

**REQUEST FOR PROPOSALS  
FOR  
COMPREHENSIVE  
PLANNING SERVICES**

**CITY OF LOCK HAVEN  
COMPREHENSIVE PLAN UPDATE  
LOCK HAVEN  
CLINTON COUNTY, PENNSYLVANIA**



Proposals Solicited by:

**CITY OF LOCK HAVEN  
20 EAST CHURCH STREET  
LOCK HAVEN, PA 17745**

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Dates of Publication: Friday, August 30, 2019 and Friday, September 6, 2019  
Contact: Abigail Roberts, Planner & Development Coordinator



## REQUEST FOR PROPOSALS

The City of Lock Haven is requesting proposals for the purchase of professional comprehensive planning services to update its existing comprehensive plan last updated in 2005. These services will consist of accomplishing the Scope of Work to be included in the request for proposals. Complete proposal details, the required proposal format, and Scope of Work, may be obtained by contacting:

Abigail Roberts  
Planner & Development Coordinator  
20 East Church Street  
Lock Haven, PA 17745  
570-893-5903  
aroberts@lockhavenpa.gov

Proposal details are also available at [www.seda-cog.org](http://www.seda-cog.org) – News, Notices, Publications.

Proposals will be accepted until 4:00 P.M. prevailing time, October 4, 2019, at which time they will be publicly opened at City Hall Council Chambers, 20 East Church Street, Lock Haven, PA 17745. Each proposal will be rated and ranked in accordance with specific rating criteria identified in the RFP. Proposers must submit three (3) copies of their proposals as follows: one bound copy, one unbound copy, and one electronic version in pdf format via email or on USB flashdrive. Proposals shall be submitted on the forms required, sealed and clearly marked on the outside "Comprehensive Plan Update" and submitted to:

Gregory Wilson, City Manager  
City of Lock Haven  
20 East Church Street  
Lock Haven, PA 17745

**Proposals that are faxed or e-mailed to the City of Lock Haven will not be accepted.**

All qualified individuals and firms will receive consideration without regard to race, color, religious creed, ancestry, national origin, age, sex, handicap or family status.

The City of Lock Haven is an equal opportunity/affirmative action employer.



**REQUEST FOR PROPOSALS (RFP)  
COMPREHENSIVE PLAN UPDATE  
CITY OF LOCK HAVEN, CLINTON COUNTY, PENNSYLVANIA**

The City of Lock Haven (CITY) proposes to use a recently approved Community Development Block Grant for an update to its comprehensive plan last updated in 2005, as detailed in the scope of work. It should be recognized by all proposers that the Scope of Services included herewith might exclude some minor, incidental responsibilities not currently identifiable.

Proposals will be ranked in accordance with specific rating criteria identified in this RFP and should include a completed Standard Planning Estimate. Proposers must submit three (3) copies of their proposals as follows: one bound copy, one unbound copy, and one electronic version in pdf format via email or on USB flashdrive. Proposals must be mailed through the United States Postal Service or dropped off to:

Gregory Wilson, City Manager  
City of Lock Haven  
20 E. Church Street  
Lock Haven, PA 17745

All proposals shall be marked on the outside, "Comprehensive Plan Update." Proposals must be received by 4:00 P.M. prevailing time, October 4, 2019, at which time they will be publicly opened at City Hall Council Chambers, 20 East Church Street, Lock Haven, PA 17745. Proposals, modifications to proposals, or withdrawals of proposals arriving after the closing date and time will not be accepted. Proposals submitted by fax or e-mail will not be accepted.

Questions regarding this proposal should be directed to:

Abigail Roberts  
Planner & Development Coordinator  
20 East Church Street  
Lock Haven, PA 17745  
570-893-5903  
aroberts@lockhavenpa.gov

### **Addendum and Amendment to RFP**

If it becomes necessary to revise or amend any part of this RFP, the CITY will furnish a notice of revisions to all prospective Consultants who are sent an RFP or who obtained this RFP from the CITY. Contractors must acknowledge receipt of amendments in writing.

