

F. ALTERNATES

| ACCEPTED BY THE COMMISSION | | ALTERNATE DESCRIPTION | PROPOSED ALTERNATE PRICE |
|---------------------------------|--------------------------------|-----------------------|--------------------------|
| Yes <input type="checkbox"/> | No <input type="checkbox"/> | Not Applicable. | \$ |

V. PROPOSAL SUPPORT DOCUMENTS

A. Basis of Award (Award Criteria Figure)

To promote the intended goal of economic opportunity and maximize the use of minority personnel on this project, the Public Building Commission of Chicago has established the Award Criteria Figure formula for the purpose of evaluating proposals and awarding the contract. A contract in the amount of the Total Base Bid (or Base Contract Price) will be awarded to the responsible bidder with the lowest Award Criteria Figure pursuant to Section III.P Basis of Award above. The Public Building Commission of Chicago reserves the right to check all calculations for accuracy. The fulfillment of the Award Criteria does not abrogate the responsibilities of the Contractor to comply with federal and state requirements under the Equal Employment Act and the Illinois Human Rights Act.

1. Instructions

The Bidder shall complete the Award Criteria Figure Formula and transfer the final Award Criteria Figure - Line 15 to the space provided on the itemized proposal sheet. Failure to complete the formula may be cause for rejection of the Bidder's proposal. The successful bidder will be held responsible for adhering to the figures submitted in Lines 1, 2, 4, 6, 8, 10 and 12 during construction of the project.

Lines 2, 4 and 6 in the formula shall not be greater than seventy percent (70%) in each category for the sole purpose of determining award of the contract. Similarly, lines 8, 10 and 12 shall not be greater than fifteen percent (15%) in each category for the purpose of award criteria only. The seventy percent (70%) and fifteen percent (15%) goals are not intended to restrict the total number of minority and female employees to be used on the project, but only to establish limiting figures for use in the formula.

2. Award Criteria Figure Formula

- Line 1. **TOTAL BASE BID** (Refer to Line 5 of BID FORM), in figures _____
- Line 2. Percentage of the Journeyworkers hours that the Contractor proposes to be worked by minority Journey workers during construction of the project. (Maximum figure 0.70) _____
- Line 3. Multiply Line 2 by Line 1 by 0.04 _____
- Line 4. Percentage of total Apprentice hours that the Contractor proposes to be worked by minority Apprentices during construction of the project. (Maximum figure 0.70) _____
- Line 5. Multiply Line 4 by Line 1 by 0.03 _____
- Line 6. Percentage of the total Laborer hours that the Contractor proposes to be worked by minority Laborers during construction of the project. (Maximum figure 0.70) _____
- Line 7. Multiply Line 6 by Line 1 by 0.01 _____

| | | |
|----------|--|-------|
| Line 8. | Percentage of total Journeyworker hours that the Contractor proposes to be worked by female Journeyworkers during the construction of the project. (Maximum figure 0.15) | _____ |
| Line 9. | Multiply Line 8 by Line 1 by 0.04 | _____ |
| Line 10. | Percentage of total Apprentice hours that the Contractor proposes to be worked by female Apprentices during construction of the project. (Maximum figure 0.15) | _____ |
| Line 11. | Multiply Line 10 by Line 1 by 0.03 | _____ |
| Line 12. | Percentage of the total Laborer hours that the Contractor proposes to be worked by female Laborers during construction of the project. (Maximum figure 0.15) | _____ |
| Line 13. | Multiply Line 12 by Line 1 by 0.01 | _____ |
| Line 14. | Summation of Lines 3, 5, 7, 9, 11, and 13 | _____ |
| Line 15. | Subtract Line 14 from Line 1 (= "Award Criteria Figure") | _____ |
| | Award Criteria Figure (Insert Line 15 of Award Criteria Formula): \$ _____ | |

3. Community Hiring Bonuses

In order to encourage maximum employment of interested and available residents of the project community on this project, the following bonus calculations shall apply:

- a. In calculating the hours worked by minority and women Journeyworkers, apprentices, and laborers under the Award Criteria Figure set out in Part V.A. "Basis of Award (Award Criteria Figure)," all hours worked by minority and women Journeyworkers, existing apprentices, and laborers who are residents of the project community shall be multiplied by 1.5.
- b. In calculating the hours worked by minority and women apprentices under the Award Criteria Figure set out in Part V "Proposal Support Documents," all hours worked in new apprenticeships by minority and women apprentices who are residents of the project community shall be multiplied by 2.0.

Definitions

"City of Chicago Residents" means persons domiciled within the City of Chicago. Salaried superintendents are excluded from coverage in this section. Domicile is an individual's one and only true, fixed, and permanent home and principal establishment.

"Project Community Residents" means persons domiciled within the "Project Community" as defined in Section II, A.6 above.

"New Apprenticeship" shall mean an apprenticeship begun for a person who has not held an apprenticeship card within ninety (90) days prior to beginning the project.

4. Liquidated Damages

The Contractor hereby consents and agrees that, in the event that it fails to comply with each of the minimum commitments submitted with this Proposal on Lines 2, 4, 6, 8, 10, and 12 of the Award Criteria Figure formula, covering minority and female Journeyworkers, apprentices, and laborers respectively, the following shall apply.

If the total hours in any category for which a percentage is assigned in Lines 2, 4, 6, 8, 10, or 12 of the Award Criteria equals zero at the completion of the work, then a net deficiency of the entire percentage assigned will be deemed to exist. For any net deficiency in each category, the following amounts shall be deducted as liquidated damages from monies due the Contractor and the Contract Sum modified accordingly:

B. BID FORM – WILLIAMS PARK FIELDHOUSE

FIRM NAME:

| LINE | ITEM | AMOUNT |
|---|-----------------------------------|---------------|
| 1. | BASE WORK ONLY | \$ |
| 2. | COMMISSION'S CONTRACT CONTINGENCY | \$ 175,000.00 |
| 3. | SITE WORK ALLOWANCE | \$ 75,000.00 |
| 4. | ENVIRONMENTAL ALLOWANCE | \$ 50,000.00 |
| 5. | TOTAL BASE BID (1+2+3+4) | \$ |
| AWARD CRITERIA FIGURE (See Section V. Proposal Support Document, line 15 of Award Criteria Figure) | | \$ |

SURETY: Please specify full legal name and address of Surety:

C. SITE WORK ALLOWANCE SCHEDULE – WILLIAMS PARK FIELDHOUSE

| Item No. | Description of Work | Unit(s) | Unit Price |
|----------|---|-------------|-------------|
| 1 | Loading, transportation and disposal of stockpiled contaminated soil, to an approved Subtitle D disposal site | Tons | \$40.00 |
| 2 | Excavation, loading, transportation and disposal of contaminated soil, to an approved Subtitle D disposal site | Tons | \$48.00 |
| 3 | Loading, transportation and disposal of stockpiled clean construction or demolition debris and uncontaminated soil | Tons | \$20.00 |
| 4 | Excavation, loading, transportation and disposal of clean construction or demolition debris and uncontaminated soil | Tons | \$25.00 |
| 5 | Load, place and compact on-site fill material from stockpile | Cubic Yards | \$7.00 |
| 6 | Excavate, load, place and compact on-site fill material | Cubic Yards | \$11.00 |
| 7 | Demolition, removal, transportation and disposal of underground concrete footings and remnants. | Cubic Yards | \$70.00 |
| 8 | UST Removal (Tank < 2000 gal capacity) | Each | \$4,500.00 |
| 9 | UST Removal (Tank 3,000-5,500 gal capacity) | Each | \$5,000.00 |
| 10 | UST Removal (Tank 6,000-10,000 gal capacity) | Each | \$8,000.00 |
| 11 | UST Removal (Tank > 10,000-15,000 gal capacity) | Each | \$9,000.00 |
| 12 | UST Removal (Tank > 15,000 gal capacity) | Each | \$12,000.00 |
| 13 | UST tank sludge removal and disposal (55-gallon drum) | Drums | \$450.00 |
| 14 | Bulk UST pump out (Liquids), including transportation | Gallons | \$0.60 |
| 15 | Waste characterization sample analysis for disposal authorization for soils removed under Allowance Schedule | Sample | \$1,500.00 |
| 16 | Water analysis for full MWRDGC contaminants List | Each | \$750.00 |
| 17 | Obtain MWRDGC discharge permit for Bulk disposal of contaminated liquid | Each | \$2,000.00 |
| 18 | Contaminated water-hauling and disposal of drums | Drums | \$200.00 |
| 19 | Pumping, transportation and disposal of contaminated water - bulk disposal | Gallons | \$0.60 |
| 20 | Pumping, storage and disposal of contaminated water - bulk disposal by MWRDGC Permit | Gallons | \$0.10 |
| 21 | Furnish, place and set base material CA-1 Stone (RECYCLED) | Ton | \$16.00 |
| 22 | Furnish, place and set base material CA-1 Stone (VIRGIN) | Ton | \$20.00 |
| 23 | Load on-site base materials, place and set CA-1 Stone | Cubic Yards | \$8.00 |

| <i>Site Work Allowance Schedule - Continued</i> | | | |
|---|---|-------------|------------|
| Item No. | Description of Work | Unit(s) | Unit Price |
| 24 | Furnish, place and compact aggregate material CA-6 (RECYCLED) | Ton | \$20.00 |
| 25 | Furnish, place and compact aggregate material CA-6 (VIRGIN) | Ton | \$22.00 |
| 26 | Excavate, place and compact on-site aggregate material CA-6 | Cubic Yards | \$8.00 |
| 27 | Furnish, place and set drainage material CA-7 (RECYCLED) | Tons | \$18.00 |
| 28 | Furnish, place and set drainage material CA-7 (VIRGIN) | Tons | \$20.00 |
| 29 | Excavate, place and set on-site drainage material CA-7 | Cubic Yards | \$8.00 |
| 30 | Furnish and place geotextile filter fabric | Square Yard | \$7.00 |
| 31 | Site Survey - Survey crew for verification of excavation and backfill quantities | Each | \$2,000.00 |
| 32 | Street restoration per CDOT - 1-1/2 inch Asphalt Binder Coarse and 1-1/2 inch Asphalt Surface Coarse. Less than 100 Square Yards | Square Yard | \$185.00 |
| 33 | Street restoration per CDOT - 9-inch PCC Base Course, 1-1/2 inch Asphalt Binder Coarse and 1-1/2 inch Asphalt Surface Coarse. Less than 100 Square Yards. | Square Yard | \$250.00 |

