



# GREATER DAYTON PREMIER MANAGEMENT

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## Request for Proposal RFP # 24-11 Strategic Plan Consultant

Issue Date	August 15, 2024
Pre-Proposal Meeting	N/A
Questions from Contractors Due	August 29, 2024
Responses from GDPM to Be Posted By	September 5, 2024
Proposals Due	September 12, 2024 @ 10 am
Anticipated Award Announcement	September 19, 2024

**Pre-Proposal Meeting:** There is no scheduled pre-proposal meeting.

**Bid-Opening:** There is not be a scheduled public bid opening. On or near the Anticipated Award Announcement date, GDPM will post the award announcement on it's website at the following link:

<https://www.gdpm.org/development-construction/construction-opportunities/>

### How to Submit Bids:

**PROPOSALS MUST BE SUBMITTED ELECTRONICALLY TO:**

[housingdevelopment@dmha.org](mailto:housingdevelopment@dmha.org) and

[ebid@dmha.org](mailto:ebid@dmha.org)

THE SUBJECT LINE MUST STATE: **RFP 24-11 Strategic Plan Consultant**

*PLEASE REFER TO THE ENCLOSED INSTRUCTIONS FOR THE PROPOSAL PACKET FORMAT.*

**Questions about this Bid Shall be Submitted Electronically to:** [housingdevelopment@dmha.org](mailto:housingdevelopment@dmha.org)

Greater Dayton Premier Management reserves the right to reject any or all proposals, or waive any informality in the bidding. No proposals shall be withdrawn for a period of one hundred twenty (120) days of submission.

All awardees shall be required to meet Affirmative Action requirements and Equal Opportunity requirements and must insure that all employees and applicants for employment are not discriminated against because of race, color, religion, national origin, disability, age, ancestry, creed, or military status.



# Greater Dayton Premier Management

## RFP 24-11

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***All Attachments must be included in the RFP Submission***



# Greater Dayton Premier Management

Enhancing Neighborhoods • Strengthening Communities • Changing Lives

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## RFP 24-11 STRATEGIC PLAN CONSULTANT

Dayton Metropolitan Housing Authority dba Greater Dayton Premier Management (GDPM) is an Ohio political subdivision that functions as the public housing authority in Montgomery County, Ohio. GDPM operates both a public housing and Housing Choice Voucher (HCV) program, along with Family Self Sufficiency, ROSS and a complex redevelopment plan utilizing HUD's Rental Assistance Demonstration (RAD) program. GDPM is publishing this Request for Proposals (RFP) to identify and select Strategic Plan Consulting Services for the completion of a 5 Year Agency Strategic Plan that incorporates the required U.S. Department of Housing and Urban Development's (HUD) PHA Five Year and Annual Plan for the period of FY2025-2030.

GDPM is seeking proposals from consultants with demonstrated professional competence and experience to facilitate a comprehensive planning process that results in a strategic plan that will guide the direction, focus, scope of services, and development of GDPM during the time period of 2025-2030. The planning process will focus on the need to maintain and expand quality affordable housing programs and supportive services throughout Montgomery County. The process will include, but not limited to, a realistic evaluation of operational, programmatic, and capital needs, as well as the community needs for affordable housing. The process will include a commitment to quality customer service, communication, and effective teamwork.

### I. Project Description:

A. Project Identification: RFP– 24-11 Strategic Plan Consultant

B. Work Summary:

1. Services: The scope of work includes, but is not limited to, the following:

- a. Assist the GDPM board with reviewing the mission and vision statements that reflect the current and future goals of the Authority;
- b. Review and analyze existing data provided by GDPM;
- c. Assess GDPM's standing in the community, its perceived strengths, weaknesses, opportunities and threats;
- d. Evaluate and incorporate the 5 Year PHA Plan with the Strategic Plan;
- e. Review and analyze initiatives such as asset repositioning, resident services programming, opportunities to leverage Invictus Development (GDPM's nonprofit development arm);
- f. Identify strategies to build organizational capacity for addressing community needs and improve internal efficiencies;
- g. Succession Planning;
- h. An assessment of facilities, services, technology, and operations;
- i. Financial resources and sustainability;
- j. Future trends in technology;
- k. Trends affecting the future of affordable housing authorities in general;
- l. Review and strategy regarding community organizations that either supplement or complement affordable housing services; and