Any questions must be submitted in writing to Planner & Development Coordinator Abigail Roberts no later than September 25, 2019. No addendum will be made after September 27, 2019.

### **Duration of Proposal**

Submitted proposals and quoted prices must be valid and will be irrevocable for at least ninety (90) days following the proposal submission deadline. This period may be extended by mutual agreement between the consultant and the CITY.

### **Incurred Expenses**

The CITY is not responsible for any expenses incurred by consultants in preparing and submitting proposals in response to this RFP.

### **Oral Presentation**

Consultants may be required to make oral presentations to CITY staff or CITY Council to clarify their proposal.

### **Rejections of Proposal: Waiver of Minor Irregularity: Negotiation**

The CITY reserves the right to reject any and all proposals submitted by reason of this RFP and to negotiate with all responsible consultants. The CITY shall have the right to determine whether any deviation from the requirements of the RFP is substantial in nature, and the CITY shall have the sole right to reject nonconforming proposals. Consultants whose proposals are not accepted will be notified in writing.

### **Cancellation of RFP**

The CITY may cancel this RFP.

### **PROJECT DESCRIPTION**

The scope of work includes collecting and organizing data, meeting with local government, residents and other entities, delivering and executing an approved public participation plan as part of the planning process, analyzing data, preparing and presenting the draft comprehensive plan for public review, and producing a final, updated Comprehensive Plan based on public input.

The updated plan must include a robust community engagement and public input component. The consultant is encouraged to employ their expertise and innovation to recommend enhancements to the attached scope of work. Positive resident and business owner participation and involvement is crucial to the success of this planning process. Recommendation(s) shall be submitted in a separate document with the proposal.

### **PROJECT AREA**

The City of Lock Haven is located in the southeastern part of Clinton County in north central Pennsylvania. Incorporated as a city of the third class by Act 60 of 1870, Lock Haven is the county seat of Clinton County. The city is the largest municipality in Clinton County encompassing 2.3 square miles with a population of 10,025.

### **MBE/WBE GOALS**

It is the public policy of the City of Lock Haven, to promote the opportunity for full participation by minority and women's business enterprises ("MBE's" and "WBE's") in all housing and community development programs receiving funds from the Pennsylvania Department of Community and Economic Development.

The City of Lock Haven has established a Minimum Participation Level (MPL) of five percent (5%) for Minority Business Enterprises (MBE) and three percent (3%) for Women Business Enterprises (WBE) of the total cost of the construction contract.

### **SECTION 3 GOALS**

The City of Lock Haven has adopted a Section 3 Action Plan in accordance with Title 24 Part 135 Code of Federal Regulations. As such, at least three percent (3%) of the total dollar amount of all non-construction Section 3 covered contracts shall, to the greatest extent feasible, be awarded to Section 3 business concerns.

The purpose of Section 3 of the Housing and Urban Development (HUD) Act of 1968, as amended, is to ensure that employment and other economic opportunities generated by certain HUD financial assistance shall, to the greatest extent feasible, and consistent with existing federal, state, and local laws and regulations, be directed to low- and very low-income persons, particularly those who are recipients of government assistance for housing; and to business concerns which provide employment opportunities to low- and very low-income persons, as summarized in the "Section 3 Clause", herein incorporated. The "Section 3 Clause", in its entirety, can be located in the Federal Code of Regulations 24 CFR Part 135.

The parties, if awarded this contract, agree to comply with HUD's regulations in 24 CFR Part 135, which implement Section 3. The parties certify that they are under no contractual or other impediment that would prevent them from complying with the Part 135 regulations.

If awarded the contract, the proposer, 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 proposer 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.

The proposer will certify that any vacant employment positions, including training positions, that are filled were not filled to circumvent the contractor's obligations under 24 CFR Part 135.

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.