NOTES:

1. All Work associated with the above allowance schedule shall be approved in writing by the Commission Representative prior to proceeding.
2. Authorized additional excavation and replacement material will be paid for in accordance with the above allowance schedule.
3. Authorized additional excavation means excavation below subgrade elevations as shown in the Plans and Specifications due to the presence of unsuitable soil materials as determined by the Commission Representative.
4. The unit prices in this allowance schedule include all overhead, profit, and schedule impact costs.
5. All unused portions of the allowance funds must be returned to the Commission.

D. ENVIRONMENTAL ALLOWANCE SCHEDULE

1. None.

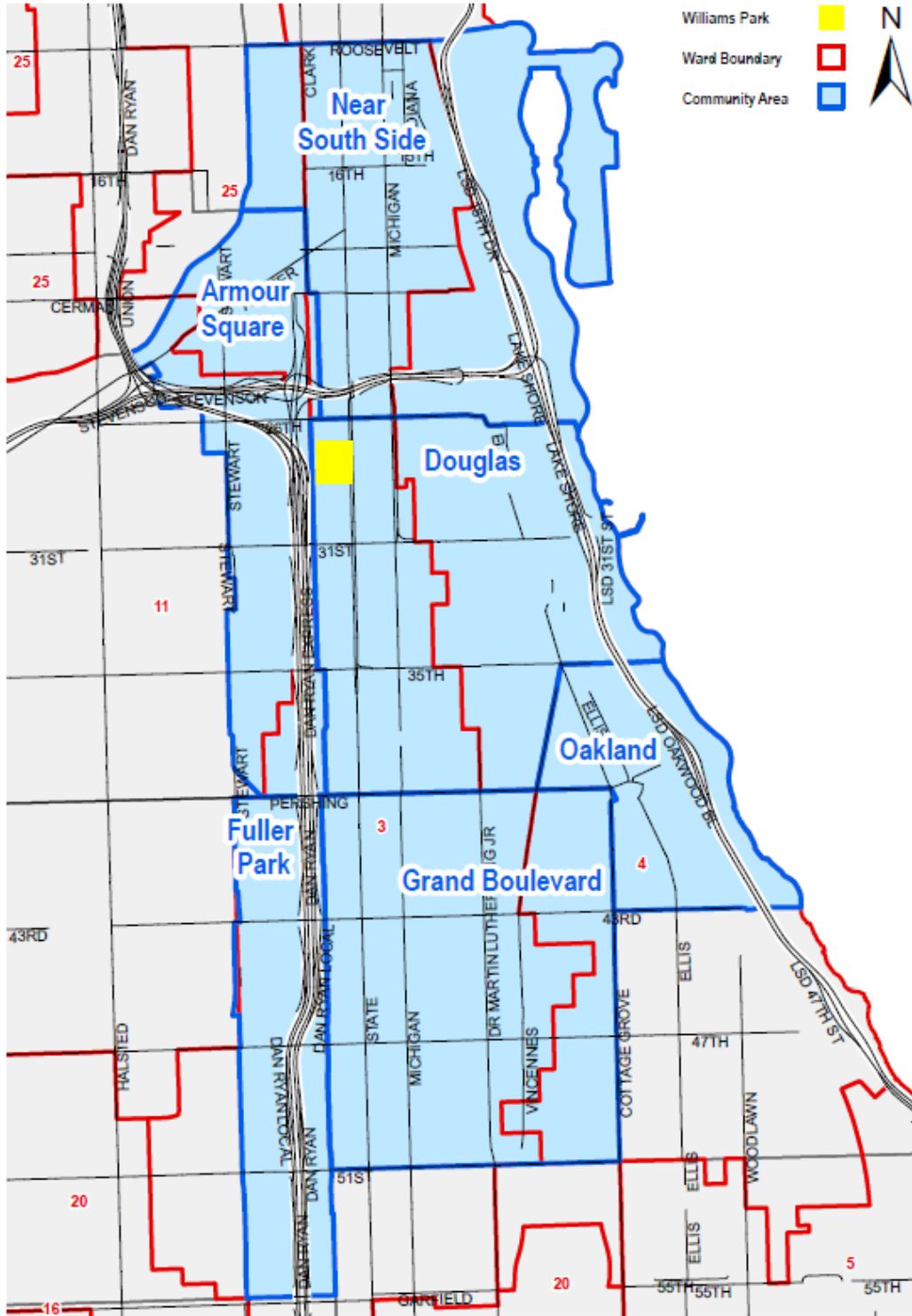
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EXHIBIT #3 PROJECT COMMUNITY AREA MAP



Williams Park Fieldhouse Community Hiring Areas

2820 South State Street | Ward 3 | Community Area: Douglas



SCHEDULE B - Joint Venture Affidavit (1 of 3)

This form is not required if all joint venturers are MBE/Non-MBE or WBE/Non-WBE firms. In such case, however, a written joint venture agreement among the MBE/Non-MBE or WBE/Non-WBE firms should be submitted. Each MBE/WBE joint venturer must also attach a copy of their current certification letter.

A. Name of joint venture _____

B. Address of joint venture _____

C. Phone number of joint venture _____

D. Identify the firms that comprise the joint venture

1. Describe the role(s) of the MBE/WBE firm(s) in the joint venture. (Note that a "clearly defined portion of work" must here be shown as under the responsibility of the MBE/WBE firm.)

2. Describe very briefly the experience and business qualifications of each non-MBE/WBE joint venturer.

E. Nature of joint venture's business

F. Provide a copy of the joint venture agreement.

G. Ownership: What percentage of the joint venture is claimed to be owned by MBE/WBE? _____%

H. Specify as to:

1. Profit and loss sharing _____%

2. Capital contributions, including equipment _____%

3. Other applicable ownership interests, including ownership options or other agreements which restrict ownership or control.

SCHEDULE B - Joint Venture Affidavit (2 of 3)

4. Describe any loan agreements between joint venturers, and identify the terms thereof.

I. Control of and participation in this Contract: Identify by name, race, sex, and "firm" those individuals (and their titles) who are responsible for day-to-day management and policy decision making, including, but not limited to, those with prime responsibility for:

1. Financial decisions

2. Management decisions such as:

a. Estimating

b. Marketing and Sales

c. Hiring and firing of management personnel

d. Other

3. Purchasing of major items or supplies

4. Supervision of field operations

5. Supervision of office personnel

6. Describe the financial controls of the joint venture, e.g., will a separate cost center be established; which venturer will be responsible for keeping the books; how will the expense therefor be reimbursed; the authority of each joint venturer to commit or obligate the other. Describe the estimated contract cash flow for each joint venturer.

7. State approximate number of operational personnel, their craft and positions, and whether they will be employees of the majority firm or the joint venture.

J. Please state any material facts of additional information pertinent to the control and structure of this joint venture.

SCHEDULE B - Joint Venture Affidavit (3 of 3)

THE UNDERSIGNED SWEAR THAT THE FOREGOING STATEMENTS ARE CORRECT AND INCLUDE ALL MATERIAL INFORMATION NECESSARY TO IDENTIFY AND EXPLAIN THE TERMS AND OPERATIONS OF OUR JOINT VENTURE AND THE INTENDED PARTICIPATION BY EACH JOINT VENTURER IN THE UNDERTAKING. FURTHER, THE UNDERSIGNED COVENANT AND AGREE TO PROVIDE TO THE PUBLIC BUILDING COMMISSION OF CHICAGO CURRENT, COMPLETE AND ACCURATE INFORMATION REGARDING ACTUAL JOINT VENTURE WORK AND THE PAYMENT THEREFOR AND ANY PROPOSED CHANGES IN ANY OF THE JOINT VENTURE AGREEMENTS AND TO PERMIT THE AUDIT AND EXAMINATION OF THE BOOKS, RECORDS, AND FILES OF THE JOINT VENTURE, OR THOSE OF EACH JOINT VENTURER RELEVANT TO THE JOINT VENTURE, BY AUTHORIZED REPRESENTATIVES OF THE COMMISSION. ANY MATERIAL MISREPRESENTATION WILL BE GROUNDS FOR TERMINATING ANY CONTRACT WHICH MAY BE AWARDED AND FOR INITIATING ACTION UNDER FEDERAL OR STATE LAWS CONCERNING FALSE STATEMENTS.

