or economically disadvantaged minority group, which includes African-Americans, Hispanic-Americans, Native-Americans, and Asian-Americans. A WBE/MBE is defined as "any legal entity other than a joint venture, organized to engage in commercial transactions, that is at least fifty-one percent (51%) owned and controlled by a female.

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. HACP's Procurement Policy defines "Best Efforts" in compliance with MBE/WBE goals to mean that the contractor must certify and document with its bid or proposal that it has contacted in writing at least ten (10) certified MBE/WBE subcontractors to participate in the proposed contract with HACP or lesser number if the contractor provides documentation that ten (10) certified MBE/WBE contractors could not be identified. Each contractor shall certify as to same under penalty of perjury and shall submit the back-up documentation with its bid or proposal. **Any bid or proposal received from a contractor that does not contain such certification and back-up documentation acceptable to HACP may be deemed non-responsive by HACP.**

If you have any questions regarding the HACP MBE/WBE goals please contact Danielle Davis, MBE/WBE Compliance Specialist, by e-mail at Danielle.Davis@hacp.org or by

contacting her at the Procurement Department, Housing Authority of the City of Pittsburgh, 100 Ross Street, 2nd Floor, Suite 200 Pittsburgh PA 15219, telephone (412) 456-5000 x8506. Proposals must demonstrate how the Offeror intends to meet or exceed these goals. Also, complete the table provided in Attachment E and include with your proposal.

G. Section 3 Participation

Section 3 of the Housing and Urban Development Act of 1968, as amended (12 U.S.C. 1701, et seq.) (the "Act") requires the Housing Authority of the City of Pittsburgh to ensure that employment and other economic and business opportunities generated by financial assistance from the Department of Housing and Urban Development ("HUD"), to the greatest extent feasible, are directed to public housing residents and other low income persons, particularly recipients of government housing assistance, and business concerns that provide economic opportunities to low and very low income persons.

To comply with the Act HACP requires its contractors to provide equal employment opportunity to all employees and applicants for employment without regard to race, color, religion, sex, national origin, disability, veteran's or marital status, or economic status and to take affirmative action to ensure that both job applicants and existing employees are given fair and equal treatment.

The goal of this policy is to obtain a reasonable level of success in the recruitment, employment, and utilization of HACP residents and other eligible persons and/or businesses by contractors working on contracts partially or wholly funded with HUD monies. HACP shall examine and consider a contractor's potential for success in providing employment and business opportunities to those covered under Section 3 prior to acting on any proposed contract award. In response to any RFP, RFQ or IFB HACP will require submission of the Section 3 Opportunities Plan and roster of current employees, and certification that the bidder will comply with the requirements of Section 3 either by hiring Section 3 employees to directly perform under the contract or by committing a dollar amount to HACP's Section 3 program in an amount consistent with the chart below.

Below are the HACP Section 3 Guidelines as listed in the HACP Program Manual:

RESIDENT HIRING REQUIREMENTS / RESIDENT HIRING SCALE

TOTAL LABOR DOLLARS USE TOTAL CONTRACT AMOUNT FOR SERVICE CONTRACTS	RESIDENT LABOR AS A % OF TOTAL LABOR A. DOLLARS
Labor dollars \$25,000 but less than \$100,000	10% of the labor dollars
\$100,000, but less than \$200,000	9% of the labor dollars
At least \$200,000, but less than \$300,000	8% of the labor dollars
At least \$300,000, but less than \$400,000	7% of the labor dollars
At least \$400,000, but less than \$500,000	6% of the labor dollars
At least \$500,000, but less than \$1 million	5% of the labor dollars

At least \$1 million, but less than \$2 million	4% of the labor dollars
At least \$2 million, but less than \$4 million	3% of the labor dollars
At least \$4 million, but less than \$7 million	2% of the labor dollars
\$7 million or more	½ to 1 % of the labor dollars

***A copy of HACP's Section 3 Program Manual is available for download at www.HACP.org*

A copy of HUD's Section 3 requirement is provided in **Attachment F**. If you have any questions regarding the Section 3 Requirements or would like to discuss goals and planning for Section 3 Requirements please contact Cynthia Marbury, by e-mail at Cynthia.Marbury@hacp.org or by telephone (412) 456-5000 ext. 1026. Or contact Lloyd Wilson by email at Lloyd.Wilson@hacp.org or by telephone (412) 456-5000 ext. 1048. Proposals must demonstrate how the Offeror intends to meet or exceed the Authority's Section 3 requirements. Proposals submitted without a Section 3 plan may be deemed nonresponsive. Also, complete **Attachment F Section 3 Opportunities Plan** and include with your proposal.

Any bid or proposal received from a contractor that does not contain a Section 3 Opportunities Plan or certification and back-up documentation acceptable to HACP may be deemed non-responsive by HACP.

H. Fee Proposal

In a separate sealed envelope, provide the Offeror's fee proposal. The fee proposal should include a detailed cost breakdown. (**Attachment H**)

I. Firm Demographics

Provide demographic description of all employees of your firm using the table provided in **Attachment G**

J. TIN/W-9 Form

Complete a W-9 Request for Tax Payer Identification Number and Certification, as provided in **Attachment I**.

K. MBE/WBE Letter of Intent

Complete a Letter of Intent for **each** MBE/WBE firm contacted, as provided in **Attachment J**.

L. Current Census

Authority is providing a current Employee Census as of August 1, 2014 **Attachment K**. to assist you in preparing your proposal and rate/fee submission.

M. Experience Data (Group Term Life & Long Term Disability)

Authority is providing a current Employee Experience Data as of August 1, 2014 **Attachment L**. & **Attachment L1**. to assist you in preparing your proposal and rate/fee submission.

SECTION V EVALUATION CRITERIA

The Evaluation Committee will evaluate and will score each proposal that is submitted as a complete response. It is noted that the proposed Fee will be evaluated separately. Responses may receive a maximum score of one hundred (100) points subdivided as follows:

Experience of Offeror: **Maximum 15 points**

Demonstrated successful experience and capability of the proposed staff and sub-consultants proposed for this project in providing the services described in this Request for Proposals.

Capacity: **Maximum 15 points**

Demonstrated ability of the Offeror to provide the resources (staffing, equipment, office facilities and other) necessary for the timely and efficient implementation of HACP's goals and objectives as described in this solicitation.

Proposed Fee: **Maximum 30 points**

Proposed rates and level of service are reasonable and appropriate in relation to the services requested.

Methodology: **Maximum 15 points**

The Offeror's proposed methodology is reasonable and logical and will ensure that HACP requirements will be met and indicates that the Offeror has a clear understanding of the scope of services required.

MBE/WBE Participation **Maximum 10 points**

Demonstrated experience and commitment of the Offeror to assist the HACP in meeting its requirement and goals related to Minority/Women Business Participants.

Section 3 **Maximum 15 points**

Demonstrated commitment to assist the HACP in meeting its requirements and goals related to Section 3.

Deductions

Points may be deducted for failure to submit all required documents or for submitting irrelevant or redundant material.

SECTION VI PROCUREMENT AND AWARD PROCESS

Pursuant to 24 C.F.R. Section 85.36 (d)(3), Network Engineering and Support are being procured as described in Section II of this solicitation. The following instructions are intended to aid Offerors in the preparation of their Proposals:

A. Pre-Submission Conference

A pre-submission conference will be conducted on **Thursday, September 4, 2014 at 2:00 P.M., at 100 Ross Street, 2nd Floor, Pittsburgh, PA 15219**. Nothing discussed or expressed at the Pre-Submission Conference will change, alter, amend or otherwise modify the terms of this Solicitation unless a subsequent written amendment (addendum) is issued. Verbal responses by HACP's representatives shall not constitute an amendment or change to this Solicitation.

Material issues raised and addressed at the Pre-Submission Conference shall be answered solely through an addendum to this Solicitation. Likewise, ambiguities and defects of this Solicitation raised at the Pre-Submission Conference shall be corrected by a written amendment only, which, if issued, shall form an integral part hereof.

Although not mandatory, all prospective respondents are strongly encouraged to attend the Pre-Submission Conference. Failure to attend will not excuse the legal contractual duty imposed by this Solicitation and the subsequent contract on each respondent to familiarize itself with the request for proposals.

Each firm shall submit in writing to the Contract Manager to request additional information as follows:

1. Describe any items, information, reports or the like, if any, that the Proposer will require from the HACP in order to comply with the scope of Services.
2. Identify any revisions to the Sample Contract that the Proposer will require in order to provide the services identified herein. Proposers are required to submit requests for revisions to the Contract, if any, to the HACP in writing at the time of proposal submission.

B. Amendments to Solicitation

Any and all amendments to this Solicitation shall be sent by certified mail, return receipt requested, electronic mail, and/or by fax, to all potential Offerors who attend the Pre-Submission Conferences and/or receive the solicitation materials.

Notwithstanding any information that may be contained in the Solicitation and amendments thereto, Offerors are responsible for obtaining all information required thus enabling them to submit Responses.

C. Submission of Proposals and/or Amendments to Proposals; Deadlines

Responses may be hand-delivered or sent by certified or registered mail, return receipt requested, to the following address:

Mr. Kim Detrick
Procurement Director/Contracting Officer
Housing Authority of the City of Pittsburgh
100 Ross Street, 2nd Floor
Pittsburgh, PA 15219

Proposals must be received at the above address no later than **September 15, 2014 at 2:00 P.M.**, regardless of the selected delivery mechanism.

Each Response will be date-time stamped immediately upon its receipt at HACP to document its timeliness. Any Proposal received after the specified deadline shall be automatically rejected and will be returned unopened except as identified in the Instructions to Offerors attached hereto.

Any amendments to a response must be received before the specified response due date and time established for the delivery of the original Proposal except as identified in the Instructions to Offerors attached hereto.

D. Evaluation and Award Process

HACP staff will review each Proposal to determine if it was complete and if it was responsive to this Request for Proposals. HACP may allow an Offeror to correct minor deficiencies in its Proposal that do not materially affect the Proposal.