### **PROPOSAL SUBMISSION AND EVALUATION**

Three (3) copies (one bound copy, one unbound copy, and one electronic version in pdf format via email or on USB flashdrive) of the proposal must be submitted to:

Gregory Wilson, City Manager  
City of Lock Haven  
20 E. Church Street  
Lock Haven, PA 17745

Proposals must be received no later 4:00 P.M. prevailing time, October 4, 2019. **Proposals that are faxed or e-mailed will not be accepted.**

Proposals will be reviewed and evaluated by CITY staff and Seda-Cog. The evaluation will include the following areas in order of relative importance:

1. Relevant experience and references (25 points)
2. Technical qualifications of individuals to be assigned to this project (20 points)
3. Approach to the work identified in the Scope of Services (20 points)
4. Compensation (15 points)
5. Continuity and stability of individual or firm (10 points)
6. Proposer's commitment to the City's MBE/WBE and Section 3 Goals (10 points)

### **Required Information**

Proposals should include information specific to this RFP, its stated ranking criteria, and the attached Scope of Work. No proposal will be considered unless the attached Standard Forms are completed in their entirety.

Each proposer shall provide a minimum of two references where similar engineering services have been performed during the past three years. These projects should be similar in design and scope. If the proposer is an MBE/WBE or Section 3 business concern, a certification form shall be submitted with the proposal attesting to the firm's status as such. Firms may be requested to sit for interviews and/or negotiation of contract terms and fees prior to contract award.

If any part of the project is subcontracted, requires purchases for services, or requires hiring of additional employees, the proposers must submit documentary evidence of MBE/WBE and Section 3 business concerns who have been contacted and/or to whom commitments have been made. If no solicitation was made to MBE/WBE or Section 3 business concerns or residents, please indicate the reason(s). If there is no need for additional employees or trainees, or no need to contract for work, then the Section 3 and MBE/WBE requirements are not triggered.

The City of Lock Haven reserves the right to accept or reject any and all proposals or to waive any irregularities.

Professional Liability Insurance is required for the project. Please indicate the level of coverage provided.

### **Nondiscrimination Clause**

The City of Lock Haven is an equal opportunity, affirmative action employer. Each proposal will receive consideration without regard to age, race, color, religion, sex, handicap, familial status or national origin.

**City of Lock Haven**  
**Comprehensive Plan Update Scope of Work**

**Phase 1: Project Setup**

The following describes the beginning steps of the comprehensive planning process. This task will aim to familiarize the consultants with the City of Lock Haven by sharing information and insights of the community.

**1.1 Collect and Organize Existing Data**

Consultants will collect and review the City of Lock Haven’s existing plans, data, and policies. This background information will be compiled by City Staff and includes, but is not limited to:

1. City of Lock Haven Comprehensive Plan (2005) and all amendments related to the plan
2. Zoning Ordinance, Subdivision and Land Development Ordinance, and other related land use controls
3. Any market studies and demographic analysis including the Early Intervention Program (EIP) Report, completed in 2019
4. GIS layers available from the City, County, PennDOT, and other sources, if necessary
5. Other applicable information, documents, plans, etc.

**1.2 Getting to Know the City**

In order to gain a better perspective of the City of Lock Haven, the consultants will converse with the City Staff as well as take a tour of the important sites that pertain to the planning process. This step should accelerate the process and prepare the team for the visioning task.

1. Consultants will meet with City Staff to review the planning process and gain insight about the various programs and projects, both planned and in progress.
2. City Staff will lead a tour of the City so that the consultants may familiarize themselves with the area. Sites such as the levee/ Riverwalk, public parks, downtown Central Business District, public building (including the sewer plant, water plant, public works building, etc.), and any other sites that the consultants or staff feels is necessary to the planning process.
3. City Staff and Consultants shall work together to establish a specific public participation plan for the comprehensive planning process. This plan shall be approved by council and should be carried out throughout the planning process.

**Phase 1 Deliverables**

- Approved Public Participation Plan

**Phase 2: Public Participation Plan Execution**

It is vital the people of Lock Haven are meaningfully engaged throughout the comprehensive planning process. The Consultants must abide by the Public Participation Plan approved by City

Council to actively engage the public in the creation of the comprehensive plan. These outreach opportunities will include public workshops, visioning sessions, online forums and postings, and other related activities decided upon by City Staff and consultants.