Note: If, after filing this Schedule B and before the completion of the joint venture's work on this Contract, there is any significant change in the information submitted, the joint venture must inform the Public Building Commission of Chicago, either directly or through the General contractor if the joint venture is a subcontractor.

Name of Joint Venturer

Name of Joint Venturer

Signature

Signature

Name

Name

Title

Title

Date

Date

State of _____ County of _____

State of _____ County of _____

On this ____ day of _____, 20____
before me appeared (Name)

On this ____ day of _____, 20____
before me appeared (Name)

to me personally known, who, being duly sworn,
did execute the foregoing affidavit, and did state

that he or she was properly authorized by
(Name of Joint Venture)

to me personally known, who, being duly sworn,
did execute the foregoing affidavit, and did state

that he or she was properly authorized by
(Name of Joint Venture)

to execute the affidavit and did so as his or her

free act and deed.

to execute the affidavit and did so as his or her

free act and deed.

Notary Public

Notary Public

Commission expires:
(SEAL)

Commission expires:
(SEAL)

EXHIBIT #4 ASSIST AGENCIES



Public Building Commission of Chicago ASSIST AGENCIES

Assist agencies are comprised of chambers of commerce and not-for-profit agencies that represent the interests of small, minority- and/or women-owned businesses.

BLACK CONTRACTORS UNITED *

12000 Marshfield Ave
Calumet Park, IL 60827

Carole Williams

bcunewera@att.net

(708) 389-5730

blackcontractorsunited.com

**CHATHAM BUSINESS ASSOCIATION:
SMALL BUSINESS DEVELOPMENT,
INC.**

800 E 78th St
Chicago, IL 60619

Melinda Kelly

melindakelly@cbaworks.org

(773) 994-5006

cbaworks.org

CHICAGO URBAN LEAGUE

4510 S Michigan Ave
Chicago, IL 60653

Jason Johnson

jjohnson@thechicagourbanleague.org

thechicagourbanleague.org

(773) 451-3547

thechicagourbanleague.org

CONSTRUCTCONNECT *

3825 Edwards Rd, #800
Cincinnati, OH 45209

Cassidy Bailey

cassidy.bailey@constructconnect.com

constructconnect.com

(800) 364.2059 ext. 7204

**CONSTRUCTION BUSINESS
DEVELOPMENT CENTER**

202 S Halsted St
Chicago Heights, IL 60411

Paul Murtagh

pmurtagh@prairiestate.edu

(708) 709-3692

prairiestate.edu

**FEDERATION OF
WOMEN CONTRACTORS ***

4210 W Irving Park Rd
Chicago, IL 60641

Beth Doria

fwcchicago@aol.com

(312) 360-1122

fwcchicago.com

**HISPANIC AMERICAN
CONSTRUCTION INDUSTRY
ASSOCIATION (HACIA)**

650 W Lake St, #415
Chicago, IL 60661

Jorge Perez

jperez@haciaworks.org

(312) 575-0389

haciaworks.org

**ILLINOIS BLACK
CHAMBER OF COMMERCE**

411 Hamilton Blvd, #1404
Peoria, IL 61602

Kenyatta Fisher

larryivory@illinoisblackchamber.org

(309) 740-4430

illinoisblackchamber.org

**LATIN AMERICAN
CHAMBER OF COMMERCE**

3512 W Fullerton Ave
Chicago, IL 60647

D. Lorenzo Padron

d.lorenzopadron@laccusa.com

(773) 252-5211

laccusa.com

RAINBOW/PUSH COALITION

930 E 50th St
Chicago, IL 60615

John Mitchell

jmitchell@rainbowpush.org

(773) 256-2766

rainbowpush.org

**WOMENS BUSINESS
DEVELOPMENT CENTER**

8 S Michigan Ave, #400
Chicago, IL 60603

Frieda Curry

fcurry@wbdc.org

(312) 853-3477

wbdc.org

**U.S. MINORITY
CONTRACTORS ASSOCIATION**

1250 Grove Ave, #200
Barrington, IL 60010

Larry Bullock

larry.bullock@usminoritycontractors.org

usminoritycontractors.org

(847) 852-5010

usminoritycontractors.org

FOLLOW THE PBC:



OR VISIT US ONLINE AT PBCCHICAGO.COM

2017.12.05

* Firm only receives electronic notification of PBC IFB Documents.

EXHIBIT #5 CHA CONTRACTING REQUIREMENTS

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CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts Contract Compliance Division

SCHEDULE A – M/W/DBE UTILIZATION PLAN
(To Be Completed by PRIME CONTRACTOR)

RFP/IFB/CONTRACT/PURCHASE ORDER NO: _____ DATE FORM SUBMITTED: _____

PROJECT TITLE: _____

PRIME CONTRACTOR NAME(S): _____

ADDRESS: _____ TELEPHONE: () _____

CONTACT NAME/TITLE: _____

E-MAIL ADDRESS: _____

Certification Status: MBE ___ WBE ___ DBE ___ Certified By: _____

Ethnicity: _____ Gender: _____

FEDERAL TAX IDENTIFICATION OR SOCIAL SECURITY NO. : _____

CONTRACT AMOUNT: \$ _____

M/W/DBE TOTAL: \$ _____

M/W/DBE TOTAL PERCENTAGE: _____%

NOTE: The M/W/DBE Total represents the sum of all of the subcontracts listed on this Schedule A, including Self-Performing Prime's portion.

PRIME SELF-PERFORMER? Yes ___ NO ___ IF YES, SELF-PERFORMANCE AMOUNT: \$ _____ % _____

The Contractor shall in determining the manner of M/W/DBE participation, first consider **Direct Participation** with M/W/DBE companies as subcontractors, suppliers of goods and services, or as joint venture partners, directly related to the performance of this contract. After exhausting reasonable good faith efforts and with prior CHA approval, the bidder/proposer may also meet all or part of the CHA's M/W/DBE commitment goals, through **Indirect Participation**, by contracting with M/W/DBEs for the provision of goods and services not directly related to the performance of the contract/scope of work. Indirect participation can be demonstrated by providing copies of canceled checks (both front and back) paid to the certified subcontractors, and a Letter of Certification that was current at the time the checks were issued to the subcontractor (must be entered into B2Gnow and Contract Compliance Specialist will approve). Indirect participation must occur within this contract period and will not be considered as acceptable participation on multiple contracts.

Firms seeking M/W/DBE subcontracting credit via Direct or Indirect participation must include **one (1) current certification** from a CHA approved certifying agency. A copy of a current Letter of Certification is required. Applications for certified status will not be accepted. M/W/DBEs utilized for direct or indirect participation must be currently certified by one of the following agencies: City of Chicago, METRA, PACE, Cook County, State of Illinois - Central Management Services (CMS), Women Business Development Center (WBDC), Chicago Transit Authority (CTA), the Chicago Minority Supplier Development Council (CMSDC), Illinois Department of Transportation (IDOT), and/or the Small Business Administration (SBA 8(a)). For contractors whose principal business address is located outside of the metropolitan Chicago area, certification of comparable agencies will be considered.

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts Contract Compliance Division

SCHEDULE A – M/W/DBE UTILIZATION PLAN
(To Be Completed by PRIME CONTRACTOR)

I. DIRECT PARTICIPATION

A. COMPANY NAME: _____

ADDRESS: _____

CONTACT PERSON: _____ TELEPHONE:() _____

E-MAIL ADDRESS: _____

ORIGINAL M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____

AMENDED M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____

NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.

WORK TO BE PERFORMED/MATERIALS SUPPLIED:

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

B. COMPANY NAME: _____

ADDRESS: _____

CONTACT PERSON: _____ TELEPHONE:() _____

E-MAIL ADDRESS: _____

ORIGINAL M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____

AMENDED M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____

NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.

WORK TO BE PERFORMED/MATERIALS SUPPLIED:

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

C. COMPANY NAME: _____

ADDRESS: _____

CONTACT PERSON: _____ TELEPHONE:() _____

E-MAIL ADDRESS: _____

ORIGINAL M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____

AMENDED M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____

NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.