All Proposals determined to be complete and responsive will be provided to an HACP Evaluation Committee. HACP's Evaluation Committee will evaluate the Proposals utilizing the criteria established in Section V of this Request for Proposals.

HACP reserves the right to interview Offerors in the competitive range, request additional information from selected Offerors and/or negotiate terms and conditions with selected Offerors.

HACP will perform a responsibility determination of the highest ranked Offeror which may include reference and financial background checks.

HACP will award a contract to the highest-ranked Offeror or Offerors determined to be responsive and responsible and whose offer is in the best interest of HACP.

HACP shall not be responsible for and will not reimburse any Offeror for any cost(s) associated with preparing a proposal.

A Proposal submitted by an Offeror does not constitute a contract, nor does it confer any rights on the Offeror to the award of a contract. A letter or other notice of Award

or of the intent to Award shall not constitute a contract. A contract is not created until all required signatures are affixed to the contract.

Prior to contract execution of any professional service contracts which have a potential amount of \$25,000.00 or greater, the selected firm may be required to appear before and present a Minority and Woman Owned Business participation plan to the City of Pittsburgh Equal Employment Opportunity Review Commission for approval. Any HACP contract which has a potential amount of \$50,000.00 or more is subject to approval by the HACP Board of Directors.

ATTACHMENT A

ATTACHMENT A

CONTRACT

(Shaded areas of the contract and Contract Exhibits must be filled out and contract returned with proposal)

**PROFESSIONAL SERVICE CONTRACT
FOR
GROUP TERM LIFE, ACCIDENTAL DEATH AND DISMEMBERMENT, GROUP LONG
TERM DISABILITY INSURANCE.**

This Agreement is made as of _____ between HOUSING AUTHORITY OF THE CITY OF PITTSBURGH, a body corporate and politic created under the provisions of the Housing Authorities Law, as amended, having its principal office at 200 Ross Street, Pittsburgh, Pennsylvania 15219 ("**Authority**"), and _____, having its principal office at _____ ("**Contractor**").

PREAMBLE

Authority desires the Contractor to provide Group Term Life, Accidental Death and Dismemberment, Group Long Term Disability Insurance.

Contractor desires to provide to the Authority Group Term Life, Accidental Death and Dismemberment, Group Long Term Disability Insurance.

AGREEMENT

In consideration of the mutual covenants and promises set forth herein, the parties hereto, intending to be legally bound hereby, agree as follows:

1. **Engagement.** Authority hereby engages Contractor to render the following services set forth on **Exhibit A** (the "**Services**").

Contractor hereby accepts such engagement and covenants that Contractor will devote and will cause its employees to devote their best efforts, knowledge and skill to the performance of the Services and such additional services as may be mutually agreed upon by Authority and Contractor.

It is understood that the Contractor's Services shall be rendered at such times and places as directed by Authority.

Authority may at any time make changes to the Services to be performed. If any such change causes an increase or decrease in the rates or the time required for performance of the

Services, Authority shall make an equitable adjustment in the rates and the time required for performance of the Services, and shall modify this Agreement accordingly.

2. **Contractor Conflicts.** Contractor agrees that neither Contractor nor its employees shall, directly or indirectly, engage in any activity, which would detract from Contractor's ability or its employees' ability to apply their best efforts, knowledge and skill to the performance of the Services. Contractor is charged with the responsibility to promptly disclose to Authority any situations that may create possible conflicts of interest so that appropriate action can be taken to address such situations. No member, official, or employee of Authority, during his or her tenure or for one year thereafter, shall have any interest in this Agreement or the proceeds thereof.

Contractor may not participate in the award or administration of a contract supported by Federal funds if a conflict of interest, real or apparent, would be involved.

In the event Contractor is or becomes aware of a conflict of interest and fails to disclose the conflict to Authority; the Authority may immediately terminate this Agreement pursuant to paragraph 7(ii)(b) hereof.

3. **Compensation.** In full compensation for the Services to be rendered by Contractor to Authority hereunder, Authority agrees to pay Contractor for the Services in accord with the Fee Schedule set forth on **Exhibit B**; however, the compensation of costs for services not to exceed fee of \$ _____. No work or expenses for which an additional cost or fee will be charged by Contractor shall be furnished without the prior written consent of Authority.

Contractor shall submit monthly invoices to Authority, which invoices shall include an itemization of the hours expended by Contractor and Contractor's employees and the nature of the Services performed and shall be prepared in a form reasonably satisfactory to Authority.

Contractor shall use its reasonable business efforts to submit invoices within 45 days of rendering Services.

All invoices should be mailed to: Housing Authority of the City of Pittsburgh
100 Ross Street, 2nd Fl., Suite 200
Pittsburgh, PA 15219
Attn: Invoicing and Receiving

Authority shall use its reasonable business efforts to process and pay each such invoice within 30 days of its receipt.

4. **Term.** The commencement date for performing the Services shall be the date of this Agreement, listed above, and will continue for a term of three (3) years, unless sooner terminated as provided herein.

5. **Contractor's Obligations.** Contractor shall comply with the following:

(a) If requested, Contractor will submit monthly written narrative progress reports to the Authority. Contractor shall retain all records in connection with this Agreement or the Services provided herein for a period of three years after all payments required herein are made and all other pending matters are closed.

(b) This Agreement is subject to and incorporates herein the provisions of the U. S. Department of Housing and Urban Development regulations and the sections of the Code of Federal Regulations that are applicable to said program.

(c) The rules and regulations of the Office of Management and Budget (OMB) Circular A-133 apply. If the Contractor is a non-profit organization incorporated or registered to do business in Pennsylvania under the laws of the Commonwealth of Pennsylvania, Contractor shall provide a copy of its annual Audit or Review, whichever is required to the Pennsylvania Bureau of Charitable Organizations.

(d) If Contractor is a Subrecipient or pass-through entity, Contractor must comply with applicable regulations pertaining to this Agreement.

6. **Insurance.** Contractor will obtain and maintain (a) workers' compensation insurance in accordance with State Workers' Compensation Law; and (b) liability insurance with a combined single limit of not less than \$100,000 per occurrence with insurers reasonably acceptable to the Authority. Authority will be named as an additional insured on each of such liability policies and such coverage shall be on a primary and non contributory basis. Contractor will deliver to Authority certificates evidencing such policies prior to the commencement of the Services, and will deliver evidence of the renewal or replacement of such policies at least 30 days prior to the expiration thereof. Each of such policies will contain a waiver of the insurer's rights of subrogation against Authority.

7. **Termination.**

(i) The Authority may terminate this Agreement for convenience upon 30 days' prior written notice to the Contractor.

(ii) This Agreement shall terminate automatically without notice upon the occurrence of any of the following events:

(a) A material breach of this Agreement by Contractor;

(b) Contractor or Contractor's employees engaging in conduct materially injurious to the Authority or to itself/themselves, including but not limited to acts of dishonesty or fraud, commission of a felony or a crime of moral turpitude, or alcohol or substance abuse;

(c) Contractor's refusal to substantially perform the Services;

- (d) Contractor becomes insolvent or makes a general assignment for the benefit of creditors; or
- (e) Contractor files a petition in bankruptcy or such petition is filed against Contractor.

Authority shall be liable only for payment for Services rendered prior to the effective date of termination. If this Agreement is terminated pursuant to subparagraphs (a) or (c) Authority may take over the Services and prosecute the same to completion by contract or otherwise, and Contractor shall be liable for any additional costs incurred by Authority. Authority may withhold any payments to Contractor, for the purpose of set-off or partial payment, as the case may be, of amounts owed to Authority by Contractor.

8. **Minority/Women Participation.** Contractor shall use its best efforts to ensure that minority-owned businesses and women's business enterprises shall have the maximum opportunity to participate in the performance of contracts and subcontracts financed, in whole or in part, with federal funds provided under this contract. In this regard, Contractor shall take all necessary steps in accordance with 24 CFR 85.36(e), to ensure that minority-owned businesses and women's business enterprises have the maximum opportunity to compete for and perform contracts. Contractor shall not discriminate on the basis of race, color, national origin or sex in the award and performance of contracts assisted by the U.S. Department of Housing and Urban Development.

Failure of Contractor to carry out the requirements set forth in 24 CFR 85.36(e) shall constitute a breach of contract and, after notification from the U.S. Department of Housing and Urban Development or Authority, may result in termination of this contract or such other remedy as is deemed appropriate.

For the purposes hereof, a minority-owned business shall mean sole proprietorship, partnership or corporation-owned, operated and controlled by minority group members who have at least 51% ownership. The minority group members must have operational control and interest in capital and earnings commensurate with their respective percentage of ownership. Furthermore, to qualify as a minority-owned business, the business must be certified as an MBE by either the City of Pittsburgh, Allegheny County, Commonwealth of Pennsylvania or some other governmental entity whose certification is acceptable to Authority. Minority group members include, but are not limited to, African-Americans, Hispanic Americans, Native Americans, Asian-Pacific Americans, Asian-Indian Americans and Hasidic Jewish American.

A women's business enterprise is defined as a sole proprietorship, partnership or corporation owned, operated and controlled by women who have at least 51% ownership. Women must have operational control and interest in capital and earnings commensurate with their respective percentage ownership. Furthermore, to qualify as a women's business enterprise, the business must be certified as a WBE by either the City of Pittsburgh, Allegheny County, Commonwealth of Pennsylvania or some other governmental entity whose certification is acceptable to Authority.