- m. Review of existing policies and operational practices.
2. Kick-Off Meeting: The consultant will meet with GDPM's strategic planning committee to discuss roles and responsibilities in the planning process and 5 Year PHA Plan development. GDPM will provide the consultant with relevant information. The consultant will identify necessary data collection by GDPM staff, and the parties will discuss the best means for executing the project deliverables.
  3. Attending Periodic Meetings: GDPM expects that the consultant will be available for periodic meetings, including the Kick-Off Meeting, as well as meetings to present the new Strategic and 5 Year PHA Plans. Also, consultant must be available for conference calls throughout the planning process.
  4. Bi-Weekly Status Updates: The consultant will provide status updates every two weeks via e-mail to the GDPM Strategic Planning Committee throughout the planning process and be available by phone, as needed.
  5. Create and Conduct Anonymous Surveys (AS TIME ALLOWS): The strategic planning consultant will work with GDPM's strategic planning team to create and administer surveys to solicit responses from a variety of sources, including GDPM's staff, board members, public housing residents, HCV program participants, HCV landlords, and community partners. The goal of these surveys is to assess whether GDPM's current goals should be modified as part of GDPM's 2025-2030 strategic vision and to garner feedback for overall agency improvements.
  6. Conduct Focus Groups (AS TIME ALLOWS): The consultant will work with GDPM's strategic planning team to conduct focus groups involving public housing residents, HCV program participants, HCV landlords, funders, and community partners. The goal of these focus groups is to evaluate GDPM's current standing in the community, any perceived strengths, weaknesses, opportunities and threats. The goals of the focus groups will also be to assess whether GDPM's current strategic directions should be modified as part of GDPM's 2025-2030 strategic vision. In addition, feedback will be sought regarding attitudes toward affordable housing, neighborhood stability, economic opportunity, and GDPM communications and customer service GDPM program participants.
  7. The consultant will conduct interviews of:
    - Members of GDPM's Board of Commissioners to evaluate and establish goals for the Strategic Plan and to discuss the Board's vision for GDPM;
    - Government agency partners at City, State and Federal levels to evaluate GDPM's perceived strengths, weaknesses, opportunities and threats and evaluate current activities; and
    - Key local partner agencies to evaluate GDPM's perceived strengths, weaknesses, opportunities and threats and evaluate current activities.
  8. Evaluation Compilation and Report: At the conclusion of the survey, focus groups, interviews, and data collection, the planning consultant will compile and analyze the information obtained during the evaluation process. The consultant will provide a written report with its analysis, as well as the compilation of survey responses, focus group and interview summaries.

9. Key Deliverables and Due dates:

Deliverable	Due Date
Kick-off Meeting	October 1 <sup>st</sup> , 2025
Determine timeline and approach for specific deliverables such as surveys, meetings, etc.	October 4 <sup>th</sup> , 2025
5 Year PHA Plan	Publish draft not later than Feb 1 <sup>st</sup> 2025. Due to HUD April 17, 2025
Strategic Plan	TBD

II. **Submission Requirements:** To be considered, Consultant’s bid packet must be fully completed. Please read all the Instructions carefully and contact [housingdevelopment@gdpm.org](mailto:housingdevelopment@gdpm.org) if you have any questions. A complete proposal packet will contain the following completed items:

- a. Statement of Qualifications:
  - i. An introduction to you/your firm
  - ii. A listing of proposed project personnel, including personal experiences and resumes for primes and subcontractors/consultants.
  - iii. Proof of licenses and credentials, if applicable
  - iv. Provide related experience with regard to public housing strategic planning
  - v. A list of at least three professional references.
- b. *Statement of Strategy:* Please provide a statement or clear outline on how you intend to assist GDPM in the design and execution of the 5YR PHA Plan and Strategic Planning Process. This Statement of Strategy should not exceed three pages.
- c. *Fee Proposal and Cost Analysis Forms*
- d. *Contractor Information Form*
- e. *Non-Collusive Affidavit*
- f. *Section 3 Form*
- g. *W-9*

Only email submissions will be accepted. The email shall be addressed to [housingdevelopment@gdpm.org](mailto:housingdevelopment@gdpm.org) and [ebid@dmha.org](mailto:ebid@dmha.org) . The subject line of the email shall state the Contractor’s name and include the words “**RFP 24-11 Public Housing Strategic and 5 Year PHA Plan Consultant.**” No late submittals will be accepted. Electronic signatures are accepted.