WORK TO BE PERFORMED/MATERIALS SUPPLIED:

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts Contract Compliance Division

SCHEDULE A – M/W/DBE UTILIZATION PLAN
(To Be Completed by PRIME CONTRACTOR)

D. COMPANY NAME: _____
ADDRESS: _____
CONTACT PERSON: _____ TELEPHONE:() _____
E-MAIL ADDRESS: _____
ORIGINAL M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
AMENDED M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.
WORK TO BE PERFORMED/MATERIALS SUPPLIED:

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

E. COMPANY NAME: _____
ADDRESS: _____
CONTACT PERSON: _____ TELEPHONE:() _____
E-MAIL ADDRESS: _____
ORIGINAL M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
AMENDED M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.
WORK TO BE PERFORMED/MATERIALS SUPPLIED:

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

F. COMPANY NAME: _____
ADDRESS: _____
CONTACT PERSON: _____ TELEPHONE:() _____
E-MAIL ADDRESS: _____
ORIGINAL M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
AMENDED M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.
WORK TO BE PERFORMED/MATERIALS SUPPLIED:

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts Contract Compliance Division

SCHEDULE A – M/W/DBE UTILIZATION PLAN
(To Be Completed by PRIME CONTRACTOR)

G. COMPANY NAME: _____
ADDRESS: _____
CONTACT PERSON: _____ TELEPHONE:() _____
E-MAIL ADDRESS: _____
ORIGINAL M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
AMENDED M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.
WORK TO BE PERFORMED/MATERIALS SUPPLIED:

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

H. COMPANY NAME: _____
ADDRESS: _____
CONTACT PERSON: _____ TELEPHONE:() _____
E-MAIL ADDRESS: _____
ORIGINAL M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
AMENDED M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.
WORK TO BE PERFORMED/MATERIALS SUPPLIED:

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

I. COMPANY NAME: _____
ADDRESS: _____
CONTACT PERSON: _____ TELEPHONE:() _____
E-MAIL ADDRESS: _____
ORIGINAL M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
AMENDED M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.
WORK TO BE PERFORMED/MATERIALS SUPPLIED:

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts Contract Compliance Division

SCHEDULE A – M/W/DBE UTILIZATION PLAN
(To Be Completed by PRIME CONTRACTOR)

II. INDIRECT PARTICIPATION

A. COMPANY NAME: _____
ADDRESS: _____
CONTACT PERSON: _____ TELEPHONE:() _____
E-MAIL ADDRESS: _____
ORIGINAL M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
AMENDED M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.
WORK TO BE PERFORMED/MATERIALS SUPPLIED:

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

B. COMPANY NAME: _____
ADDRESS: _____
CONTACT PERSON: _____ TELEPHONE:() _____
E-MAIL ADDRESS: _____
ORIGINAL M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
AMENDED M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.
WORK TO BE PERFORMED/MATERIALS SUPPLIED:

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

C. COMPANY NAME: _____
ADDRESS: _____
CONTACT PERSON: _____ TELEPHONE:() _____
E-MAIL ADDRESS: _____
ORIGINAL M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
AMENDED M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.
WORK TO BE PERFORMED/MATERIALS SUPPLIED:

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts Contract Compliance Division

SCHEDULE A – M/W/DBE UTILIZATION PLAN
(To Be Completed by PRIME CONTRACTOR)

D. COMPANY NAME: _____
ADDRESS: _____
CONTACT PERSON: _____ TELEPHONE:() _____
E-MAIL ADDRESS: _____
ORIGINAL M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
AMENDED M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.
WORK TO BE PERFORMED/MATERIALS SUPPLIED:

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

E. COMPANY NAME: _____
ADDRESS: _____
CONTACT PERSON: _____ TELEPHONE:() _____
E-MAIL ADDRESS: _____
ORIGINAL M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
AMENDED M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.
WORK TO BE PERFORMED/MATERIALS SUPPLIED:

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

F. COMPANY NAME: _____
ADDRESS: _____
CONTACT PERSON: _____ TELEPHONE:() _____
E-MAIL ADDRESS: _____
ORIGINAL M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
AMENDED M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.
WORK TO BE PERFORMED/MATERIALS SUPPLIED:

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts Contract Compliance Division

SCHEDULE A – M/W/DBE UTILIZATION PLAN
(To Be Completed by PRIME CONTRACTOR)

AFFIDAVIT OF PRIME CONTRACTOR

To the best of my knowledge, information and belief, the facts and representations contained in this Schedule A are true and no material facts have been omitted.

The undersigned will enter into agreements with the above listed companies for work as indicated on this Schedule A within five (5) days after receipt of a signed contract executed by the Chicago Housing Authority. Copies of agreements including but not limited to joint ventures, subcontracts supplier agreements, purchase orders referencing the SPEC., RFP, or Purchase Order Number shall be forwarded to the Procurement & Contracts Department, Contract Compliance Section, 60 East Van Buren, 13th Floor, Chicago, IL 60605.

I do solemnly declare and affirm under the penalty of perjury that the contents of the forgoing document are true and correct, and that I am authorized on behalf of the Prime Contractor to make this affidavit.

NAME OF PRIME CONTRACTOR (Print or Type)

AUTHORIZED OFFICER

Name

Signature

Date

NAME OF NOTARY (Print or Type)

STATE OF _____ COUNTY OF _____ ON THIS _____ DAY OF

_____ 20____ BEFORE ME APPEARED (NAME) _____ TO ME PERSONALLY

KNOWN WHO, BEING DULY SWORN, DID EXECUTE THE FOREGOING AFFIDAVIT, AND DID STATE THAT HE OR SHE WAS PROPERLY

AUTHORIZED BY (NAME OF COMPANY) _____ TO EXECUTE THIS AFFIDAVIT AND DID SO AS

HIS OR HER FREE ACT AND DEED. NOTARY PUBLIC _____ (SEAL) COMMISSION EXPIRES:

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts- Compliance Division

SCHEDULE B - SECTION 3 UTILIZATION PLAN
(To Be Completed by Prime Contractor)

PRIME/GENERAL CONTRACTOR'S NAME: _____

RFP/IFB/RFQ/CONTRACT or PO NUMBER: _____ DATE FORM COMPLETED: _____

PROJECT TITLE: _____

CONTACT NAME/TITLE: _____

E-MAIL ADDRESS: _____ CONTRACT AMOUNT: _____

**PLEASE READ CAREFULLY AND SIGN THE ACKNOWLEDGMENT ON PAGE 4
 PRIOR TO COMPLETING AND SUBMITTING SCHEDULE B**

Overview:

The contractor hereby agrees to comply with all the provisions of Section 3 as set forth in 24 CFR 135 and the CHA's Section 3 Policy. The Contractor hereby submits Schedule B to identify employment, subcontracting, and other opportunities for Chicago Housing Authority residents and low income Chicago area residents during the term of the contract between the Contractor and CHA. Any changes to this Utilization Plan must be approved by the Contract Compliance Specialist, via an amended Schedule B and Section 3 Change Form, when requested.

| Type of Contract | Contract Amount | Section 3 Requirements | | |
|---|---------------------|---------------------------------------|---|------------------------------|
| | | Hiring | Contracting | Other Economic Opportunities |
| Construction | All Contract Values | 30% <i>Of all new hires</i> | 10% <i>Of total contract value subcontracted</i> | See instructions |
| Other Contracts <i>(Including Professional Service)</i> | All Contract Values | 30% <i>Of all new hires</i> | 3% <i>Of total contract value subcontracted</i> | See instructions |

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts- Compliance Division

SCHEDULE B - SECTION 3 UTILIZATION PLAN
(To Be Completed by Prime Contractor)

Instructions:

Part I: Hiring

- Per 24 CFR 135.30, Section 3 requires at least 30% of the contractor's new hires be Section 3 residents.
- The prime contractor is **required** to fill out the **Table I.b Hiring Chart- ENTIRE WORKFORCE for both Prime and all Subcontractors** in **Part I: Hiring**. This chart includes Section 3 hires, **AS WELL AS** all other non-section 3 hires for the scope of work.
- **Table I.a SAMPLE Hiring Chart Entire Workforce for both Prime and all Subcontractors** is provided to you as a sample.
- **Table I.b Hiring Chart Entire Workforce for both Prime and all Subcontractors** will require you to indicate the total workforce that you and your subcontractors already have in place and those you need to hire. You will need to list their (1) Job Titles, (2) Total Employees Needed at each Job Title, (3) Total Number of Employees Currently Employed at each Job Title, (4) Total New Hires Needed for each Job Title, (5) Total Section 3 Hires for each Job Title, (6) Anticipated Hiring Date Section 3 Hires for Each Job Title, (7) Total Columns (1) through (5) individually, and (8) Total New Section 3 Hires Required and (9) Percentage of New Hires that are Section 3.
- By filling out the hiring chart, the Contractor affirms that the jobs identified for Section 3 residents shall be for meaningful employment.
- A Prime Contractor may satisfy the CHA Resident Hiring Requirements through the hiring of Section 3 residents through his/her subcontractors.
- The Hiring Chart must be completed in its entirety, including a response for each column, in addition to proper calculations in each field where totals are required.
- If any proposed Section 3 positions cannot be filled, a Section 3 Change Form is required under the Section 3 Policy.
- Prime Contractors and Subcontractors are required to use CHA's Section 3 Job Opportunities website to fill all Section 3 positions.

Part II: Contracting

- Per 24 CFR 135.30, Section 3 requires Construction contracts to subcontract at least 10% of the work to Section 3 Business Concerns and 3% of the work for all Other Contracts.
- **The definition of 'Section 3 Business Concern' under HUD Regulations is:**
 - (1) 51 percent or more owned by section 3 residents; or
 - (2) Whose permanent, full-time employees include persons, at least 30 percent of whom are currently section 3 residents, or within three years of the date of first employment with the business concern were section 3 residents; or
 - (3) That provides evidence of a commitment to subcontract in excess of 25 percent of the dollar award of all subcontracts to be awarded to business concerns that meet the qualifications set forth in paragraphs (1) or (2) in this definition of "section 3 business concern."
- Section 3 subcontracting refers to direct participation (only subcontracts for work that is included in the scope of the project).
- Contractors shall direct their efforts to award Section 3 covered contracts, to the greatest extent feasible, to Section 3 Business Concerns in the order of priority provided in 24 CFR 135.36.
- The Prime Contractor is required to fill out the contracting information in Table II: Contracting Commitments, Table II.a: Section 3 Business Concern Contracts, Table II.b.: Contracting Shortfall (if necessary), and/or Table II.c: Outreach Efforts (if necessary) of Part II.
- **Table II: Contracting Commitments** requires you to indicate the Total Dollar Value being subcontracted to Section 3 Business Concerns **and** the percentage of the total contract value, to which the total of all Section 3 Business Concern subcontracts is equivalent.