In the event of a contractor's failure to comply with the equal employment opportunity and affirmative action provisions, including the affirmative action undertaking outlined in its proposal, or with any of the rules, regulations or orders referenced within this contract, HACP, at its discretion, may exercise any one or more of the following rights and remedies:

- i. cancel, terminate or suspend the contract in whole or in part
- ii. recover from the Contractor, by set off against the unpaid portion of the contract, as liquidated damages and not as a penalty, an agreed upon sum for each day that the contractor fails to comply with the contract, the sum being fixed and agreed upon by and between contractor and HACP because of the impracticability and extreme difficulty of fixing and ascertaining the actual damages which HACP would sustain in the event of such a breach
- iii. such other rights and remedies (which are cumulative and not exclusive) available under applicable law on in equity.

9. **Acceptance of the Services.** Authority has the right to review and/or require correction of any Services provided by Contractor. Contractor shall make any required corrections to any Service within 10 days at no additional charge. The payment of any invoice by Authority does not indicate acceptance of Services provided. Further, the Authority reserves the right at any time to reject or disapprove any Service provided. If Contractor fails to make the necessary corrections within a reasonable time after notice to do so from the Authority, or if the submission of any corrected Service remains unacceptable, the Authority may immediately terminate this Agreement pursuant to paragraph 7(ii)(a) hereof or reduce the hourly rate to reflect the reduced value of the Services provided.

10. **Confidential Information.** Contractor agrees that Contractor will not knowingly reveal to a third party or use for Contractor's own benefit, either during or after the term of this Agreement, without the prior written consent of Authority, any confidential information pertaining to the business and affairs of Authority, its officers, employees and directors obtained while working with Authority except for information clearly established to be in the public record.

11. **Representation and Warranties of Contractor.** Contractor hereby represents and warrants to Authority that Contractor is not a party to or otherwise subject to or bound by any contract, agreement or understanding which would limit or otherwise adversely affect Contractor's ability to perform the Services or which would be breached by Contractor's execution and delivery of this Agreement or by the performance of the Services.

12. **Indemnification.** Contractor agrees to indemnify and hold Authority harmless from any and all claims, damages, liabilities, costs and expenses (collectively "Claims") arising out of or in connection with Contractor's or its employees' performance of the Services on behalf of Authority.

13. **Independent Contractor.** Contractor shall perform the Services hereunder as an independent contractor and not as an agent or employee of the Authority. Contractor shall be responsible for paying any and all required Federal, state or local taxes arising from the performance of the Services. Contractor agrees to remove any employee from the performance of the Services at the request of Authority.

14. **Copyright.** No material produced in whole or in part under this Agreement shall be subject to copyright in the United States or in any other country. Authority shall have unrestricted authority to publish, disclose, distribute, and otherwise use, in whole or in part, any reports, data, or other materials and documentation prepared by Contractor under this Agreement.

15. **Inspections; Work Product.** Pursuant to 24 CFR 85.36(i)(10) and (11), access shall be given by Contractor to Authority, the United States Department of Housing and Urban Development, the Comptroller General of the United States, or any of their duly authorized representatives, to any books, documents, papers, and records of Contractor which are directly pertinent to this Agreement for the purpose of making an audit, examination, excerpts, and transcriptions. All required records shall be retained for three years after Authority makes final payment and all other pending matters on which Contractor performed Services are closed.

All work product produced by Contractor, including Contractor's employees, in accordance with this Agreement shall become the sole property of Authority in perpetuity. "Work product" shall include all records and other documents resulting from the Services performed under this Agreement. It is understood that Authority may reproduce any such work product without modifications and distribute such work product without incurring obligations for additional compensation to Contractor.

16. **Return of Authority Property.** Promptly after termination of this Agreement, Contractor shall return and shall cause its employees to return to Authority all property of the Authority then in Contractor's possession, including without limitation papers, documents, records, files, computer disks and confidential information, and shall neither make nor retain copies of the same. Authority's obligation to make final payment to Contractor following termination, including without limitation accrued but unpaid fees under paragraph 3 hereof, shall be contingent upon Contractor's compliance with this paragraph.

17. **Third Party Solicitation.** Contractor warrants that Contractor has not retained any company, firm or person to solicit or secure this Agreement and has not paid or agreed to pay any company, firm or person any fee, commission, percentage, brokerage fee, gifts, or any other consideration, contingent upon or resulting from the award or making of this Agreement.

18. **Release.** Prior to final payment under this Agreement, or prior to settlement upon termination of this Agreement, and as a condition precedent thereto, Contractor shall execute and deliver to Authority a final release ("Release"), in a form acceptable to Authority, of all claims against Authority by Contractor under and by virtue of this Agreement, other than such claims, if any, as may be specifically excepted by Contractor in stated amounts set forth therein.

19. Disputes. All disputes arising under or related to this contract, including any claims for damages for the alleged breach thereof which are not disposed of by agreement, shall be resolved under this clause.

- (a) All claims by the Contractor shall be made in writing and submitted to the Contracting Officer for a written decision. A claim by the Authority against the contractor shall be subject to a written decision by the Contracting Officer.
- (b) The Contracting Officer shall, within 30 days after receipt of the request, decide the claim or notify the Contractor of the date by which the decision will be made.
- (c) The Contracting Officer's decision shall be final unless the Contractor
 - 1) Appeals in writing to a higher level in the Authority in accordance with the Authority's policy and procedures;
 - 2) Refers the appeal to an independent mediator or arbitrator; or
 - 3) Files suit in a court of competent jurisdiction. Such appeal must be made within 30 days after receipt of Contracting Officer's decision.
- (d) The Contractor shall proceed diligently with performance of this contract, pending final resolution of any request for relief, claim, appeal, or action under or relating to the contract, and comply with any decision of the Contracting Officer.

20. Notices. All notices or other communications to either party by the other shall be deemed given when made in writing and deposited with the United States Postal Service addressed as follows:

If to the Authority: Housing Authority of the City of Pittsburgh
 Ashley Battles
 200 Ross Street, 1st Floor
 Human Resource Department
 Pittsburgh, PA 15219
 412-456-5000 x6501
 Ashley.Battles@hacp.org

And a copy of the notice or other communication should be sent to:

Housing Authority of the City of Pittsburgh
100 Ross St. 2nd Fl. Suite 200
Pittsburgh, PA 15219
Attn: Kim Detrick, Procurement Director/Contracting Officer

If to Contractor: Name: _____
 Address: _____

 Phone/Fax: _____

21. **Compliance with Law.** Contractor shall comply with all Federal, State and Local laws, regulations ordinances and codes relating to the operation and activities of Authority and all Services performed pursuant to this Agreement, including, but not limited to completing the following items which shall be attached as exhibits:

- | | | |
|-----|---------------------------------|-------------|
| (a) | Non-Debarment Certificate | (Exhibit C) |
| (b) | Certification re: Lobbying | (Exhibit D) |
| (c) | Disclosure of lobbying activity | (Exhibit E) |
| (d) | Conflict of Interest | (Exhibit F) |

22. **Transfer by Contractor.** Contractor shall not transfer all or any part of its rights or obligations herein to any person or legal entity.

23. **Miscellaneous.** The invalidity or unenforceability of any provision hereof shall in no way affect the validity or enforceability of any other provision. This Agreement embodies the entire Agreement between the parties hereto and supersedes any and all prior or contemporaneous, oral or written understandings, negotiations, or communications on behalf of such parties. This Agreement may be executed in several counterparts, each of which shall be deemed original, but all of which together shall constitute one and the same instrument. The waiver by either party of any breach or violation of any provision of this Agreement shall not operate or be construed as a waiver of any subsequent breach or violation hereof. This Agreement is executed in and shall be governed by and construed in accordance with the laws of the Commonwealth of Pennsylvania. This Agreement may only be amended by written agreement of both parties hereto. This Agreement shall inure to the benefit of the Authority, its successors and assigns.

[REMAINDER OF PAGE INTENTIONALLY LEFT BLANK]

**SIGNATURE PAGE TO
PROFESSIONAL SERVICE CONTRACT
FOR
GROUP TERM LIFE, ACCIDENTAL DEATH AND DISMEMBERMENT, GROUP LONG
TERM DISABILITY INSURANCE.**

HOUSING AUTHORITY OF THE CITY
OF PITTSBURGH

Date: _____

By: _____
Contracting Officer

Vendor Name

Date: _____

By: _____

Title: _____

EXHIBIT A

SCOPE OF SERVICES

The selected offeror will be responsible for providing Group Term Life, Accidental Death and Dismemberment and Group Long Term Disability.

The Scope of Services shall include, but is not limited to the following:

1. Provide employee benefits in the area(s) of basic group Life and Accidental Death & Dismemberment and Long Term Disability.
2. Participate in the open enrollment of the work force.
3. Manage/pay claims in accordance with the contract issued as a result of an award emanating from this RFP.
4. Provide an adjudication system to members for dispute resolution.
5. Issue monthly bills to the Authority based on enrollment and contracted rates or specify what information will be needed for HACP to submit self-administered bill payments.
6. Attend meetings with the Housing Authority on an at least quarterly basis to review and analyze data and develop solutions to contain costs.
7. Provide reports and drill-down data to ensure an in-depth full analysis and copy HACP authorized personnel on all final decisions affecting claims.
8. Comply with all privacy regulations, including safeguarding the privacy and confidential medical data of members enrolled through the Authority program.
9. Perform any other services not expressly stated but considered to be an industry standard for employee benefit insurance programs for Life/AD&D, and Long Term Disability Income Replacement.
10. Provide any and all other services necessary to assure an effective employee benefit program.

Additional Information:

There is no age reduction schedule for the life insurance component
Current insurance rates will not be released as part of this solicitation
HACP will not provide copies of the current booklets as part of this solicitation
For long term disability, the employee pays ½ and HACP pays ½ of the premium cost
Life insurance is issued at 1.5 times annual salary.
Benefits Booklets are to be provided to all HACP employees
HACP staff will ensure all forms and enrollments are completed
HACP does not offer supplemental life insurance

EXHIBIT B
FEE SCHEDULE

Contractor will be paid based on the following:

Attachment J, Fee Sheet of RFP# 650-25-14 to be incorporated here

EXHIBIT C - CERTIFICATION OF PROPOSER**REGARDING DEBARMENT SUSPENSION AND OTHER RESPONSIBILITY MATTERS**

(Proposer) _____ certifies to the best of its knowledge and belief, that it and its principals:

1. Are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from covered transactions by any Federal department or agency;
2. Have not within a three year period preceding this bid been convicted of or had civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain or performing a public (Federal, State or Local) transaction or contract under a public transaction: violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements or receiving stolen property;
3. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or Local) with commission of any of the offenses enumerated in paragraph (2) of this certification: and
4. Have not within a three year period preceding this bid had one or more public transaction (Federal, State or Local) terminated for cause or default.