### III. Selection Criteria

GDPM intends to have a selection committee of at least three to evaluate proposals. Proposals will be evaluated using the following criteria:

No.	Evaluation Criteria	Value
1	Qualifications and expertise of firm and key personnel: <ul style="list-style-type: none"><li>• Firm's strategic planning experience in general</li><li>• Proposed team make-up and qualifications, including roles of key personnel, their related educational/professional qualifications and resumes.</li></ul>	40
3	Statement of Strategy Describe your proposed approach. How would your firm approach this project?	35
4	Fee Proposal	20
5	Presentation, completeness, organization, and conformance to the RFP content and format requirements.	5
	<b>Total</b>	<b>100</b>
	Section 3 Contractor/Section 3 Implementation Plan & Strategy	15
	<b>Total with Section 3 Preference</b>	<b>115</b>

- IV. **Davis Bacon/Prevailing Wages:** Prevailing wage requirements of the Davis-Bacon and related Acts (DBRA) apply to laborers and mechanics on federal construction and most federally assisted construction projects in excess of \$2,000. **Davis Bacon Wage Rates DO NOT apply to this project.** Therefore, the Contractor shall follow all requirements including, but not limited to, submitting required documentation to evidence compliance. A copy of the most recent wage determination is attached hereto.
- V. **Section 3:** The Section 3 program requires that recipients of certain HUD financial assistance, to the greatest extent possible, provide training, employment, contracting and other economic opportunities to low- and very low-income persons, especially recipients of government assistance for housing, and to businesses that provide economic opportunities to low- and very low-income persons. GDPM provides preferences to business that are registered as Section 3. For more information on Section 3 or how to register to become a Section 3 business please visit: <https://www.hud.gov/section3> or contact GDPM's Procurement Department at [procurement@dmha.org](mailto:procurement@dmha.org).
- For this solicitation, Section 3 Contractors and/or acceptable Section 3 Strategy Plans will receive up to 15 preference points. Please refer to the Supplemental Instructions to Contractors for Section 3 Compliance included in this packet.
- VI. **GDPM Professional Services General Terms & Conditions (up to \$250,000):** Please carefully read and review the relevant terms and conditions including, but not limited to, the GDPM insurance requirements, prior to submitting your proposal. GDPM's Professional Services General Terms and Conditions (up to \$250,000) is available for review at <https://www.gdpm.org/development-construction/documents/>.
- VII. **Additional Information May Be Required:** If you are new to doing business with GDPM or it's been more than five years since you've worked on a GDPM related project, prior to Contract Award GDPM may require additional information including, but not necessarily limited to, references and evidence of capacity to perform. GDPM will request this information only if Contractor is selected for the award. Contractor will then have 72 hours to provide the requested information. If Contractor fails to provide the requested information, the information is inadequate or the information proves disqualifying in GDPM's discretion, GDPM will cancel the award and select the next lowest bidder for the Contract Award.
- VIII. **Reservation of Rights:** GDPM reserves the right to reject a proposal, if, in its sole discretion, that bidder is determined not to be the best-qualified or to be deficient in experience, technical proficiency or unable to provide qualified manpower to meet the specifications. GDPM reserves the rights to reject any or all proposals, to waive any informality in the RFP process, or to terminate the RFP process at any time, if deemed by GDPM to be in its best interests. GDPM reserves the right not to award a contract pursuant to this RFP. GDPM reserves the right to change, modify, amend, revise or alter any of the instructions, terms, conditions, and/or specifications identified in the RFP documents within any attachment or drawing, or within any addenda issued. All addenda will be posted to GDPM's website at [www.gdpm.org](http://www.gdpm.org).
- IX. **Questions regarding this Solicitation:** If you have any questions or if you'd like to receive notifications concerning this solicitation, please send a request with your name and email address to [housingdevelopment@dmha.org](mailto:housingdevelopment@dmha.org).

**ATTACHMENT A: FEE PROPOSAL FORM**

By completing and submitting a proposal, and by submitting the costs where provided, the undersigned proposer is thereby agreeing to abide by all terms and conditions pertaining to this RFP as issued by GDPM. Pursuant to all RFP documents, all attachments, and completed documents submitted by the proposer, the undersigned propose to supply GDPM with the services described herein for the fee(s) entered within the areas provided.