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts- Compliance Division

SCHEDULE B - SECTION 3 UTILIZATION PLAN
(To Be Completed by Prime Contractor)

- **Table II.a. Section 3 Business Concern Contracts** requires you to identify each Section 3 Business Concern that will hold a subcontract under this Contract. The Company's Name, Contract Value, and Scope of Work to be Performed must be identified in order for the plan to be considered complete. A corresponding Schedule C must be submitted with the Schedule B.
- **Table II.b. Contracting Shortfall or Table II.c. Outreach Efforts** must be completed when the Prime Contractor is unable to meet the full minimum subcontracting requirements under 24 CFR 135.
 - When there is no plan or need to subcontract, please outline the reason(s) why in Table II.b. Contracting Shortfall
 - If the prime contractor is unable to contract to a Section 3 Business Concern, all outreach efforts must be documented in Table II.c. Outreach Efforts You must document all of the companies that have been contacted for subcontracting opportunities. If there are limited companies available who perform the necessary duties under this scope of work, please indicate in the 'reasons for not subcontracting'.
 - This is required before Other Economic Opportunities are proposed.
- **PRIME CONTRACTOR MUST USE CHA'S SECTION 3 JOB OPPORTUNITIES WEBSITE TO IDENTIFY AND HIRE ANY AND ALL SECTION 3 EMPLOYEES. CHA WILL NOT CONSIDER OR AUTHORIZE ANY ALTERNATE PROPOSALS TO IDENTIFY SUCH EMPLOYEES.**

Part III: Other Economic Opportunities

- In the event that a Prime Contractor has demonstrated no plan or need to hire and/or subcontract or is unable to meet the hiring and/or subcontracting requirements in Part I and Part II, the Prime Contractor is required to provide other economic opportunities by completing the **Table III: Other Economic Opportunities Plan(s)**.
- **PLEASE NOTE THAT THE INABILITY TO MEET THE HIRING AND/OR SUBCONTRACTING REQUIREMENT MUST BE DOCUMENTED COMPLETELY IN PART I: HIRING AND PART II: CONTRACTING BEFORE COMPLETING PART III: OTHER ECONOMIC OPPORTUNITIES.**
- Other Economic Opportunities could include indirect subcontracting with a Section 3 Business Concern (subcontracting for work not included in the scope of work), training programs, mentorship program participation, or other economic opportunities directed towards section 3 residents and businesses. Any Other Economic Opportunities must be proposed on pages 10 through 12 in Part III: OTHER ECONOMIC OPPORTUNITIES.
- If the other forms of Other Economic Opportunities are not feasible, the Prime Contract may propose a contribution to the Section 3 Fund. Guidance on how to contribute to the Section 3 Fund is outlined below:
 - **Hiring Requirements Contribution:** If a Prime Contractor chooses to contribute to the Section 3 Fund as its Other Economic Opportunity, because they cannot meet the full hiring requirements (30% of new hires), and cannot provide other economic opportunities outlined above, then the contractor must pay 5% of the total dollar amount of the contract for building, trade work or 1.5% for all other contracts will be paid to the Section 3 fund. **NOTE: The amount shall not exceed \$100,000 for any one contract.**
 - **Contracting Requirements Contribution:** If a Prime Contractor chooses to contribute to the Section 3 Fund as its Other Economic Opportunity, because they cannot meet the full Section 3 Business Concern subcontracting requirements, and cannot provide other economic opportunities outlined above, the difference between 10% of the covered contract (building, trade work) or 3% (non-construction) and the actual amount provided to Section 3 Business Concerns must be paid to the Section 3 Fund. **NOTE: The amount shall not exceed \$500,000 for any one contract.**
 - A Prime Contractor may also pay the entire 10% of the covered contract (building, trade work) or 3% (non-construction) if they have documented the infeasibility of offering any Other Economic Opportunities. **NOTE: The amount shall not exceed \$500,000 for any one contract.**

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts- Compliance Division

SCHEDULE B - SECTION 3 UTILIZATION PLAN
(To Be Completed by Prime Contractor)

- Charts have been provided for each category accepted under Other Economic Opportunities. You must outline the actual proposed opportunity, how you will measure the success of this opportunity, and the anticipated results. You will only need to complete the tables that apply to your Section 3 Plan.
- Please reference the Section 3 Policy for more details.
- **NOTE: The Chicago Housing Authority (CHA) observes a \$13 per hour Minimum Wage Requirement on solicitations advertised by the CHA on or after January 2, 2015. A copy of the CHA Minimum Wage Requirement may be downloaded from the CHA website at: http://www.thecha.org/assets/1/22/CHA_Minimum_Wage_Requirement.pdf. Please note that Federal wage determinations (either Davis-Bacon or HUD-Determined Wage Rates) preempt any conflicting State prevailing wage rate or the Minimum Wage Requirement when the State prevailing wage rate or the Minimum Wage Requirement is higher than the Federally-imposed wage rate (24 CFR 965).**

This page (page 4) must be signed by a Principal of the Contractor. The last page (page 12) must be signed and notarized. This document is subject to change, by the CHA, at any time.

Prime Contractor Acknowledgement of Section 3 Requirements:

Signature of Principal of Contractor

Date

Print Name

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts- Compliance Division

SCHEDULE B - SECTION 3 UTILIZATION PLAN
(To Be Completed by Prime Contractor)

Part I: Hiring

SAMPLE HIRING CHART

Table I.a: SAMPLE Hiring Chart- ENTIRE WORKFORCE for both Prime and all Subcontractors

| (1) | (2) | (3) | (4) | (5) | (6) |
|---|---|---|---|---|--|
| Job Titles | Total Number of Employees Needed at each Job Title | Total Number of Employees Currently Employed at each Job Title | Total New Hires Needed for each Job Title | Total Section 3 Hires for Each Job Title | Anticipated Hiring Date Section 3 Hires for Each Job Title |
| <i>List the Job Titles that are needed to complete your scope of work- including the entire workforce for the Prime and any Subcontractors. This includes all Section 3 and non-Section 3 job titles.</i> | <i>List how many employees are needed to complete the Scope of Work for each Job Title.</i> | <i>List how many employees are currently employed at this position.</i> | <i>List how many of these positions are currently open.</i> | <i>List the number of Section 3 hires you will commit to for each position.</i> | <i>List the anticipated hiring date of Section 3 hires you will commit to for each position.</i> |
| Painters | 10 | 8 | 2 | 0 | n/a |
| Laborers | 20 | 19 | 1 | 1 | 10/01/2017 |
| Carpenters | 15 | 15 | 0 | 0 | n/a |
| Bricklayers | 4 | 4 | 0 | 0 | n/a |
| Sprinkler Fitter | 3 | 3 | 0 | 0 | n/a |
| Marble Mason | 1 | 1 | 0 | 0 | n/a |
| Electrician | 6 | 5 | 1 | 0 | n/a |
| Power Equipment Operator | 2 | 2 | 0 | 0 | n/a |
| Iron Worker | 5 | 5 | 0 | 0 | n/a |
| Cement Mason | 2 | 2 | 0 | 0 | n/a |
| Plumber | 4 | 4 | 0 | 0 | n/a |
| Roofer | 10 | 10 | 0 | 0 | n/a |
| Administrative Assistant | 2 | 1 | 1 | 1 | 08/01/2017 |
| Superintendent | 1 | 1 | 0 | 0 | n/a |
| Payroll Coordinator | 1 | 0 | 1 | 1 | 08/01/2017 |
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| (7) Totals: | 86 | 80 | 6 | 3 | |

SAMPLE HIRING CHART

| | |
|--|------------|
| (8) Total New Section 3 Hires Required: <i>(Total of column (4) x 0.3) round up to the nearest whole number</i> | 2 |
| (9) Percentage of New Hires that are Section 3: <i>(Total of column (5) ÷ Total of column (4)) x 100= % of New Hires</i> | 50% |

**CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts- Compliance Division**

**SCHEDULE B - SECTION 3 UTILIZATION PLAN
(To Be Completed by Prime Contractor)**

In the Section below, complete the hiring chart in accordance with the instructions on page 2. Please reference the Sample Hiring Chart.