If the Proposer is unable to certify to any of the statements in this certification, the Proposer shall attach an explanation to this certification.

(Proposer) _____ CERTIFIES
OR AFFIRMS THE TRUTHFULNESS AND ACCURACY OF THE CONTENTS OF
THE STATEMENTS SUBMITTED ON OR WITH THIS CERTIFICATION AND
UNDERSTANDS THAT THE PROVISIONS OF 31 U.S.C. SECTIONS 3801 ET SEQ.
ARE APPLICABLE THERETO.

Signature and Title of Authorized Official

EXHIBIT D - CERTIFICATION REGARDING LOBBYING

I, _____,
Hereby Certify on (Name and Title of Authorized Official)

Behalf of _____ that
(Subcontractor)

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf _____ of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency. A Member of Congress, and officer or employee of Congress, or an employee of a Member of Congress in connection with 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.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL "Disclosure Form to Report Lobbying", in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Signature and Title of Authorized Official

EXHIBIT E - DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

Public Reporting Burden for this collection of information is estimated to average 30 minutes per response, including the time for reviewing instructions, researching existing data sources, gathering and maintaining the data needed and completing and reviewing the collection of information. Please do not return your completed form to the Office of Management and Budget sent it to the address provided by the sponsoring agency.

1. Type of Federal Action: _____ a. contract _____ b. grant _____ c. cooperative agreement _____ d. loan _____ e. loan guarantee _____ f. loan insurance	2. Status of Federal Action: _____ a. bid/offer/application _____ b. initial award _____ c. post-award	3. Report Type: _____ a. initial filing _____ b. material change For Material Change Only year _____ quarter _____ date of last report _____
4. Name and Address of Reporting Entity: _____ Prime _____ Subawardee Tier _____, if known: Congressional District, if known:		5. If reporting entity in No. 4 is Subawardee, enter name and address of Prime. Congressional District, if known:
6. Federal Department/Agency:		6. Federal Program Name/Description: CFDA Number, if applicable:
8. Federal Action Number, if known:		9. Award Amount, if known: \$
10a. Name and Address of Lobbying Registrant (If individual, last name, first name, MI):		b. Individuals performing services (Include address if different from No. 10a) (last name, first name, MI):
1. Information requested through this form is authorized by Sec 319, Pub L. 101-121, 103 Stat. 750, as amended by Sec. 10: Pub. L. 104-65, Stat 700 (31 U.S.C. 1352). This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the above when this transaction was made entered into. This disclosure is required pursuant to 31 U.S.A.C. 1352. This information will be reported to the Congress semiannually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.		Signature _____ Print Name _____ Title: _____ Telephone No.: _____ Date: _____
Federal Use Only		Authorized for Local Reproduction Standard Form LLL (1/96)

Authorized for Local Reproduction

Standard Form LLL (1/96)

INSTRUCTIONS FOR COMPLETION OF SF-LLL DISCLOSURE OF LOBBY ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment of any lobby entity 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 a covered Federal action. Use the SF-LLL-A Continuation Sheet for additional information in the space on the form is inadequate. Complete all items that apply for both the initial filing and material change reports. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobby activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a follow up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be a prime or a subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is in the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee" then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFOA) number for grants, cooperation agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number, Invitation for Bid (IFB) number; grant announcement number; the contract, grant or loan award number, the application/proposal control number assigned by the Federal agency. Include prefixes e.g. RFP-DE-90-00).
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual (s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual or will be made 9planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
12. Check the appropriate box (es). Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
13. Check the appropriate box (es). Check all boxes that apply. If other, specify nature.
14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date (s) of any services rendered. Include all preparatory and related activity, not just time spent in actual contact with Federal Official (s) or employee (s) contacted of the officer (s) employee (s) or Member (s) of Congress that were contacted.
15. Check whether or not a SF-LLL-A Continuation Sheet (s) is attached.
16. The certifying individual shall sign and date the form, print his/her name, title, and telephone number.

Public reporting burden for this collection of information is estimated to average 30 minutes per response. Including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other respect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-004-5), Washington, D.C. 20503.

EXHIBIT F - CONFLICTS OF INTEREST

_____ ("Contractor") certifies
that:

1. No employee, officer, or agent of the Housing Authority of the City of Pittsburgh ("HACP") participated in the selection, or in the award or administration of the Contractor's Agreement with HACP, which would involve a conflict of interest, real or apparent. A conflict would arise when (i) a HACP employee, officer or agent, (ii) any member of his or her immediate family, (iii) his or her parents (iv) his or her business associates or (v) an organization that employs, or is about to employ, any of the foregoing, receives a payment from the Contractor or any affiliate thereof, or has a financial or other interest in the Contractor or the Contractor's Agreement with HACP.
2. Contractor shall not enter into any contract, subcontract or agreement with any officer, agent or employee of HACP during his or her tenure nor for one year thereafter shall any officer, agent or employee of HACP have any interest, direct or indirect, in the Contract Agreement, including the proceeds thereof.

CONTRACTOR

Date: _____, 2011

By: _____

Name: _____

Title: _____

ATTACHMENT B

Of the RFP

HUD 5369-B Instructions to Offerors Non-Construction

AND

ATTACHMENT C

Of the RFP

HUD 5370-C General Conditions for Non-Construction

Are to be included as part of the contract
once awarded.

ATTACHMENT B

Instructions to Offerors
Non-ConstructionU.S. Department of Housing
and Urban Development
Office of Public and Indian Housing

- 03291 -

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 HAHUD 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 HAHUD.

(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 HAHUD 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 counteroffer 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:]

ATTACHMENT C

GENERAL CONDITIONS FOR NONCONSTRUCTION CONTRACTS

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. 1/31/2017)

Public Reporting Burden for this collection of information is estimated to average 0.08 hours 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. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Reports Management Officer, Office of Information Policies and Systems, U.S. Department of Housing and Urban Development, Washington, D.C. 20410-3600; and to the Office of Management and Budget, Paperwork Reduction Project (2577-0157), Washington, D.C. 20503. Do not send this completed form to either of these addressees.

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 \$100,000 - use Section I;
- 2) **Maintenance contracts** (including nonroutine maintenance as defined at 24 CFR 968.105) greater than \$2,000 but not more than \$100,000 - use Section II; and
- 3) **Maintenance contracts** (including nonroutine maintenance), greater than \$100,000 – use Sections I and II.

Section I - Clauses for All Non-Construction Contracts greater than \$100,000

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.

- (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 thereof 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.

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

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.

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

ATTACHMENT D

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

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:

ATTACHMENT E - SPECIAL PARTICIPATION SUMMARY

I. SMALL BUSINESS PARTICIPATION

Is the Offeror a Small Business as defined by the size and standards in 13 CFR 121?

Yes _____ No _____

II. MINORITY BUSINESS PARTICIPATION

Is the Offeror classified as a Minority Business Enterprise as defined in Art. 2, Part C of HUD-5369-C?

Yes _____ No _____

If "No", are any Consultants classified as Minority Business enterprises?

Yes _____ No _____

If "Yes", please fill in the following chart:

Consulting Firm(s) (MBE)	\$ Value Contract	% of Fee

III. WOMEN-OWNED BUSINESS PARTICIPATION

Is the Offeror classified as a Woman-Owned Business Enterprise as defined in Art. 2, Part C of HUD-5369-C

Yes _____ No _____

If "No", are any Consultants classified as Women-Owned Business Enterprises?

Yes _____ No _____

If "Yes", please fill in the following chart:

Consulting Firm(s) (WBE)	\$ Value Contract	% of Fee

Offeror: _____

RFP#: _____

Due Date: _____

****All MBE/WBE firms must be certified. In order for the MBE/WBE participation plan to be complete, copies of MBE/WBE certification must be included for all firms listed.**

ATTACHMENT F - Section 3 Clause

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 or 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 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.

G. With respect to work performed in connection with Section 3 covered Indian housing assistance, section 7(b) of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450e) also applies to the work to be performed under this contract. Section 7(b) requires that to the greatest extent feasible (i) preference and opportunities for training and employment shall be given to Indians, and (ii) preference in the award of contracts and subcontracts shall be given to Indian organizations and Indian-owned Economic Enterprises. Parties to this contract that are subject to the provisions of Section 3 to the maximum extent feasible, but not in derogation of compliance with section 7(b).



SECTION 3 OPPORTUNITIES PLAN

Business Opportunities and Employment Training for Housing Authority of the City of Pittsburgh Low Income Public Housing Residents (LIPH) and Area Residents of Low and Very Low Income Status (ARLIS)

PRIME CONTRACTOR'S NAME: _____
SPECIFICATION OR RFP/IFB/RFQ NUMBER: _____
SPECIFICATION OR RFP/IFB/RFQ TITLE: _____

The Contractor hereby agrees to comply with all the provisions of Section 3 as set forth in 24 CFR 135.1 et seq. and the HACP Section 3 Policy and Program requirements. The Contractor hereby submits this document to identify employment opportunities for HACP residents (LIPH) and Area Residents of Low and Very Low Income Status (ARLIS) during the term of the contract between the Contractor and the HACP.