### **2.1 Public Workshops (minimum of 6)**

The Consultants shall organize a minimum of 6 public workshops in which the public is invited to provide their input, ideas, and goals for the comprehensive planning process. These workshops should be used to initiate discussion and open communication between consultants, city staff, and the public. All ideas presented at the workshops should be well documented and considered as the comprehensive plan is developed.

1. The public workshops should be used to introduce the comprehensive planning process as well as encourage continued participation throughout the process. Ideas discussed at the workshop should be organized into topics for the next public workshop.
2. The public workshops should allot time to focus more on specific topics generated from the public input. The outcomes of this workshop should be developed into goals and objectives and ultimately incorporated into the plan.

### **2.2 Intercepts (2-4)**

Consultants and City Staff shall organize two to four (2-4) intercepts that involve going out to previously scheduled community events to gather feedback about the comprehensive planning process. Simple activities will be set up so that more candid comment can be received by participants. The final schedule of intercept activities will be decided by the Consultants with the help of City staff, but may include:

1. Summer Concert Series
2. Lock Haven University Student Events
3. Best of Clinton County Festival
4. Haven Holidays
5. Clinton County Fair

### **2.3 Stakeholder Meetings (up to 6)**

Consultants will work with City Staff to identify key stakeholders in the city that can contribute valuable information to the comprehensive planning process. The Consultants will then hold a one-on-one meeting with each stakeholder to gain insight on specific topics.

### **2.4 Opportunities for Public Comment**

Other than the various public outreach events, the public will have access to consistent outlets so they may make their voice heard.

1. The City of Lock Haven will utilize its website to update the community with most recent drafts of the comprehensive plan. The website will also act as a place for public forum that can be used any time.
2. Social media outlets will also be used to publicize events as well as receive public comment.

3. Other opportunities for public comment will occur at every City Council meeting during the comprehensive planning process.
4. City Staff will be available by phone or email during work hours for public comments and suggestions.

### **Phase 2 Deliverables**

- Meeting materials and agendas
- Report of public engagement results
- Monthly debriefings on public engagement with City Staff and City Council

### **Phase 3: Existing Conditions and Trends**

To produce an effective plan for the future, the comprehensive plan must first analyze the existing conditions of the City of Lock Haven. This information should be taken from various sources including, but not limited to, the United States Census Bureau, existing City documents, plans, and policies, existing City/County GIS data, County documents and plans, and other related sources of information.

#### **3.1 Existing Plans and Reports**

The Consultants shall review all existing plans and reports and understand the implications of each. These current documents shall be included in the comprehensive plan.

#### **3.2 Base Mapping**

City and County Staff will provide the Consultants with necessary maps and data that will be utilized to prepare maps and figures in the comprehensive plan. The specific files needed should be requested by the Consultants during the Project Setup stage of the planning process.

#### **3.3 Data Analysis**

The comprehensive plan should include data featuring the most current information provided by the Census Bureau. Various topics should be explored so that a comprehensive identity of the City of Lock Haven can be understood by all readers of the plan. Topics should include, but are not limited to:

1. Demographics
  - Comparing local, regional, and statewide trends
2. Land Use
  - Land Capability Analysis: Review of the overall land composition of the planning area and address constraints for development, environmentally sensitive areas, and agricultural resources.
  - Existing Land Development: Analysis of existing land use for the City using land use inventories and aerial photographs. Development trends shall also be analyzed.
  - Urban Design: Work to identify major components of the community's built environment. This includes an inventory of historic structures, districts, landmarks, environmentally sensitive areas, ecologically significant areas, and cultural facilities.