Table I.b: Hiring Chart- ENTIRE WORKFORCE for both Prime and all Subcontractors

| (1) | (2) | (3) | (4) | (5) | (6) |
|---|---|---|---|---|--|
| Job Titles | Total Number of Employees Needed at each Job Title | Total Number of Employees Currently Employed at each Job Title | Total New Hires Needed for each Job Title | Total Section 3 Hires for Each Job Title | Anticipated Hiring Date Section 3 Hires for Each Job Title |
| <i>List the Job Titles that are needed to complete your scope of work- including the entire workforce for the Prime and any Subcontractors. This includes all Section 3 and non-Section 3 job titles.</i> | <i>List how many employees are needed to complete the Scope of Work for each Job Title.</i> | <i>List how many employees are currently employed at this position.</i> | <i>List how many of these positions are currently open.</i> | <i>List the number of Section 3 hires you will commit to for each position.</i> | <i>List the anticipated hiring date of Section 3 hires you will commit to for each position.</i> |
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| (7) Totals: | | | | | |

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| (8) Total New Section 3 Hires Required: <i>(Total of column (4) x 0.3) round up to the nearest whole number</i> | |
|---|--|

| | |
|--|--|
| (9) Percentage of New Hires that are Section 3: <i>(Total of column (5) ÷ Total of column (4)) x 100= % of New Hires</i> | |
|--|--|

NOTE: Effective January 2, 2015, the Chicago Housing Authority (CHA) observes a \$13 per hour Minimum Wage Requirement to be paid to employees of CHA Contractors, and of any subcontractors of such CHA Contractors, performing work on CHA contracts.

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts- Compliance Division

SCHEDULE B - SECTION 3 UTILIZATION PLAN
(To Be Completed by Prime Contractor)

Part II: CONTRACTING

Table II: Contracting Commitments

In the section below, outline the total dollar value and percentage of the total contract value that will be subcontracted with Section 3 Business Concerns.

| | |
|--|-----------|
| Total Dollar Value of Section 3 Business Concern Contracts: | \$ |
| Total Percentage of Section 3 Business Concern Contracts: | % |

Table II.a.- Section 3 Business Concern Contracts: In the table on the next page, outline the Section 3 Business Concerns that will be working on this contract. *(Note: Each subcontractor listed below must submit a corresponding Schedule C)*

| Contracts to Section 3 Business Concerns | |
|--|--|
| COMPANY NAME: _____ ADDRESS: _____ CONTACT PERSON: _____ TELEPHONE: _____ E-MAIL ADDRESS: _____ ORIGINAL CONTRACT DOLLAR VALUE: _____ AMENDED CONTRACT DOLLAR VALUE: _____ <i>NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.</i> WORK TO BE PERFORMED/MATERIALS SUPPLIED: _____ **Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long): Anticipated Start Date: _____ Anticipated End Date: _____ | |
| COMPANY NAME: _____ ADDRESS: _____ CONTACT PERSON: _____ TELEPHONE: _____ E-MAIL ADDRESS: _____ ORIGINAL CONTRACT DOLLAR VALUE: _____ AMENDED CONTRACT DOLLAR VALUE: _____ <i>NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.</i> WORK TO BE PERFORMED/MATERIALS SUPPLIED: _____ **Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long): Anticipated Start Date: _____ Anticipated End Date: _____ | |

(If more space is needed, you can use page 8 multiple times)

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts- Compliance Division

SCHEDULE B - SECTION 3 UTILIZATION PLAN
(To Be Completed by Prime Contractor)

Contracts to Section 3 Business Concerns (continued)

COMPANY NAME: _____

ADDRESS: _____

CONTACT PERSON: _____ TELEPHONE: _____

E-MAIL ADDRESS: _____

ORIGINAL CONTRACT DOLLAR VALUE: _____

AMENDED CONTRACT DOLLAR VALUE: _____

NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.

WORK TO BE PERFORMED/MATERIALS SUPPLIED: _____

****Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):**

Anticipated Start Date: _____ Anticipated End Date: _____

COMPANY NAME: _____

ADDRESS: _____

CONTACT PERSON: _____ TELEPHONE: _____

E-MAIL ADDRESS: _____

ORIGINAL CONTRACT DOLLAR VALUE: _____

AMENDED CONTRACT DOLLAR VALUE: _____

NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.

WORK TO BE PERFORMED/MATERIALS SUPPLIED: _____

****Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):**

Anticipated Start Date: _____ Anticipated End Date: _____

COMPANY NAME: _____

ADDRESS: _____

CONTACT PERSON: _____ TELEPHONE: _____

E-MAIL ADDRESS: _____

ORIGINAL CONTRACT DOLLAR VALUE: _____

AMENDED CONTRACT DOLLAR VALUE: _____

NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.

WORK TO BE PERFORMED/MATERIALS SUPPLIED: _____

****Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):**

Anticipated Start Date: _____ Anticipated End Date: _____

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts- Compliance Division

SCHEDULE B - SECTION 3 UTILIZATION PLAN
(To Be Completed by Prime Contractor)

Table II.b: Contracting Shortfall

If the Prime Contractor cannot meet the minimum contracting requirements, outlined on pages 2 through 4, provide the reasoning below. You must include the scope of work and why you cannot meet the requirements. For additional space, please attach a document on your company's letterhead.

| |
|--|
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Table II.c: Outreach Efforts

If the Prime Contractor is unable to find subcontractors, after exhausting all good faith efforts, to perform under this scope of work, list the Companies that were contacted for subcontracting opportunities for this contract.

| Outreach Efforts | |
|---------------------------------------|--|
| Business Name: | |
| Primary Contact: | |
| Phone Number: | |
| E-Mail Address: | |
| Reason for not subcontracting: | |
| Business Name: | |
| Primary Contact: | |
| Phone Number: | |
| E-Mail Address: | |
| Reason for not subcontracting: | |

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts- Compliance Division

SCHEDULE B - SECTION 3 UTILIZATION PLAN
(To Be Completed by Prime Contractor)

Part III: OTHER ECONOMIC OPPORTUNITIES *(NOTE: Beginning on January 2, 2015, the Chicago Housing Authority (CHA) observes a \$13 per hour Minimum Wage Requirement. This policy affects paid mentorship and internship programs, among others).*

Table III: Other Economic Opportunities Plan(s)

THIS SECTION MUST BE COMPLETED IF YOUR PLAN DOES NOT MEET THE MINIMUM HIRING (30% OF NEW HIRES) AND/OR CONTRACTING (10%/3%) REQUIREMENTS.

In the space provided below, please outline your plan to provide other economic opportunities to a Section 3 or low-income person (if more space is needed, please provide an attachment to this Schedule B). Examples of plans may include internship programs, mentorship programs, and teaming agreements. Please note that any indirect subcontracting should also be described in the section below. Refer to the instruction page for more information.

| Indirect Participation (subcontracting to a Section 3 business for work outside the scope) | |
|--|-----------------------------|
| <i>Note: An indirect subcontractor should still submit a Schedule C to correspond with this information.</i> | |
| COMPANY NAME: _____ | |
| ORIGINAL CONTRACT DOLLAR VALUE: _____ | |
| WORK TO BE PERFORMED/MATERIALS SUPPLIED: _____ | |
| Anticipated Start Date: _____ | Anticipated End Date: _____ |
| | |
| COMPANY NAME: _____ | |
| ORIGINAL CONTRACT DOLLAR VALUE: _____ | |
| WORK TO BE PERFORMED/MATERIALS SUPPLIED: _____ | |
| Anticipated Start Date: _____ | Anticipated End Date: _____ |

| Mentorship Program Participation | |
|---|--|
| Describe in detail the work that will be performed by the Section 3 Resident or Business Concern | |
| Quantifiable Goals | |
| Anticipated Results | |

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts- Compliance Division

SCHEDULE B - SECTION 3 UTILIZATION PLAN
(To Be Completed by Prime Contractor)

| | |
|---|--|
| Training Program | |
| Describe in detail the work that will be performed by the Section 3 Resident or Business Concern | |
| Quantifiable Goals | |
| Anticipated Results | |

| | |
|---|--|
| Internship Program | |
| Describe in detail the work that will be performed by the Section 3 Resident or Business Concern | |
| Quantifiable Goals | |
| Anticipated Results | |

| | |
|---|--|
| Other Results-Oriented Economic Opportunities (Please Describe) | |
| <small>Note: Any part-time hires can be represented here.</small> | |
| Describe in detail the work that will be performed by the Section 3 Resident or Business Concern | |
| Quantifiable Goals | |
| Anticipated Results | |

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts- Compliance Division

SCHEDULE B - SECTION 3 UTILIZATION PLAN
(To Be Completed by Prime Contractor)

Please select which type of contribution is being paid into the Section 3 Fund, according to your Schedule B- Section 3 Utilization Plan. If a contribution is being made for Hiring and Contracting, you should indicate that in the chart below.

| Section 3 Fund | | | |
|--|--------------------------|---|---|
| Note: Please refer to page three (3) Part III: Other Economic Opportunities for more details on contributions. | | | |
| Hiring | <input type="checkbox"/> | 5% of total contract value (Construction)- Not to Exceed \$100,000 | |
| | <input type="checkbox"/> | 1.5% of total contract value (Professional Service)- Not to Exceed \$100,000 | |
| Contracting | <input type="checkbox"/> | Contributing the difference between the actual subcontracting dollar amount and the minimum subcontracting requirement Not to Exceed \$500,000 | |
| | | <input type="checkbox"/> | 10% of total contract value (Construction) Not to Exceed \$500,000 |
| | | <input type="checkbox"/> | 3% (Other Contracts- including Professional Service) Not to Exceed \$500,000 |

Contribution to Section 3 Fund
(this is the total of all hiring and Contracting contributions identified in the Section 3 Fund chart above)

| | |
|-------------------------------------|----------|
| Dollar Value of Contribution | \$ _____ |
|-------------------------------------|----------|

| | |
|---|--|
| How will I contribute the funds? | <input type="checkbox"/> CHA can deduct portions from each of my purchase orders |
|---|--|

By signing below, the Contractor hereby agrees to comply with the 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 CHA Section 3 Policy. Furthermore, the undersigned acknowledges and affirms responsibility for completion and submission of this form at the time the bid or proposal is due.