The preference of HACP is to ensure that as many HACP residents as possible are employed. In an effort to further that requirement, HACP has created a preference tier structure as outlined in the HACP Section 3 Policy and Program Manual which can be reviewed by visiting the "Vendor Services" section of www.hacp.org. Contractors are required to comply with Section 3 by first considering Tier I – Hiring. If the Contractor cannot meet its Section 3 requirement in Tier I and needs to move to Tier II or Tier III, that Contractor must document this inability to comply with the preference and the need to move to a lower tier. (Such inability **must** be documented for moves within tiers). The Contractor agrees to meet its Section 3 requirement following the Preferential Tier Structure as indicated by the selection below (check one or more tiers below):

[] Tier I – HIRING

The Contractor affirms that the jobs identified shall be for meaningful employment that may or may not be related to the scope of services covered under Contract/Purchase Order # _____. The Contractor has committed to employ _____ resident(s) in order to comply with its Section 3 requirements. A prime contractor may satisfy the HACP Resident Hiring Requirements through his/her subcontractors. Contact the HACP Resident Employment Program for resident referrals at 412-395-3950, Ext 1048.

When Tier I is selected, the Contractor shall complete the following table as instructed below:

- (1) Indicate each job title for all phases of this contract
- (2) The number of positions that will be needed in each category
- (3) How many of those positions are currently filled
- (4) The number currently filled by low and very low-income HACP residents
- (5) The number currently filled by City of Pittsburgh neighborhood area residents
- (6) How many positions need to be filled

Indicate your requirement for the number of positions you intend to fill with:

- (7) Low income HACP Residents (LIPH) and/or
- (8) Low and very low income City of Pittsburgh Neighborhood Area Residents (ARLIS)



SECTION 3 OPPORTUNITIES PLAN

[illegible]

LIPH – HACP low income public housing resident

ARLIS - Area Residents of Low/Very Low Income Status – (Area is the Pittsburgh metropolitan area)

In the event the value of Section 3 resident hiring is less than the amount identified in the Resident Hiring Scale, vendors must contribute to the HACP Education Fund an amount not less than the difference between the value of Section 3 hiring and the amount identified in the Resident Hiring Scale, which funds shall be used to provide other economic opportunities.

Therefore, if it is anticipated that any position listed above shall be for less than the full term of the contract period, you must indicate on the lines below, the anticipated term for each position:



SECTION 3 OPPORTUNITIES PLAN

[] Tier II – CONTRACTING

The contractor has identified _____ HACP resident-owned business(es) or _____ Section 3 business(es) which is/are 51 percent or more owned by Section 3 residents or 30 percent or more of their permanent full-time workforce are Section 3 residents. This will satisfy the contractor's Section 3 requirement covered under Contract/Purchase Order # _____.

In a one (1) page letter on your firm's letterhead:

- 1) Indicate the requirements, expressed in terms of percentage, of planned contracting dollars for the use of Section 3 business concerns as subcontractors.
- 2) A statement of the total dollar amount to be contracted, total dollar amount to be contracted to Section 3 business concerns for building trades, and total dollar amount to be contracted to Section 3 business concerns for other than building trades work (maintenance, repair, modernization, and development).
- 3) A description of the method used to develop the requirements above and the efforts to be undertaken by the contractor to meet those requirements.

[] Tier III - OTHER ECONOMIC OPPORTUNITIES

Firms may provide other economic opportunities to train and employ Section 3 residents or make a direct cash contribution to the HACP Education Fund. HACP has established the following minimum threshold requirements for provision of training or contribution to the HACP fund that provides other economic opportunities:

- a) Contractor incurs the cost of providing skilled training for residents in an amount commensurate with the sliding scale set forth in the Resident Hiring Scale; or,
- b) Contractor makes a contribution to the HACP Education Fund at Clean Slate E3 to provide assistance to residents to obtain training. The level of contribution would be commensurate with the sliding scale set forth in the Resident Hiring Scale.

Contractor shall provide, in a letter on firm letterhead:

- 1) Indication of the skilled training to be provided, the number of persons to be trained, the training provider, the cost of training, and the trainee recruitment plan; or,
- 2) Provide the amount of planned contribution to be made in relation to percentage of the contract labor hours costs. (Contribution checks should be made payable to: Clean Slate E3 Education Fund and mailed to Clean Slate E3, C/O Housing Authority of the City of Pittsburgh, Finance Department, 200 Ross Street, 9th Floor, Pittsburgh, PA 15219.

[] Tier IV – No New Hire Opportunity

If awarded this contract, the contractor will be able to fulfill the requirements of the IFB/RFP/RFQ with the existing work force. No new hires will be employed as a result of this award. If this position changes and hiring opportunities become necessary, the HACP Resident Employment Program will be notified.



SECTION 3 OPPORTUNITIES PLAN

By signing below, the Contractor hereby agrees to comply with the selected Section 3 requirements indicated above. To the extent that the completion of this form is contingent upon future information, for example price negotiations, request for specific services, etc., the undersigned hereby affirms and agrees to fully adhere to the spirit and intent of the HACP Section 3 Policy.

Furthermore, the undersigned acknowledges and affirms responsibility for completion and submission of this form as part of the response documentation for this Invitation for Bid or Request for Proposal. Failure to submit this form may jeopardize the responsiveness of your submission.

Company Name: _____

Name: _____

Title: _____

Signature: _____ Date: _____

Witness Name: _____

Witness Signature: _____ Date: _____

ATTACHMENT G - Firm Demographics

		Male								Female							Total # of American Minorities	
		All employees	White American	African American	Hispanic American	Asia American	Hasidic Jew American	Other American Minority	Foreign	White American	African American	Hispanic American	Asia American	Hasidic Jew American	Other American Minority	Foreign		
Total																		
Other																		
Clerical																		
Secretarial																		
Professional																		
Associate																		
Partner																		

Explain all other American Minority:

Be certain that the numbers in this table are accurate and add up correctly.

ATTACHMENT H

W-9 Form (Rev. October 2007) Department of the Treasury Internal Revenue Service	Request for Taxpayer Identification Number and Certification	Give form to the requester. Do not send to the IRS.
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Print or type
See Specific Instructions on page 2.

Name (as shown on your income tax return)

Business name, if different from above

Check appropriate box: ☐ Individual-Sole proprietor ☐ Corporation ☐ Partnership
☐ Limited liability company. Enter the tax classification (D=disregarded entity, C=corporation, P=partnership) ▶
☐ Other (see instructions) ▶

☐ Exempt payee

Address (number, street, and apt. or suite no.)

Requester's name and address (optional)

City, state, and ZIP code

List account number(s) here (optional)

Part I Taxpayer Identification Number (TIN)

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 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 *How to get a TIN* on page 3.

Note. If the account is in more than one name, see the chart on page 4 for guidelines on whose number to enter.

Social security number	
Or	
Employer identification number	

Part II Certification

Under penalties of perjury, I certify that:

- 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
- I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
- I am a U.S. citizen or other U.S. person (defined below).

Certification instructions. 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 4.

Sign Here	Signature of U.S. person ▶	Date ▶
------------------	----------------------------	--------

General Instructions

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

Purpose of Form

A person who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) to report, for example, income paid to you, real estate transactions, mortgage interest you paid, acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA.

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN to the person requesting it (the requester) and, when applicable, to:

- Certify that the TIN you are giving is correct (or you are waiting for a number to be issued).
- Certify that you are not subject to backup withholding, or
- 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.

Note. If a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

Definition of a U.S. person. For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien,
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States,
- An estate (other than a foreign estate), or
- A domestic trust (as defined in Regulations section 301.7701-7).

Special rules for partnerships. Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax on any foreign partners' share of income from such business. Further, in certain cases where a Form W-9 has not been received, a partnership is required to presume that a partner is a foreign person, and pay the withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid withholding on your share of partnership income.

The person who gives Form W-9 to the partnership for purposes of establishing its U.S. status and avoiding withholding on its allocable share of net income from the partnership conducting a trade or business in the United States is in the following cases:

- The U.S. owner of a disregarded entity and not the entity,

Ctrl No. 10231X

Form **W-9** (Rev. 10-2007)

Instructions for completing this form can be found at <http://www.irs.gov/pub/irs-pdf/fw9.pdf>

Attachment I
Sample of MBE/WBE commitment letter

<Date>

<Name Of MBE or WBE Contact Person>

<Name of MBE or WBE firm>

<Address>

<City>, <State> <Zip>

Re: <Name of HACP Project>

Dear <Name of Contact Person at MBE or WBE Firm>

<Name of Prime Bidder> has submitted a bid for the above referenced project to the Housing Authority City of Pittsburgh (HACP).

If we are the successful bidders and awarded the contract, <Name of Prime Bidder> intends to utilize <Name of proposed MBE or WBE firm> as follows:

Scope of Proposed Services: _____

Estimated Dollar Value: _____

Please call should you have any further questions. We thank you for your continuing interest.