- Creation of an Official Map
  - Aim to promote pedestrian oriented, dense, walkable, mixed-development and redevelopment in the core or town center.
3. Transportation
- Existing Transportation Networks: Identify the routes in the City that are highly travelled and important to the surrounding households and businesses.
  - Existing Transit Options: Provide insight on the recent development of the River Valley Transit as well as the Lock Haven University Trolley that connects downtown Lock Haven to the LHU campus. Further discuss how these options are important to growth.
4. Public and Private Utilities
- Examine the public and private utility infrastructure in Lock Haven and how it is important to the community. City Staff will provide information on existing conditions and utility planning efforts (e.g. Capital Improvement Plan)
5. Community Facilities
- Historical and Cultural Facilities: This section will include information from the Historic Data Resource Survey and maps showing the designated Historic Preservation areas and structures.
  - Public Safety: City Staff will provide a list of the existing public safety facilities, including police and fire facilities. A map may be provided for this section.
  - Schools: City Staff will provide information about the location and extent of existing educational facilities. A map may be necessary for this section.
  - Parks and Recreation: City Staff will provide the locations and further information about existing parks. Further information should include a review of park improvements, park service areas (city-wide or neighborhood), and amenities.
  - Other important community facilities should be included in this section.
6. Housing
- The Consultants will prepare a summary of housing trends based on the most recent data provided by the Census Bureau. Housing structure, size, income, and other topics shall be identified in this section and compared to present and previous local and regional data.
  - A housing study should also be included in this section. This study should focus on the existing housing inventory (both single family and multi-unit), housing demand by demographics, future employers (such as Geisinger Health System), and special needs group housing, as described in the Early Intervention Program Report.
  - Issues related to dilapidated housing and blight should be found in this section.
  - Explore the benefits of and need for expanding housing choice.

## 7. Economic Development

- The Consultants will review existing available analysis concerning the economic base of the City and the surrounding areas. This section should build upon all relevant previous economic development plans, strategies, and studies (e.g. Early Intervention Program Report, 2019)
- Other topics to be explored are industry competitiveness, tourism, downtown, entrepreneurship, innovation and technology, and other key factors that stimulate economic growth.
- Employment and labor force characteristics and trends should be explored through data analysis.
- Economic analysis such as Location Quotient, Shift-Share, Cluster, Gini Coefficient, an overall SWOT, and other relevant analysis should be completed.
- The Consultants will work to ensure the land use, infrastructure and other appropriate recommendations compliment and support a vibrant economy in the City of Lock Haven.
- Define and describe the Federal Opportunity Zone that exists in the City. Analyze how this zone can be used to increase economic development in Lock Haven.

## 8. Natural Resources

- Existing Natural Resources: The Consultants will work with City staff to assess important and unique natural resources. These resources include clean air and water initiative, wetlands, flood plains, prime agricultural land, and natural areas.
- Impacts on natural resources will also be identified.

## 9. Implementation

- This section should include a concise and easy to follow implementation matrix built upon the goals and objectives that were discussed in previous sections. The matrix should include responsible parties, timeframe for completion, and measurable outcomes to analyze the City's progress in the future.
- The section should also include potential funding opportunities for the projects included in the implementation matrix.

### **Phase 3 Deliverables**

- Draft comprehensive plan that includes chapters from each topic discussed above (Existing Plans and Reports, Demographics, Land Use, Transportation, Public and Private Utilities, Community Facilities, Housing, and Economic Development, Implementation) as well as any other topics that may have become apparent through the public engagement process.

#### **Phase 4: Draft & Review of Comprehensive Plan**

Bringing together all information, public comment, and visioning into a draft comprehensive plan is an exciting step in the planning process. This phase brings Phase 2 and Phase 3 together to form implementable goals and objectives that will be documented in the comprehensive plan. The public continues to be an important aspect in this phase, as draft goals and objectives are identified. Public meetings and Stakeholder meetings shall be conducted again to gain further insight and build consensus regarding the draft goals and objectives.

##### **4.1 Conduct Community Plan Review Workshop (3-4 as needed)**

These workshops will aim to inform the public of the draft goals and objectives and seek feedback associated with the overall plan. One workshop must be held after the creation of the draft plan, but before official adoption of the plan. Another workshop can be held if it is deemed necessary by City Staff and the Consultants.