NAME OF PRIME CONTRACTOR (Print or Type) _____

NAME OF AUTHORIZED OFFICER (Print or Type) _____ SIGNATURE OF AUTHORIZED OFFICER _____

DATE _____

NAME OF NOTARY (Print or Type) _____

STATE OF _____ COUNTY OF _____ ON THIS _____ DAY OF

_____ 20__ BEFORE ME APPEARED (NAME) _____

TO ME PERSONALLY KNOWN WHO, BEING DULY SWORN, DID EXECUTE THE FOREGOING AFFIDAVIT, AND DID STATE THAT HE OR SHE WAS PROPERLY AUTHORIZED BY THE PRIME CONTRACTOR TO EXECUTE THIS AFFIDAVIT AND DID SO AS HIS OR HER FREE ACT AND DEED.

NOTARY PUBLIC: _____ (SEAL): _____

COMMISSION EXPIRES: _____

INTERNAL CHA APPROVAL: _____
 COMPLIANCE MANAGER'S SIGNATURE DATE

INTERNAL CHA APPROVAL: _____
 SECTION 3 ADMINISTRATOR DATE
(Applicable when Other Economic Opportunities are proposed)

CHICAGO HOUSING AUTHORITY (CHA)
Procurement & Contracts Department Contract Compliance Division

SCHEDULE C

Letter of Intent M/W/DBE and/or Section 3 Business Concern
Subcontractors, Suppliers, Consultants

(To Be Completed by Subcontractor and/or Self-Performing Prime Contractor)

M/W/DBE or SECTION 3 BUSINESS CONCERN NAME: _____

Certification Status (Check One): MBE WBE DBE

Section 3 Business Concern (Check One): Yes NO

NOTE: Per CHA's Section 3 Policy, all Section 3 Business Concerns must be self-certified in the Section 3 Business Concern Self-Certification Registry and there will be no exceptions. Vendors will have to identify Section 3 Business Concerns and ensure those businesses are self-certified in CHA's Section 3 Business Concern Registry, prior to contract award.

If yes, Section 3 Business Concern (Check One):

- 51 percent or more owned by section 3 residents
 - a. A public housing resident
 - b. Low and very-low income persons who live in the Chicago Metropolitan Area or non-metropolitan county
- Whose permanent, full-time employees include persons, at least **30** percent of whom are currently section 3 residents, or within three years of the date of first employment with the business concern were section 3 residents
- That provides evidence of a commitment to subcontract in excess of **25** percent of the dollar award of all subcontracts to be awarded to business concerns that meet the qualifications set forth in paragraphs (1) or (2) in this definition of "section 3 business concern"

FEIN: _____ ETHNICITY: _____ GENDER: _____

CONTACT NAME/TITLE: _____

E-MAIL ADDRESS: _____

IFB/RFP/CONTRACT OR PURCHASE ORDER NO.: _____

PROJECT TITLE: _____ DATE FORM COMPLETED: _____

PRIME CONTRACTOR: _____
(NAME) (TELEPHONE NUMBER)

NOTE: M/W/DBE contractors must attach a Letter of Certification from one of the certifying agencies listed on the Schedule A - M/W/DBE Utilization Plan. For Section 3 Business Concern (S3BC) contractors/subcontractors, the owner or employee of the S3BC cannot also be an employee of the Prime Contractor on a contract per HUD Regulations.

1. Will the Subcontractor contract any of the work to be performed on this contract to another firm? Yes No

If yes, explain below (Include dollar amount & percentage that will be subcontracted to other firms):

CHICAGO HOUSING AUTHORITY (CHA)
Procurement & Contracts Department Contract Compliance Division

SCHEDULE C

Letter of Intent M/W/DBE and/or Section 3 Business Concern
Subcontractors, Suppliers, Consultants

(To Be Completed by Subcontractor and/or Self-Performing Prime Contractor)

2. List commodities/services to be provided for the above-referenced contract:

3. Indicate the total dollar value: \$ _____

4. Terms of the agreement including but not limited to joint venture, subcontract, supplier or purchase order agreements on the above-referenced contract (timeframe and other subcontract details):

5. Per HUD Definition, "Subcontractor means any entity (other than a person who is an employee of the contractor) which has a contract with a contractor to undertake a portion of the contractor's obligation for the performance of work generated by the expenditure of Section 3 covered assistance, or arising in connection with a section 3 covered project. "

Does the subcontractor comply with the above definition and does NOT have any business interests related to the Prime? Yes NO

AFFIDAVIT

The undersigned will enter into a signed agreement with the Prime Contractor listed above within five (5) days after receipt of a signed contract executed by the Chicago Housing Authority.

I do solemnly declare and affirm under the penalty of perjury that the contents of the forgoing document are true and correct, and that I am authorized on behalf of the Subcontractor to make this affidavit.

(NAME OF MBE/WBE/DBE SUBCONTRACTOR/SUPPLIER - PRINT OR TYPE)

(SIGNATURE OF AUTHORIZED PRINCIPAL OR AGENT)

(DATE)

(NAME OF NOTARY - PRINT OR TYPE)

STATE OF _____ COUNTY OF _____

ON THIS _____ DAY OF _____ 20 _____

BEFORE ME APPEARED (NAME) _____ to me personally known who, being duly sworn, did execute the foregoing affidavit, and did state that he or she was properly authorized by _____ to execute the affidavit and did so as his or her free act and deed.

NOTARY PUBLIC: _____

(SEAL)

COMMISSION EXPIRES: _____



Quick Guide Contract Compliance Requirements

Contract Compliance, within the Department of Procurement and Contracts, is responsible for monitoring the Minority/Women/Disadvantaged Business Enterprises (M/W/DBE) and Section 3 policies and the Davis-Bacon regulations for the Chicago Housing Authority.

What Compliance Requirements apply to the different types of contracts?

| Type of Contract | M/W/DBE | Section 3 | Davis-Bacon |
|----------------------|---------|-----------|-------------|
| Professional Service | Yes | Yes | No |
| Construction | Yes | Yes | Yes |

Minority/Women/Disadvantaged Business Enterprises (M/W/DBEs)

In accordance with the Chicago Housing Authority's M/W/DBE policy, minority, women, and disadvantaged businesses have the maximum opportunity to participate in the performance of contracts awarded by CHA. Depending upon the type of contract and the dollar value, the following requirements are in place for M/W/DBE subcontracting:

| Type of Contract | Contract Amount | MBE/WBE/DBE Participation |
|-------------------------------|-------------------------|---------------------------|
| Construction | \$25,000 - \$200,000 | 25% |
| | \$200,001 - \$500,000 | 30% |
| | \$500,001 - \$1,000,000 | 35% |
| | \$1,000,001 + | 40% |
| Service and Supply & Delivery | \$25,000 + | 20% |

Required M/W/DBE Documents:

| Document Name | To be Completed By | Details |
|--|---|--|
| Schedule A M/W/DBE UTILIZATION PLAN | Prime Contractor | This form lists out all M/W/DBE subcontractors the Prime plans to work with that will count towards their M/W/DBE subcontracting requirements, including a self-performing Prime. |
| Schedule C LETTER OF INTENT | Each M/W/DBE listed on the Schedule A, including a self-performing Prime Contractor | This form will be submitted by each subcontractor listed on the Schedule A. If a Prime is an M/W/DBE and they are self-performing, they must submit a Schedule C. The information outlined on the Schedule C must correspond with the Schedule A. A valid certification letter must be attached. |
| Letter of Certification | Each M/W/DBE listed on the Schedule A, including a self-performing Prime Contractor | This form must be submitted with every Schedule C. Applications are not accepted and the certification letter cannot be expired. |
| Waiver Request- M/W/DBE | Prime Contractor | This form is only to be used if a vendor cannot meet their subcontracting requirements. The form must have two things outlined in the justification/request portion for the waiver request: (1) scope of work and (2) reason the Prime cannot meet the commitments outlined. Make sure that all good faith efforts, including indirect participation, have been exhausted. |

- B2Gnow requires Prime Contractors to login and approve payments from CHA and enter payments they have made to subcontractors.
- Subcontractors are then required to login and approve payments entered by the Prime Contractor.



Quick Guide Contract Compliance Requirements

Section 3

Under CHA’s Section 3 policy, there are multiple requirements. Hiring and Subcontracting are required under Section 3, and vendors cannot choose between the two. Section 3 does not apply to Supply & Delivery contracts.

- **Hiring –30%** of all of new hires must be Section 3 employees. This includes CHA and low-income Chicago area residents. The Prime will be required to complete the Schedule B and outline all of the employees who are needed to complete this scope of work. Through the hiring chart on Schedule B- Section 3 Utilization Plan, Compliance is able to determine how many Section 3 employees are needed for the contract. The 30% of all new hires covers new hires for the Prime Contractor and the Subcontractors. Contractors will be required to utilize CHA’s Section 3 Job Opportunities website, which allows Section 3 individuals to apply for open positions on CHA contracts. The Section 3 Opportunities system is replacing the Job Order Form process and will require Applicants to actively apply for jobs and Employers to interview and hire for their Section 3 positions based on a streamlined process in accordance with HUD’s Code of Federal Regulations (CFR). Section 3 Hiring Specialists will be responsible for initiating the job postings and approving the job profiles prior to the new jobs posting to the website available to the public.
- **Subcontracting** – Prime Contractors are required to subcontract **10%** of the total contract value for construction contracts and **3%** of the total contract value for all other contracts to Section 3 Business Concerns. CHA’s Section 3 Business Concern Registry is a great place to start when looking for Section 3 Businesses to contract with. HUD does perform random audits of the businesses in this registry.