Sincerely,

<Contact Person from Prime Bidder>

<Contact Person from MBE/WBE>

(Signature)

(Signature)

(Name)

(Name)

ATTACHMENT J**GROUP TERM LIFE, ACCIDENTAL DEATH AND DISMEMBERMENT, GROUP
LONG TERM DISABILITY
RFP#650-25-14
FEE SHEET**

PRICE IS TO BE LISTED PER THE FOLLOWING:

	Rate per 1000 dollars of Monthly Coverage	Year 2 rate per 1000 Dollars of Coverage	Year 3 rate per 1000 Dollars of Coverage
Group Term Life			
Accidental Death and Dismemberment			

	Rate per 100 dollars of Monthly Coverage	Year 2 rate per 100 Dollars of Coverage	Year 3 rate per 100 Dollars of Coverage
Long Term Disability			

Company Name (Printed): _____

Name (Printed): _____

Title: _____

Address: _____

Phone/Fax: _____

Email Address: _____

Signature: _____ Date: _____

ATTACHMENT K
Employee Census
RFP#650-25-14

Clock Number	Birth Date	Age	Sex	Employment Status	Benefit Description
0005	12/5/1953	60.74	F	Full-Time	LTD
0005					ADD
0005					Life Insurance
0007	12/21/1951	62.70	M	Full-Time	ADD
0007					LTD
0007					Life Insurance
0012	2/1/1957	57.58	M	Full-Time	Life Insurance
0012					ADD
0012					LTD
0023	11/10/1965	48.80	F	Full-Time	ADD
0023					Life Insurance
0023					LTD
0111	6/2/1963	51.25	M	Full-Time	Life Insurance
0111					ADD
0111					LTD
0114	3/18/1956	58.46	F	Full-Time	LTD
0114					Life Insurance
0114					ADD
0115	12/26/1955	58.68	F	Full-Time	Life Insurance
0115					ADD
0115					LTD
0137	1/15/1963	51.62	M	Full-Time	Life Insurance
0137					ADD
0137					LTD
0147	11/3/1958	55.83	F	Full-Time	Life Insurance
0147					LTD
0147					ADD
0149	4/28/1971	43.34	F	Full-Time	ADD
0149					LTD
0149					Life Insurance
0151	1/17/1971	43.61	F	Full-Time	Life Insurance
0151					LTD
0151					ADD
0160	1/13/1973	41.62	M	Full-Time	Life Insurance
0160					ADD
0160					LTD
0185	10/25/1952	61.85	M	Full-Time	ADD

0185					LTD
0185					Life Insurance
0189	6/9/1961	53.23	F	Full-Time	ADD
0189					Life Insurance
0189					LTD
0220	8/15/1962	52.04	M	Full-Time	Life Insurance
0220					ADD
0220					LTD
0250	1/5/1974	40.64	F	Full-Time	Life Insurance
0250					ADD
0250					LTD
0251	6/21/1966	48.19	F	Full-Time	LTD
0251					ADD
0251					Life Insurance
0255	6/23/1953	61.19	F	Full-Time	ADD
0255					Life Insurance
0255					LTD
0277	7/28/1970	44.09	M	Full-Time	ADD
0277					LTD
0277					Life Insurance
0293	10/24/1952	61.86	F	Full-Time	ADD
0293					Life Insurance
0293					LTD
0310	11/14/1947	66.81	M	Full-Time	ADD
0310					LTD
0310					Life Insurance
0311	8/6/1955	59.07	M	Full-Time	LTD
0311					Life Insurance
0311					ADD
0327	9/12/1980	33.95	F	Full-Time	ADD
0327					Life Insurance
0349	12/20/1969	44.69	F	Full-Time	ADD
0349					Life Insurance
0349					LTD
0352	5/25/1952	62.27	M	Full-Time	LTD
0352					Life Insurance
0352					ADD
0366	7/17/1971	43.12	M	Full-Time	Life Insurance
0366					ADD
0366					LTD
0367	2/3/1967	47.57	M	Full-Time	Life Insurance
0367					ADD

0367					LTD
0385	7/18/1965	49.12	M	Full-Time	ADD
0385					LTD
0385					Life Insurance
0410	12/12/1960	53.72	M	Full-Time	ADD
0410					Life Insurance
0410					LTD
0411	12/12/1962	51.72	M	Full-Time	Life Insurance
0411					LTD
0411					ADD
0435	11/21/1978	35.76	F	Full-Time	Life Insurance
0435					ADD
0460	8/12/1957	57.05	M	Full-Time	Life Insurance
0460					ADD
0460					LTD
0467	4/15/1965	49.38	M	Full-Time	ADD
0467					Life Insurance
0467					LTD
0469	8/8/1962	52.06	M	Full-Time	ADD
0469					Life Insurance
0469					LTD
0478	11/1/1976	37.82	M	Full-Time	ADD
0478					LTD
0478					Life Insurance
0486	10/10/1962	51.89	F	Full-Time	ADD
0486					Life Insurance
0486					LTD
0489	9/24/1987	26.92	M	Full-Time	ADD
0489					Life Insurance
0517	5/11/1950	64.32	M	Full-Time	Life Insurance
0517					ADD
0517					LTD
0521	4/24/1956	58.36	M	Full-Time	Life Insurance
0521					ADD
0521					LTD
0533	9/25/1967	46.93	M	Full-Time	LTD
0533					ADD
0533					Life Insurance
0535	3/25/1965	49.43	M	Full-Time	Life Insurance
0535					LTD
0535					ADD
0565	3/5/1978	36.48	M	Full-Time	ADD

0565					LTD
0565					Life Insurance
0571	9/29/1957	56.92	M	Full-Time	ADD
0571					LTD
0571					Life Insurance
0575	10/12/1953	60.89	M	Full-Time	Life Insurance
0575					ADD
0575					LTD
0581	6/17/1978	36.19	F	Full-Time	Life Insurance
0581					LTD
0581					ADD
0585					LTD
0585	5/31/1965	49.25	M	Full-Time	Life Insurance
0585					ADD
0591	3/31/1957	57.42	M	Full-Time	ADD
0591					LTD
0591					Life Insurance
0602	3/19/1958	56.45	M	Full-Time	ADD
0602					Life Insurance
0602					LTD
0623	9/30/1959	54.92	M	Full-Time	LTD
0623					Life Insurance
0623					ADD
0627	9/11/1973	40.96	M	Full-Time	Life Insurance
0627					ADD
0630	12/25/1952	61.69	M	Full-Time	ADD
0630					Life Insurance
0630					LTD
0640	11/10/1952	61.81	M	Full-Time	ADD
0640					Life Insurance
0640					LTD
0646	8/13/1949	65.06	F	Full-Time	ADD
0646					LTD
0646					Life Insurance
0650	12/18/1958	55.70	M	Full-Time	Life Insurance
0650					ADD
0650					LTD
0651	12/22/1952	61.70	F	Full-Time	ADD
0651					Life Insurance
0651					LTD
0653	8/9/1948	66.07	M	Full-Time	ADD
0653					Life Insurance

0653					LTD
0655	10/25/1964	49.85	F	Full-Time	ADD
0655					Life Insurance
0655					LTD
0659	6/1/1977	37.24	F	Full-Time	Life Insurance
0659					LTD
0659					ADD
0666	8/31/1970	43.99	F	Full-Time	Life Insurance
0666					ADD
0692	10/31/1953	60.84	F	Full-Time	LTD
0692					ADD
0692					Life Insurance
0695	10/9/1969	44.89	M	Full-Time	Life Insurance
0695					LTD
0695					ADD
0700	7/18/1966	48.12	M	Full-Time	ADD
0700					LTD
0700					Life Insurance
0710	10/31/1974	39.82	F	Full-Time	ADD
0710					LTD
0710					Life Insurance
0746	7/22/1979	35.10	F	Full-Time	Life Insurance
0746					ADD
0746					LTD
0750	3/11/1967	47.47	F	Full-Time	ADD
0750					Life Insurance
0750					LTD
0752	8/9/1973	41.05	M	Full-Time	Life Insurance
0752					ADD
0752					LTD
0756	12/31/1976	37.65	M	Full-Time	ADD
0756					LTD
0756					Life Insurance
0757	6/30/1983	31.16	M	Full-Time	Life Insurance
0757					ADD
0757					LTD
0758	7/28/1956	58.10	M	Full-Time	LTD
0758					Life Insurance
0758					ADD
0761	11/13/1972	41.79	M	Full-Time	Life Insurance
0761					LTD
0761					ADD

0798	1/30/1978	36.57	F	Full-Time	ADD
0798					Life Insurance
0801	7/19/1978	36.11	F	Full-Time	ADD
0801					LTD
0801					Life Insurance
0804	9/29/1953	60.93	M	Full-Time	ADD
0804					Life Insurance
0804					LTD
0805	2/2/1955	59.58	M	Full-Time	Life Insurance
0805					LTD
0805					ADD
0806	8/20/1968	46.02	M	Full-Time	ADD
0806					Life Insurance
0806					LTD
0808	2/5/1957	57.57	M	Full-Time	Life Insurance
0808					ADD
0808					LTD
0812	3/8/1983	31.47	M	Full-Time	Life Insurance
0812					ADD
0812					LTD
0855	6/5/1947	67.25	M	Full-Time	ADD
0855					LTD
0855					Life Insurance
0861	11/28/1970	43.75	M	Full-Time	Life Insurance
0861					ADD
0861					LTD
0864	7/30/1988	26.07	M	Full-Time	LTD
0864					ADD
0864					Life Insurance
0869	7/27/1970	44.09	F	Full-Time	ADD
0869					Life Insurance
0869					LTD
0905	5/28/1951	63.27	M	Full-Time	LTD
0905					ADD
0905					Life Insurance
0910	3/27/1973	41.42	F	Full-Time	LTD
0910					Life Insurance
0910					ADD
0920	12/19/1978	35.69	M	Full-Time	ADD
0920					LTD
0920					Life Insurance
0934	11/18/1968	45.78	F	Full-Time	ADD

0934					LTD
0934					Life Insurance
0941	9/27/1954	59.93	M	Full-Time	ADD
0941					LTD
0941					Life Insurance
0944	9/19/1977	36.94	F	Full-Time	Life Insurance
0944					ADD
0944					LTD
0950	11/23/1948	65.78	M	Full-Time	Life Insurance
0950					ADD
0950					LTD
0952	9/28/1958	55.93	M	Full-Time	LTD
0952					Life Insurance
0952					ADD
0954	5/18/1958	56.29	M	Full-Time	LTD
0954					ADD
0954					Life Insurance
0956	4/15/1948	66.39	F	Full-Time	ADD
0956					Life Insurance
0956					LTD
0967	4/25/1960	54.35	M	Full-Time	Life Insurance
0967					ADD
0967					LTD
0972	4/19/1964	50.36	M	Full-Time	LTD
0972					Life Insurance
0972					ADD
0979	10/22/1978	35.85	M	Full-Time	LTD
0979					Life Insurance
0979					ADD
0980	9/12/1958	55.97	M	Full-Time	ADD
0980					Life Insurance
0980					LTD
0981	5/21/1969	45.27	F	Full-Time	LTD
0981					Life Insurance
0981					ADD
0983	6/20/1984	30.18	M	Full-Time	LTD
0983					Life Insurance
0983					ADD
0984	12/9/1973	40.72	F	Full-Time	Life Insurance
0984					LTD
0984					ADD
0986	10/9/1955	58.90	F	Full-Time	ADD