**Base Bid**

Proposed fees for Strategic Planning and 5 Year PHA Plan consulting services as specified herein, including all costs are:

\$ \_\_\_\_\_

Staff prices: hourly staff pricing will be utilized for additional work if requested by GDPM. The actual amount required will be only as requested by GDPM and may be none at all. These hourly prices are not included in the base bid above.

Item	Staff Name and Title	Certifications (If applicable)	Hourly Rate
1			\$
2			\$
3			\$
4			\$
5			\$
6			\$
7			\$
8			\$
9			\$
10			\$
11			\$
12			\$
13			\$

Estimated Additional Travel Costs: To be utilized only if additional work is requested.

1. Air fare round trip per flight: \$ \_\_\_\_\_ (GDPM will only reimburse)
2. Per Diem daily rate: \$ \_\_\_\_\_ (may not exceed GSA rate)
3. Rental car per day \$ \_\_\_\_\_ (mid-size rate only)



## ATTACHMENT A: COST ANALYSIS

HUD regulations require a cost analysis prior to an award of a contract.  
Please supply the information requested below to confirm how the base  
proposal fee was tabulated.

### DIRECT COSTS:

Direct Labor (Personnel) \$ \_\_\_\_\_

Equipment \$ \_\_\_\_\_

Supplies \$ \_\_\_\_\_

Travel and Per Diem \$ \_\_\_\_\_

Subcontractors or Consultants \$ \_\_\_\_\_

Other \$ \_\_\_\_\_  
(computer time, copying, long-distance  
phone calls, etc.)

### INDIRECT COSTS:

Overhead \$ \_\_\_\_\_

General & Administrative Expenses \$ \_\_\_\_\_

PROFIT OR FEE \$ \_\_\_\_\_



# REQUEST FOR PROPOSAL PROFESSIONAL SERVICES

## Contractor Information

RFP Name

Solicitation  
No.

Prevailing Wage?

Proposal Due Date

Contract Term

### Contractor Information

Name of Business:

Primary Contact

Street Address:

Street Address Line 2:

City:

State:

Zip Code:

Contact Number:

E-mail:\*

Check at Least one  
of the Following:\*

Section 3

MBE/WBE

Veteran

None Apply

Are you currently  
suspended,  
debarred or  
otherwise deemed  
ineligible for a  
federal contract  
award?

Check box if  
addendum was  
reviewed (*don't check if  
not applicable*)

Addendum 1

Addendum 2

Addendum 3

Addendum 4

Other

By signing below, Contractor attests that he/she has the legal power, right, and authority to make this Agreement. Contractor agrees that if selected for the Contract Award, Contractor is qualified to perform all work necessary to complete the services as specified in the Contract Documents at Contractor's quoted price. Further, Contractor has reviewed, acknowledges and accepts the provisions within the Contract Documents including, but not limited to, Form HUD 5369-B Instructions to Offerors Non-Construction, the Specifications, Contractor's bid, and the GDPM Professional Services General Terms and Conditions (up to \$250,000). Unless otherwise specified in writing by GDPM on GDPM letterhead and signed by both parties, during the term of the Contract, if any provision within the Contract Documents is in conflict with, or inconsistent with any of the GDPM General Terms and Conditions, the GDPM General Terms and Conditions shall prevail. Terms that conflict with and/or are inconsistent with the GDPM General Terms and Conditions are hereby revoked, rejected and void, even if the contract documents containing such terms are executed after the GDPM General Terms and Conditions, this includes, but is not limited to indemnification, warranty, payment, order of precedence, and integration provisions. By signing signing below, Contractor acknowledges that GDPM reserves it right to reject any and/or all bid or to cancel the solicitation at any time and for any reason(s). The total Contract Award shall not exceed \$250,000 during the entire Contract Term. Contractor's proposal shall be valid for at least 90 days subsequent to the bid opening date. GDPM Contract Documents are available at <https://www.gdpm.org/development-construction/documents/>.

\_\_\_\_\_  
Contractor Signature of Acceptance

\_\_\_\_\_  
Date

**Acceptance of Proposal:**

GDPM accepts your proposal and the Master Agreement containing the solicitation, General Terms and Conditions, and cost catalog are hereby in effect.