##### **4.2 Stakeholder Plan Review Meeting (4-6 as needed)**

When the draft goals and objectives are developed, they must be realistic and implementable. Meeting with community stakeholders will be a crucial step in analyzing how these goals and objectives can be implemented through the hardworking relationship between the City and stakeholder. The stakeholder meetings will be decided by City Staff and consultants based upon their applicability to the goals and objectives.

##### **4.3 Plan Review at a City Council Meeting**

The draft comprehensive plan shall be presented at a City Council Meeting. This presentation should also allow for public comments. This presentation is not only for the members of the public, but also allows City Council Members to see the draft plan and make comments.

##### **4.4 Make Final Revisions**

After listening to and documenting all comments regarding the draft comprehensive plan, revisions must be made. These revisions should reflect the comments made during the review phase to the best ability of the Consultants. After making the necessary revisions, a final document can be submitted for adoption.

#### **Phase 4 Deliverables**

- Notes, documents, and other related public comment materials from plan review sessions
- Presentation of draft comprehensive plan and associated handouts
- Final comprehensive plan with all necessary revisions

### **Phase 5: Adoption**

The final phase of the comprehensive planning process includes formal adoption of the plan by all necessary adopting bodies. This phase will be conducted by City Staff.

#### **5.1 Planning Commission Adoption**

The final comprehensive plan will be circulated to the members of the City Planning Commission. Formal adoption will take place at the next scheduled meeting.

#### **5.2 City Council Adoption**

The final comprehensive plan will then be circulated to the members of City Council. Formal adoption will take place at the next scheduled meeting.

### **Phase 5 Deliverables**

- Final Adopted Comprehensive Plan

## **CONTRACT EXPECTATIONS**

This section will list the appropriate activities expected of the City and of the Consultants. The final expectations will be decided upon contract signing.

### **Consultants Expectations of the City of Lock Haven Staff**

The project team will rely on the City staff for the following:

- Provide timely review of material provided by the project team
- Provide project contacts as needed for public meetings and events
- Submit necessary information related to the City (including all related plans, documents, policies, etc.)
- Serve as liaison between consultants and necessary boards and commissions (City Council, Planning Commission, etc.)
- Provide local knowledge and input
- Support the project process by attending public meetings and events

### **City of Lock Haven Expectation of Consultants**

The City of Lock Haven will expect these deliverables and actions throughout project phases and by project completion:

- Meeting materials and agendas
- Summaries of project related meetings
  - Public workshops
  - Intercepts
  - City Staff meetings
  - Stakeholder meetings
- Report of public engagement results
- Monthly debriefings on public engagement with staff and City Council
- Approved Public Participation Plan
- Technical memorandum summarizing plan sections (Phase 3)
  - Demographics
  - Land Use
  - Transportation
  - Public and Private Utilities
  - Community Facilities
  - Housing
  - Economic Development
  - Natural Resources
  - Implementation
- Draft comprehensive plan appropriate for review by City Council and the public
- Presentation of draft comprehensive plan and associated handouts
- Notes, documents, and other related public comment materials from plan review sessions
- Final comprehensive plan with all necessary revisions
- All project phases should be completed in a timely manner and aim to benefit the City of Lock Haven

**COMPREHENSIVE PLANNING ESTIMATE FORM**

FIRM NAME: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

TELEPHONE: \_\_\_\_\_

REPRESENTATIVE: \_\_\_\_\_

**Deliverables**

Public Participation Plan \$ \_\_\_\_\_

Final Adopted Comprehensive Plan \$ \_\_\_\_\_

**Deliverables Total** \$ \_\_\_\_\_

**Phase 2 Engagements**

Cost per Public Workshop \$ \_\_\_\_\_

Cost per Intercepts \$ \_\_\_\_\_

Cost per Stakeholder Meetings \$ \_\_\_\_\_

**Phases 3 and 4 Engagements**

Cost per Community Plan Review \$ \_\_\_\_\_

Cost per Stakeholder Plan Review \$ \_\_\_\_\_

Cost per Plan Review at City Council Meeting \$ \_\_\_\_\_

I, \_\_\_\_\_, holding the following credentials and/or licenses and certifications \_\_\_\_\_ in the Commonwealth of Pennsylvania and an authorized representative of the above-indicated firm, have reviewed and understand the City of Lock Haven's Request for Proposals, and I/we am/are prepared to provide the required services for the above costs.