0986					Life Insurance
0987	10/27/1986	27.83	F	Full-Time	Life Insurance
0987					ADD
0992	5/14/1957	57.30	F	Full-Time	ADD
0992					LTD
0992					Life Insurance
0996	10/22/1952	61.86	F	Full-Time	ADD
0996					Life Insurance
0996					LTD
1002	8/6/1974	40.06	F	Full-Time	ADD
1002					Life Insurance
1004	4/30/1947	67.35	F	Full-Time	LTD
1004					Life Insurance
1004					ADD
1006	11/24/1982	31.75	F	Full-Time	ADD
1006					Life Insurance
1009	2/7/1974	40.55	M	Full-Time	ADD
1009					Life Insurance
1009					LTD
1011	8/7/1988	26.05	F	Full-Time	ADD
1011					Life Insurance
1012	3/5/1986	28.47	F	Full-Time	ADD
1012					Life Insurance
1013	8/2/1961	53.08	F	Full-Time	LTD
1013					Life Insurance
1013					ADD
1016	12/26/1971	42.67	F	Full-Time	ADD
1016					Life Insurance
1016					LTD
1021	4/29/1967	47.34	M	Full-Time	Life Insurance
1021					ADD
1021					LTD
1043	1/21/1984	30.59	M	Full-Time	ADD
1043					LTD
1043					Life Insurance
1044	5/27/1984	30.25	M	Full-Time	Life Insurance
1044					LTD
1044					ADD
1045	4/24/1986	28.34	M	Full-Time	ADD
1045					Life Insurance
1048	4/11/1968	46.38	F	Full-Time	ADD
1048					Life Insurance

1048					LTD
1050	7/5/1985	29.14	M	Full-Time	LTD
1050					ADD
1050					Life Insurance
1051	2/17/1987	27.52	F	Full-Time	Life Insurance
1051					ADD
1058	1/23/1957	57.61	M	Full-Time	LTD
1058					ADD
1058					Life Insurance
1071	5/30/1966	48.25	M	Full-Time	Life Insurance
1071					ADD
1071					LTD
1076	8/8/1970	44.06	F	Full-Time	ADD
1076					Life Insurance
1076					LTD
1077	4/4/1956	58.41	M	Full-Time	Life Insurance
1077					ADD
1077					LTD
1078	12/19/1966	47.70	M	Full-Time	ADD
1078					Life Insurance
1078					LTD
1082	3/23/1963	51.44	F	Full-Time	ADD
1082					Life Insurance
1082					LTD
1085	5/10/1954	60.32	M	Full-Time	ADD
1085					LTD
1085					Life Insurance
1087	11/27/1979	34.75	M	Full-Time	Life Insurance
1087					ADD
1090	3/20/1952	62.45	M	Full-Time	ADD
1090					Life Insurance
1090					LTD
1094	2/1/1985	29.56	M	Full-Time	ADD
1094					Life Insurance
1094					LTD
1096	2/25/1971	43.51	M	Full-Time	ADD
1096					Life Insurance
1096					LTD
1097	5/3/1961	53.33	M	Full-Time	LTD
1097					ADD
1097					Life Insurance
1098	6/22/1954	60.20	F	Full-Time	ADD

1098					LTD
1098					Life Insurance
1099	10/13/1953	60.89	M	Full-Time	ADD
1099					Life Insurance
1099					LTD
1103	7/15/1985	29.11	M	Full-Time	ADD
1103					LTD
1103					Life Insurance
1109	10/20/1973	40.85	F	Full-Time	LTD
1109					Life Insurance
1109					ADD
1110	1/22/1967	47.60	M	Full-Time	ADD
1110					Life Insurance
1112	11/21/1980	33.76	M	Full-Time	Life Insurance
1112					ADD
1113	4/30/1975	39.33	F	Full-Time	ADD
1113					Life Insurance
1113					LTD
1114	5/18/1990	24.27	F	Full-Time	LTD
1114					Life Insurance
1114					ADD
1115	6/18/1987	27.19	F	Full-Time	ADD
1115					Life Insurance
1115					LTD
1118	4/26/1960	54.35	F	Full-Time	ADD
1118					Life Insurance
1119	12/12/1957	56.72	M	Full-Time	Life Insurance
1119					ADD
1121	3/25/1956	58.44	M	Full-Time	Life Insurance
1121					ADD
1123	9/27/1983	30.91	M	Full-Time	Life Insurance
1123					ADD
1124	3/12/1987	27.45	M	Full-Time	ADD
1124					Life Insurance
1125	3/17/1963	51.46	M	Full-Time	ADD
1125					Life Insurance
1127	5/3/1981	33.32	M	Full-Time	ADD
1127					Life Insurance
1129	5/28/1991	23.24	M	Full-Time	ADD
1129					LTD
1129					Life Insurance
1131	7/2/1989	25.15	M	Full-Time	ADD

1131					LTD
1131					Life Insurance
1132	2/19/1985	29.51	F	Full-Time	LTD
1132					ADD
1132					Life Insurance
1133	9/8/1971	42.97	F	Full-Time	Life Insurance
1133					ADD
1133					LTD
1136	6/3/1974	40.24	F	Full-Time	ADD
1136					Life Insurance
1136					LTD
1137	7/28/1948	66.10	M	Full-Time	LTD
1137					Life Insurance
1137					ADD
1138	3/7/1971	43.48	F	Full-Time	ADD
1138					LTD
1138					Life Insurance
1142	1/18/1978	36.61	M	Full-Time	Life Insurance
1142					ADD
1144	6/27/1983	31.16	F	Full-Time	ADD
1144					Life Insurance
1197	2/11/1972	42.55	M	Full-Time	Life Insurance
1197					LTD
1197					ADD
1201	2/8/1987	27.54	F	Full-Time	ADD
1201					Life Insurance
1201					LTD
1210	2/25/1988	26.50	F	Full-Time	Life Insurance
1210					ADD
1214	12/1/1986	27.73	M	Full-Time	ADD
1214					Life Insurance
1214					LTD
1223	8/31/1992	21.98	M	Full-Time	LTD
1223					Life Insurance
1223					ADD
1225	1/2/1947	67.67	M	Full-Time	Life Insurance
1225					ADD
1225					LTD
1262	2/1/1962	52.58	M	Full-Time	Life Insurance
1262					LTD
1262					ADD
1263	6/7/1956	58.24	F	Full-Time	LTD

1263					ADD
1263					Life Insurance
1293	3/13/1956	58.47	F	Full-Time	LTD
1293					ADD
1293					Life Insurance
1312	5/24/1960	54.27	M	Full-Time	LTD
1312					ADD
1312					Life Insurance
1330	6/4/1945	69.25	M	Full-Time	ADD
1330					Life Insurance
1421	9/30/1948	65.93	M	Full-Time	Life Insurance
1421					ADD
1421					LTD
1422	3/28/1968	46.42	M	Full-Time	LTD
1422					Life Insurance
1422					ADD
1434	3/4/1960	54.49	M	Full-Time	Life Insurance
1434					LTD
1434					ADD
1694	1/3/1964	50.66	M	Full-Time	LTD
1694					ADD
1694					Life Insurance
1790	3/28/1962	52.43	F	Full-Time	LTD
1790					Life Insurance
1790					ADD
1822	7/28/1966	48.09	F	Full-Time	LTD
1822					ADD
1822					Life Insurance
1885	10/1/1957	56.92	M	Full-Time	ADD
1885					LTD
1885					Life Insurance
1900	9/21/1981	32.93	M	Full-Time	Life Insurance
1900					LTD
1900					ADD
1968	8/9/1958	56.06	M	Full-Time	LTD
1968					Life Insurance
1968					ADD
1970	12/14/1950	63.72	M	Full-Time	ADD
1970					Life Insurance
1970					LTD
2169	7/5/1948	66.16	M	Full-Time	LTD
2169					Life Insurance

2169					ADD
2233	6/29/1964	50.17	M	Full-Time	ADD
2233					LTD
2233					Life Insurance
2325	7/2/1947	67.18	M	Full-Time	LTD
2325					Life Insurance
2325					ADD
2417	10/13/1957	56.88	M	Full-Time	ADD
2417					Life Insurance
2417					LTD
2418	9/16/1950	63.96	M	Full-Time	Life Insurance
2418					ADD
2418					LTD
2520	9/19/1954	59.95	M	Full-Time	LTD
2520					ADD
2520					Life Insurance
2530	3/15/1954	60.47	M	Full-Time	LTD
2530					ADD
2530					Life Insurance
2541	7/23/1950	64.12	M	Full-Time	LTD
2541					ADD
2541					Life Insurance
2550	4/10/1950	64.40	F	Full-Time	ADD
2550					LTD
2550					Life Insurance
2597	6/25/1974	40.18	M	Full-Time	ADD
2597					Life Insurance
2597					LTD
2660	8/14/1953	61.05	M	Full-Time	Life Insurance
2660					LTD
2660					ADD
2744	2/18/1955	59.54	M	Full-Time	ADD
2744					LTD
2744					Life Insurance
2890	4/20/1962	52.36	F	Full-Time	ADD
2890					Life Insurance
2890					LTD
2904	3/6/1952	62.49	M	Full-Time	ADD
2904					LTD
2904					Life Insurance
3020	10/13/1955	58.89	M	Full-Time	ADD
3020					LTD