\_\_\_\_\_  
GDPM Signature of Acceptance

\_\_\_\_\_  
Date

## Non-Collusive Affidavit and Full Disclosure Statement

**Non-Collusive Affidavit:** The undersigned party hereby certifies that this proposal/bid is genuine and not collusive or sham; that said offeror has not colluded, conspired, connived or agreed, directly or indirectly, with any offeror or person to put in a sham bid or to refrain from bidding, and has not in any manner, directly or indirectly, sought by agreement or collusion, or communication, or conference, with any person, to fix the bid price or any other offeror, or to fix any overhead, profit or cost element of said bid price, or of that of any other offeror, or to secure any advantage against the Greater Dayton Premier Management or any person interested in the proposed contract; and that all statements in said proposal or bid are true.

**Disclosure:** The undersigned certifies that I, nor any member of my immediate family does not now, and has not for the preceding two years, had any interest, whatsoever, whether direct, or indirect, in GDPM or any of its members or officials including but not limited to any interest which yields or has the potential of yielding directly or indirectly a monetary or other material gain or benefit with any employees, officers and commissioners of GDPM and members of their immediate family, or any interest arising from blood or marriage or from close business association, notwithstanding whether any financial interest is involved with any employees, officers and commissioners of GDPM members of their families or employment or services rendered as a member, official or officer of GDPM.

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

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

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

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



# Greater Dayton Premier Management

Enhancing Neighborhoods • Strengthening Communities • Changing Lives

## **Prospective Business Vendor:**

Enclosed, you will find a variety of forms regarding Section 3 (Housing & Urban Development Opportunities Act of 1968, as amended). Please complete and attach the Section 3 forms with your bid submission. **Failure to submit the appropriate forms may jeopardize the proposal/bid up to and including the possibility of said proposal/bid being deemed non-responsive**

**Anyone claiming to be a Section 3 Business Concern shall be required, as set forth by procedure, to provide evidence of such status. Section 3 Business Concerns claiming Section 3 Preference status must meet that status at the time the bid, quote or proposal is submitted to GDPM.**

## **Section 3 Required Forms:**

- 1) Section 3 Assurance of Compliance & Section 3 Clause
- 2) Section 3 Action Plan
- 3) Section 3 Certification for Preference
- 4) Preference Category Acknowledgement S3 Residents

If you need any assistance or help regarding Section 3, feel free to contact us. We look forward to assisting you with Section 3 implementation.

**[Procurement@dmha.org](mailto:Procurement@dmha.org)**



## Greater Dayton Premier Management Section 3 Assurance of Compliance Form

### Training, Employment, and Contracting Opportunities for Section 3 Residents and Section 3 Business Concerns

- A. The project assisted 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. 170u. Section 3 requires that to the *greatest extent feasible, newly created opportunities* that are generated by the awarding of this contract be given to:
- Section 3 Workers upon their qualifications. 25% or more of all labor hours worked by all workers employed with PHA financial assistance must be Section 3 workers.
  - 5% or more of all labor hours worked by all workers employed with PHA financial assistance must be Targeted Section 3 workers.
- B. Notwithstanding any other provision of this contract, the applicant shall carry out the provisions of said Section 3 and the regulations issued pursuant thereto by the Secretary set forth in 24 CFR Part 75, and all applicable rules and orders of the Secretary issued thereunder prior to the execution of this contract. The requirements of said regulations include but are not limited to development and implementation of a Section 3 Action Plan/Strategy for utilizing Section 3 Business Concerns; the making of a good faith effort, as defined by the regulation, to provide training, employment and business opportunities required by Section 3; and incorporation of the "Section 3 Clause" specified by Section 75.9 and 75.17 of the regulations in all contracts for work in connection with the project. The applicant and recipient agency, certifies and agrees that it is under no contractual or other disability which would prevent it from complying with these requirements.
- C. Compliance with the provision of Section 3, the regulations set forth in 24 CFR Part 75, and all applicable rules and orders of the Secretary issued thereunder prior to approval by the Government of the application of this contract, shall be a condition of the Federal financial assistance provided to the project, binding upon the applicant, its contractors and subcontractors, its successors, and assigns to the sanctions specified by the contract, and to such sanctions as are specified by 24 CFR Section 75.