(SEAL)

\_\_\_\_\_

## **MBE/WBE CONTRACT SOLICITATION AND COMMITMENT STATEMENT TO BE SUBMITTED WITH THE PROPOSAL**

Goals of **5%** for minority business enterprise and **3%** for women business enterprise participation have been established.

Name of Proposer:	Project Name:
Address:	Proposal Opening Date:
Email Address:	Contact Person:
Telephone Number:	

List those minority/women owned businesses from which you solicited quotes and/or received quotes in regard to this invitation for proposal.

<b>Company Name &amp; Telephone Number</b>	<b>MBE*</b> <small>(enter code from below)</small>	<b>WBE</b> <small>(X)</small>	<b>Type of Construction, Equipment, Services, and/or Supplies to be provided to the Project</b>	<b>Total Dollar Amount of Quote Received</b>  <small>(Please mark NR if no response was received)</small>	<b>Total Dollar Amount Awarded</b>  <small>(If not awarded indicate reason)</small>
Prepared By:	Title:				

\*Ethnic Code: A- Asian-Pacific Americans; B-African Americans; H-Hispanic Americans; N- Native Americans

## MINORITY AND WOMEN BUSINESS ENTERPRISE PROPOSER CERTIFICATION

The submittals of each proposer are subject to review to determine whether the proposer has discriminated in the selection of manufacturers, subcontractors and suppliers. If a proposer has met the goals for MBE/WBE participation, the proposer will be presumed not to have discriminated in their selections.

*Where the goals are not met*, the below statements, if accurate, shall be certified by the proposer:

1. The limited number or no commitment to MBEs/WBEs was not motivated by consideration of race or gender.
2. MBEs/WBEs were not treated less favorably than other businesses in the contract solicitation and commitment process.
3. Solicitation and commitment decisions were not based upon policies which disparately affect MBEs/WBEs.

By signing below, I certify that the above statements are true and accurate.

---

Company Name

---

Signature

---

Date

**SECTION 3 CONTRACT SOLICITATION AND COMMITMENT STATEMENT  
TO BE SUBMITTED WITH THE PROPOSAL**

Minimum Participation Levels (MPL): Section 3 - 10% construction & 3% non-construction  
Section 3 - 30% aggregate new hires

Name of Proposer:	Project Name:
Address:	Proposal Opening Date:
Email Address:	
Telephone Number:	Contact Person:

List those Section 3 business concerns from which you solicited quotes or which contacted you and gave you quotes in regard to this invitation for proposal.

Company Name & Telephone Number	Type of Construction, Equipment, Services, and/or Supplies to be provided to the Project	Total Dollar Amount of Quote Received (Please mark NR if no response was received)	Total Dollar Amount Awarded (If not awarded indicate the reason)	IF NO COMMITMENT WAS MADE TO A SECTION 3 BUSINESS- EXPLAIN
Preparers Signature:				Title

- (1) Indicate whether Section 3 Business Concerns were solicited for each type of work the proposer expects to subcontract for and for all materials which the proposer expects to procure and, if not, the reason(s) why no such solicitation was made;
- (2) Indicate the reason why a Section 3 Business Concern has not been committed to for a type of subcontract work or materials in any area where a quote was received from a Section 3 Business Concern, and;
- (3) In any case where no quotations are received or commitments made to a Section 3 Business Concern, indicate that no quotes were received, and if there is another reason for no commitments being made, the reason for the lack of commitments.

**SECTION 3 BUSINESS CERTIFICATION**

As principal owner of \_\_\_\_\_, I certify  
(Section 3 Business Concern Name)  
that this firm is a bona fide Section 3 owned business.

I further certify that this firm was subcontracted by \_\_\_\_\_  
for work on the \_\_\_\_\_ Project in the amount of  
\$\_\_\_\_\_.

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature/Title