3020					Life Insurance
3152	12/29/1960	53.67	M	Full-Time	Life Insurance
3152					LTD
3152					ADD
3275	12/20/1950	63.70	F	Full-Time	ADD
3275					Life Insurance
3275					LTD
3359	8/6/1968	46.06	M	Full-Time	LTD
3359					ADD
3359					Life Insurance
3478	6/3/1960	54.24	F	Full-Time	Life Insurance
3478					ADD
3478					LTD
3801	11/4/1959	54.82	F	Full-Time	LTD
3801					Life Insurance
3801					ADD
3860	5/12/1957	57.31	M	Full-Time	Life Insurance
3860					ADD
3860					LTD
3865	9/17/1952	61.96	M	Full-Time	ADD
3865					LTD
3865					Life Insurance
3916	1/11/1956	58.64	M	Full-Time	ADD
3916					LTD
3916					Life Insurance
4007	8/26/1949	65.02	F	Full-Time	ADD
4007					LTD
4007					Life Insurance
4129	7/1/1965	49.16	F	Full-Time	ADD
4129					LTD
4129					Life Insurance
4349	8/4/1966	48.07	F	Full-Time	ADD
4349					LTD
4349					Life Insurance
4374	5/23/1957	57.28	M	Full-Time	Life Insurance
4374					LTD
4374					ADD
4400	9/21/1959	54.95	M	Full-Time	ADD
4400					Life Insurance
4400					LTD
4417	3/20/1976	38.44	M	Full-Time	ADD
4417					Life Insurance

4417					LTD
4680	2/4/1965	49.57	M	Full-Time	Life Insurance
4680					LTD
4680					ADD
4800	6/2/1958	56.25	M	Full-Time	ADD
4800					LTD
4800					Life Insurance
4831	8/30/1944	70.01	M	Full-Time	ADD
4831					LTD
4831					Life Insurance
4921	10/23/1963	50.85	F	Full-Time	LTD
4921					Life Insurance
4921					ADD
4923	8/23/1959	55.02	M	Full-Time	ADD
4923					LTD
4923					Life Insurance
4938	5/14/1962	52.30	F	Full-Time	Life Insurance
4938					ADD
4938					LTD
4974	7/3/1957	57.16	F	Full-Time	ADD
4974					Life Insurance
4974					LTD
5165	8/31/1959	55.00	M	Full-Time	Life Insurance
5165					ADD
5165					LTD
5372	4/3/1961	53.41	M	Full-Time	Life Insurance
5372					LTD
5372					ADD
5390	10/14/1957	56.88	M	Full-Time	ADD
5390					LTD
5390					Life Insurance
5463	3/28/1965	49.42	M	Full-Time	LTD
5463					Life Insurance
5463					ADD
5618	9/11/1953	60.98	M	Full-Time	ADD
5618					Life Insurance
5618					LTD
5622	12/6/1950	63.74	M	Full-Time	ADD
5622					Life Insurance
5622					LTD
5885	10/14/1953	60.88	M	Full-Time	LTD
5885					Life Insurance

5885					ADD
5928	1/26/1953	61.60	F	Full-Time	Life Insurance
5928					LTD
5928					ADD
6025	8/17/1959	55.04	M	Full-Time	LTD
6025					ADD
6025					Life Insurance
6084	1/4/1957	57.66	M	Full-Time	ADD
6084					Life Insurance
6084					LTD
6135	11/18/1949	64.79	F	Full-Time	Life Insurance
6135					ADD
6135					LTD
6137	3/30/1955	59.43	M	Full-Time	LTD
6137					ADD
6137					Life Insurance
6182	3/7/1966	48.48	F	Full-Time	LTD
6182					ADD
6182					Life Insurance
6210	11/9/1963	50.81	M	Full-Time	ADD
6210					Life Insurance
6210					LTD
6225	7/12/1956	58.14	F	Full-Time	Life Insurance
6225					LTD
6225					ADD
6245	3/20/1963	51.45	F	Full-Time	LTD
6245					Life Insurance
6245					ADD
6279	4/19/1967	47.36	F	Full-Time	LTD
6279					Life Insurance
6279					ADD
6295	1/16/1954	60.63	M	Full-Time	ADD
6295					LTD
6295					Life Insurance
6428	3/12/1961	53.47	M	Full-Time	ADD
6428					Life Insurance
6428					LTD
6509	3/21/1959	55.45	M	Full-Time	ADD
6509					Life Insurance
6509					LTD
6535	12/10/1954	59.73	F	Full-Time	ADD
6535					Life Insurance

6535					LTD
6548	3/14/1951	63.47	M	Full-Time	ADD
6548					Life Insurance
6548					LTD
6553	5/19/1946	68.30	M	Full-Time	ADD
6553					LTD
6553					Life Insurance
6749	6/4/1956	58.24	F	Full-Time	ADD
6749					Life Insurance
6749					LTD
6791	4/27/1958	56.35	F	Full-Time	ADD
6791					LTD
6791					Life Insurance
6977	8/25/1953	61.02	M	Full-Time	LTD
6977					Life Insurance
6977					ADD
7003	2/28/1958	56.51	F	Full-Time	LTD
7003					Life Insurance
7003					ADD
7015	3/2/1962	52.50	M	Full-Time	LTD
7015					Life Insurance
7015					ADD
7280	11/12/1959	54.80	M	Full-Time	ADD
7280					Life Insurance
7280					LTD
7282	2/14/1949	65.55	F	Full-Time	ADD
7282					Life Insurance
7282					LTD
7379	7/6/1957	57.16	F	Full-Time	ADD
7379					LTD
7379					Life Insurance
7557	12/3/1952	61.75	M	Full-Time	Life Insurance
7557					ADD
7557					LTD
7725	12/10/1951	62.73	F	Full-Time	LTD
7725					ADD
7725					Life Insurance
7730	4/22/1956	58.36	F	Full-Time	Life Insurance
7730					LTD
7730					ADD
7800	11/24/1958	55.77	M	Full-Time	ADD
7800					Life Insurance

7800					LTD
7843	8/17/1949	65.05	M	Full-Time	ADD
7843					Life Insurance
7843					LTD
7995	11/26/1958	55.76	F	Full-Time	ADD
7995					LTD
7995					Life Insurance
8120	9/24/1970	43.93	M	Full-Time	Life Insurance
8120					ADD
8120					LTD
8135	11/12/1962	51.80	F	Full-Time	Life Insurance
8135					ADD
8135					LTD
8247	11/7/1959	54.82	M	Full-Time	LTD
8247					ADD
8247					Life Insurance
8499	4/4/1960	54.41	M	Full-Time	Life Insurance
8499					ADD
8499					LTD
8614	4/24/1962	52.35	F	Full-Time	ADD
8614					Life Insurance
8614					LTD
8702	1/28/1961	53.59	F	Full-Time	ADD
8702					Life Insurance
8702					LTD
8755	2/2/1958	56.58	M	Full-Time	ADD
8755					Life Insurance
8755					LTD
8764	4/21/1951	63.37	F	Full-Time	ADD
8764					Life Insurance
8764					LTD
8768	5/1/1941	73.35	M	Full-Time	LTD
8768					Life Insurance
8768					ADD
8775	7/19/1957	57.12	F	Full-Time	ADD
8775					Life Insurance
8775					LTD
8941	5/15/1963	51.30	M	Full-Time	ADD
8941					LTD
8941					Life Insurance
8974	1/1/1965	49.66	M	Full-Time	ADD
8974					Life Insurance

8974					LTD
8987	5/1/1973	41.33	M	Full-Time	ADD
8987					Life Insurance
8987					LTD
8990	8/12/1970	44.05	F	Full-Time	ADD
8990					Life Insurance
8990					LTD
9011	9/12/1935	78.99	M	Full-Time	Life Insurance
9011					ADD
9011					LTD
9026	9/23/1956	57.94	M	Full-Time	ADD
9026					Life Insurance
9026					LTD
9259	6/23/1959	55.19	M	Full-Time	LTD
9259					Life Insurance
9259					ADD
9304	6/16/1958	56.21	F	Full-Time	LTD
9304					Life Insurance
9304					ADD
9318	7/3/1954	60.17	M	Full-Time	ADD
9318					LTD
9318					Life Insurance
9320	10/21/1958	55.86	M	Full-Time	ADD
9320					Life Insurance
9320					LTD
9387	8/9/1959	55.06	M	Full-Time	ADD
9387					Life Insurance
9387					LTD
9792	4/6/1962	52.40	F	Full-Time	ADD
9792					Life Insurance
9792					LTD
9809	8/24/1943	71.03	F	Full-Time	ADD
9809					LTD
9809					Life Insurance

Total annual income for all Employees:

\$13,065,258.91

ATTACHMENT L
Life Insurance Claim Report
RFP#650-25-14

8801 Indian Hills Drive, Omaha Ne 68114

RunDate: 8/20/2014
Page: 1

LIFE - Claim Status Report

[illegible]

ATTACHMENT M
LTD Claim Report
RFP#650-25-14

The Lincoln National Life Insurance Company
8801 Indian Hills Drive, Omaha Ne 68114

Claim Location: 1594524

MGMT# 7095 BPO# 1233
LTD - Claim Status Report
Benefit Period: 1/1/2012 to 8/20/2014

RunDate: 8/20/2014
Page: 1

Claimant Name	SSN	Benefit Type	Claim Number	Date Received	Date of Disability	Status	Last Payment	Benefit Amount	Closed Date	Status Reason
[REDACTED]	[REDACTED]	LTD	1120065616	4/9/2012	1/26/2012	CLOSED			7/24/2012	
[REDACTED]	[REDACTED]	LTD	1140062430	3/24/2014	1/1/2013	PAY	7/25/2014	\$1,857.44		
[REDACTED]	[REDACTED]	LTD	1130088100	5/6/2013	10/12/2012	PAY	8/6/2014	\$400.16		
[REDACTED]	[REDACTED]	LTD	1130077738	4/19/2013	11/7/2012	CLOSED	8/30/2013	\$1,911.52	12/13/2013	
Total Claims: 4								\$4,169.12		