Applicant: \_\_\_\_\_

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

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

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

## Section 3 Clause

### ***All Section 3 covered contracts shall include the following clause (referred to as the "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 75, 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 75 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 75, 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 75. 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 75.
- 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 75.9 require employment opportunities to be directed, were not filled to circumvent the contractor's obligations under 24 CFR part 75.9
- F. Noncompliance with HUD's regulations in 24 CFR part 75 may result in sanctions, termination of this contract for default, and debarment or suspension from future HUD assisted contracts.
- G. In the event of a determination by the Executive Director or his/her designee that the Contractor is not in compliance with the section 3 clause or any rule, regulation, or report submission requirements of the GDPM, this contract may be canceled, terminated, or suspended in whole or in part, and the Contractor may be declared ineligible for further GDPM contracts for a period of one to three years.



## Contractor

### Section 3 Action Plan Submission

The Section 3 Action Plan is a requirement for contracting opportunities with GDPM. The Section 3 Action Plan must indicate/describe the proposed strategies for achieving the Section 3 training and/or employment goals, and subcontracting numerical goals, when and if **newly created opportunities** are generated upon awarding of contracts. **Failure to submit the Section 3 Action plan may jeopardize the proposal/bid up to and including the possibility of said proposal/bid being deemed non-responsive.**

Please review the Section 3 Action Plan information attached. **All Sections need to be completed and signed.** This information will help to assist you in formulating your Section 3 Action Plan. You will need to address each question and check the appropriate boxes in regards to how your company will strive to achieve Section 3 Compliance to the “**greatest extent feasible**”.

Please identify individual(s) responsible for planning, implementing and tracking the projects’ Section 3 training, employment and/or contracting goals:

Name(s): \_\_\_\_\_

Contact Info: \_\_\_\_\_

Title(s): \_\_\_\_\_

### Section 3 Subcontracting Opportunity Strategies

Please check any and all efforts from the below mentioned categories that your company will utilize to recruit, solicit, encourage, facilitate and contract with Section 3 Business Concerns when new subcontracting opportunities are generated through the awarding of the contract. **Some of the items will be mandatory as denoted with *required*.** Your acknowledgement is still needed, so please check accordingly.

*The Section 3 Action Plan is subject to audit at anytime during the awarding of the contract through the duration of the contract by the Section 3 Compliance Coordinator. **Required***

- Commit that when subcontracting occurs, 10% of the total dollar amount subcontracted out by the company and/or by subcontractors will go to Section 3 Business Concerns. **Required**
- Contact the GDPM Section 3 Compliance Department regarding all new subcontracting opportunities. **Required**
- Provide the GDPM Section 3 Compliance Department with a monthly report listing all subcontracting opportunities. **Required**
- Advertise new contracting opportunities in community (sites) and diversity newspapers/websites.
- Maintain a file of eligible qualified Section 3 Business Concerns for future contracting opportunities.
- Incorporate into contract (after selection of bidders but prior to the execution of contracts), a negotiated provision for a specific amount of work to be contracted with Section 3 Business Concern(s) during the contract.
- Sponsor or participate in minority, women, small business expositions and or conferences in the Dayton, Ohio area to network and promote contracting opportunities with Section 3 Business Concerns.
- Outreach to business assistance agencies, minority contracting associations, community organizations, to network and promote contracting opportunities with Section 3 Business Concerns.
- Contact/Meet with Resident Associations informing them of new contracting opportunities.
- Outreach to trade/labor organizations to network and promote contracting opportunities with Section 3 Business Concerns.
- Host/Facilitate workshops geared to Section 3 Business concerns on contracting procedures and opportunities.

Other:

*Note: You are required to provide opportunities to “the greatest extent feasible” in order to comply with the requirements of Section 3. In the event that you are not able to hire/train and/or contract with Section 3 Residents and/or Section 3 Business Concerns, you will be required to document why you were unable to meet the numerical goals.*

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

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





## GREATER DAYTON PREMIER MANAGEMENT SECTION 3 CERTIFICATION FOR PREFERENCE

Please note that a contract with Greater Dayton Premier Management is subject to the requirements of Section 3 of the Housing and Urban Development Act of 1968, as amended **AND** to the Section 3 Action Plan submitted with the proposal for this project.

Type of Business:  Corporation  Partnership  Sole Proprietorship  Joint Venture  LLC  MBE  WBE  
(check all that apply)

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

Contact Person: \_\_\_\_\_ Phone: \_\_\_\_\_ Email: \_\_\_\_\_

You self-certify that your business is, documented within the last six months a Section 3 Business Concern based on one of the below eligibility criteria's. (Check the one that qualifies your business):

Category 1

51 percent or more owned and controlled by low- or very low-income persons (based on household income under HUD-income limits); **or**

Category 2

**Over 75 percent or more of the business labor hours performed for the business over the prior three-month period are performed by Section 3 Workers; or**

Category 3

**It is a business at least 51 percent owned and controlled by current residents of public housing or residents who currently live in Section 8-assisted housing.**

**OR**

My business does not meet the Section 3 eligibility criteria and wishes to forgo Section 3 preferences in the awarding of this contract, but understand that we are still responsible for meeting Section 3 compliance.

-----  
*"I hereby certify that the information provided on this form is true and correct, and understand any falsification of any of the information could subject me to punishment under the law."*

Signature \_\_\_\_\_ Date \_\_\_\_\_  
**Authorized Signer**

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

If you would like more information or to register your business in the Section 3 program, please send an email to [Procurement@dmha.org](mailto:Procurement@dmha.org).

Section 3 is a provision of the Housing and Urban Development (HUD) Act of 1968 that helps foster local economic development, neighborhood economic improvement, and individual self-sufficiency. The Section 3 program requires that recipients of certain HUD financial assistance, to the greatest extent feasible, provide job training, employment, and contracting opportunities for low-or very- low income residents in connection with projects and activities in their neighborhoods.

# Request for Taxpayer Identification Number and Certification

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

▶ Go to [www.irs.gov/FormW9](http://www.irs.gov/FormW9) for instructions and the latest information.

<b>Print or type. See Specific Instructions on page 3.</b>	<b>1</b> Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.					
	<b>2</b> Business name/disregarded entity name, if different from above					
	<b>3</b> Check appropriate box for federal tax classification of the person whose name is entered on line 1. Check only <b>one</b> of the following seven boxes.		<b>4</b> Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3):			
	<input type="checkbox"/> Individual/sole proprietor or single-member LLC	<input type="checkbox"/> C Corporation	<input type="checkbox"/> S Corporation	<input type="checkbox"/> Partnership	<input type="checkbox"/> Trust/estate	Exempt payee code (if any) _____
	<input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=Partnership) ▶ _____					
	<b>Note:</b> Check the appropriate box in the line above for the tax classification of the single-member owner. Do not check LLC if the LLC is classified as a single-member LLC that is disregarded from the owner unless the owner of the LLC is another LLC that is <b>not</b> disregarded from the owner for U.S. federal tax purposes. Otherwise, a single-member LLC that is disregarded from the owner should check the appropriate box for the tax classification of its owner.					
	<input type="checkbox"/> Other (see instructions) ▶ _____					Exemption from FATCA reporting code (if any) _____ <small>(Applies to accounts maintained outside the U.S.)</small>
<b>5</b> Address (number, street, and apt. or suite no.) See instructions.			Requester's name and address (optional)			
<b>6</b> City, state, and ZIP code						
<b>7</b> 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 generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the instructions for Part I, later. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN*, later.

**Note:** If the account is in more than one name, see the instructions for line 1. Also see *What Name and Number To Give the Requester* for guidelines on whose number to enter.

<b>Social security number</b>											
				-			-				
<b>or</b>											
<b>Employer identification number</b>											
				-							

## Part II Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and
3. I am a U.S. citizen or other U.S. person (defined below); and
4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

**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 for Part II, later.

<b>Sign Here</b>	Signature of U.S. person ▶	Date ▶
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## General Instructions

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

**Future developments.** For the latest information about developments related to Form W-9 and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/FormW9](http://www.irs.gov/FormW9).

## Purpose of Form

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

- Form 1099-INT (interest earned or paid)

- Form 1099-DIV (dividends, including those from stocks or mutual funds)
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-S (proceeds from real estate transactions)
- Form 1099-K (merchant card and third party network transactions)
- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
- Form 1099-C (canceled debt)
- Form 1099-A (acquisition or abandonment of secured property)

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

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

# Is your Proposal Packet Complete?



**Are the following forms completed, signed and in your Proposal Packet?**

- 1. Statement of Qualifications**
- 2. Statement of Strategy**
- 3. Request for Proposal Contractor Information Sheet**
- 4. Fee Proposal and Cost Analysis Form**
- 5. Contractor Information Form**
- 6. Non-Collusive Affidavit**
- 7. Section 3 Form**
- 8. W-9 (if not already registered with GDPM)**