What makes a business a Section 3 Business Concern? There are three ways a business can qualify as a Section 3 Business Concern:

1. A business that is **51** percent or more owned by section 3 residents, meaning a CHA resident or low-income Chicago area resident;
2. A business whose permanent, full-time employees are made up of at least **30** percent of section 3 residents (including CHA and low-income residents), or within three years of the date of first employment with the business concern were section 3 residents; or
3. A business that subcontracts **25** percent or more of their total subcontracts to business concerns that meet the qualifications in the first two options (this is identified on a project by project basis).

PLEASE NOTE: A business who is self-identified as a Section 3 Business Concern and also certified as an M/W/DBE will count towards the subcontracting goals for both the M/W/DBE and Section 3 Policies.

- **Other Economic Opportunities-** A Prime Contractor who has demonstrated its attempts, to the maximum extent feasible, to meet its Section 3 hiring and contracting goals may satisfy Section 3 obligations by engaging in Indirect Participation, Mentorship Program Participation, and/or Other Results-Oriented Economic Opportunities as alternative means to achieving Section 3 goals. In addition, a contribution to the Section 3 Fund is allowable under Other Economic Opportunities, as long as it is outlined in accordance with the Section 3 Policy. Please note that all Other Economic Opportunities must benefit the Section 3 resident and business community.

Required Section 3 Documents:

| Document Name | To be Completed By | Details |
|--|--|---|
| Schedule B SECTION 3 UTILIZATION PLAN | Prime Contractor | This form will outline your hiring, subcontracting, and other economic opportunities that the Prime is committing to. |
| Schedule C LETTER OF INTENT (also used for M/W/DBE subcontractors) | Each Section 3 Business Concern listed on the Schedule B, including a self-performing Prime Contractor | This will be submitted by each subcontractor listed on the Schedule B. If the self-identified Section 3 Business Concern is also a certified M/W/DBE, they can submit one Schedule C and indicate their status by checking off both qualifications. |



Quick Guide Contract Compliance Requirements

Section 3 Clause:

Construction Contractors must post the Section 3 Clause on-site. Each Prime Contractor is required to provide a copy of the notice to the CHA upon issuance of the notice to proceed. The Prime Contractor will also be required to demonstrate that the notice has been posted at the worksite in accordance with the Section 3 clause. This may be verified through site visits or a request by the CHA for proof of posting and notification to employees.

“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.”

The Davis-Bacon & Related Acts apply to construction contracts over **\$2,000** and ensure that all construction employees are paid in accordance with the Department of Labor's wage decision. If there are union contractors, please ensure that Davis-Bacon wages are met, in accordance with the contract.

CERTIFIED PAYROLL SUBMITTAL & REPORTING

- Certified Payroll Reports must be entered into LCPtracker on a weekly basis.
- All wage rates and job classifications are available through LCPtracker, and will be utilized when entering weekly payroll updates.
- Schedule D- Hiring Reports are also uploaded through LCPtracker, for proof of hiring your Section 3 employees.
- If you ever have a question about job classifications that may not be listed on the wage decision, ask your Contract Compliance Specialist.

In addition to certified payroll reports, the CHA Compliance Team will perform random unannounced site visits. These site visits are then compared to payment information and certified payrolls submitted through B2Gnow and LCPtracker.

NOTE: As of January 2, 2015, the Chicago Housing Authority (CHA) observes a \$13 per hour Minimum Wage Requirement to be paid to employees of CHA Contractors, and of any subcontractors of such CHA Contractors, performing work on CHA contracts. A copy of the CHA Minimum Wage Requirement may be downloaded from the CHA website at: http://www.thecha.org/assets/1/22/CHA_Minimum_Wage_Requirement.pdf. Note that Federal wage determinations (either Davis-Bacon or HUD-Determined Wage Rates) preempt any conflicting State prevailing wage rate or the Minimum Wage Requirement when the State prevailing wage rate or the Minimum Wage Requirement is higher than the Federally-imposed wage rate (24 CFR 965).

Please note that as long as your firm and all subcontractors are in compliance throughout this project, with everything we just covered, there should be no need for payment holds on our end. If you are ever concerned about invoices being placed on hold, always contact your Contract Compliance Specialist first, in order to ensure that your contract is in compliance and that CHA has no reason to hold your payment.



**Quick Guide
Contract Compliance Requirements**

Compliance Utilization Plans

Below is a list of items needed to evaluate a full Compliance plan for CHA’s M/W/DBE and Section 3 Policies:

Schedule A- M/W/DBE Utilization Plan

| Detailed Requirement | |
|--|---|
| Schedule A | The Schedule A must be submitted, signed and notarized |
| Contract Amount | This amount must match all other bid documents |
| M/W/DBE Total | This amount must be the correct sum of all subcontract amounts listed on the Schedule A |
| Subcontractor Company Name | This must be listed for each Subcontractor listed on the Schedule A |
| Subcontractor Original MBE/WBE/DBE Dollars | The subcontract amount must be included for each Subcontractor |
| Subcontractor Work To Be Performed/Materials To Be Supplied | The scope of work, even if brief, must be included for each Subcontractor |

Schedule B- Section 3 Utilization Plan

| Detailed Requirement | |
|--|---|
| Schedule B was submitted | The Schedule B must be submitted, signed and notarized |
| Prime Contractor Acknowledgement of Section 3 Requirements | Page 4 of the Schedule B must be completed by a Principal of the Prime Contractor |
| All elements of the Hiring Chart | This includes all required fields (1) through (8) for the Prime and Subcontractors- refer to the instructions on page 2 of the Schedule B |
| Section 3 Business Concern must have their Business Name, Original Contract Value, and Scope of work outlined | This must be listed for each Section 3 Business Concern listed on the Schedule B |
| Other Economic Opportunities | If there is a shortfall in the hiring or contracting plans, Other Economic Opportunities must be proposed |

Schedule C- Letter of Intent M/W/DBE and/or Section 3 Business Concern Subcontractors, Suppliers, Consultants

| Detailed Requirement | |
|--|--|
| Schedule Cs for every Subcontractor listed on the Schedule A and/or B must be submitted | The dollar values must correspond with the Schedule A and/or B |
| M/W/DBE or SECTION 3 BUSINESS CONCERN NAME | Subcontractor’s Business Name must be indicated on page 1 of the Schedule C |
| M/W/DBE Certification Status | If the Subcontractor is listed on the Schedule A, they must identify their M/W/DBE certification status |
| Section 3 Business Concern Status | If the Subcontractor is listed on the Schedule B, they must identify their Section 3 status |
| Contract Value | The contract value outlined on the Schedule C must match the Schedule A- M/W/DBE Utilization Plan or B- Section 3 Utilization Plan |

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts Contract Compliance Division

SCHEDULE A – M/W/DBE UTILIZATION PLAN
(To Be Completed by PRIME CONTRACTOR)

RFP/IFB/CONTRACT/PURCHASE ORDER NO: _____ DATE FORM SUBMITTED: _____

PROJECT TITLE: _____

PRIME CONTRACTOR NAME(S): _____

ADDRESS: _____ TELEPHONE: () _____

CONTACT NAME/TITLE: _____

E-MAIL ADDRESS: _____

Certification Status: MBE ___ WBE ___ DBE ___ Certified By: _____

Ethnicity: _____ Gender: _____

FEDERAL TAX IDENTIFICATION OR SOCIAL SECURITY NO. : _____

CONTRACT AMOUNT: \$ _____

M/W/DBE TOTAL: \$ _____

M/W/DBE TOTAL PERCENTAGE: _____%

NOTE: The M/W/DBE Total represents the sum of all of the subcontracts listed on this Schedule A, including Self-Performing Prime's portion.

PRIME SELF-PERFORMER? Yes ___ NO ___ IF YES, SELF-PERFORMANCE AMOUNT: \$ _____ % _____

The Contractor shall in determining the manner of M/W/DBE participation, first consider **Direct Participation** with M/W/DBE companies as subcontractors, suppliers of goods and services, or as joint venture partners, directly related to the performance of this contract. After exhausting reasonable good faith efforts and with prior CHA approval, the bidder/proposer may also meet all or part of the CHA's M/W/DBE commitment goals, through **Indirect Participation**, by contracting with M/W/DBEs for the provision of goods and services not directly related to the performance of the contract/scope of work. Indirect participation can be demonstrated by providing copies of canceled checks (both front and back) paid to the certified subcontractors, and a Letter of Certification that was current at the time the checks were issued to the subcontractor (must be entered into B2Gnow and Contract Compliance Specialist will approve). Indirect participation must occur within this contract period and will not be considered as acceptable participation on multiple contracts.

Firms seeking M/W/DBE subcontracting credit via Direct or Indirect participation must include **one (1) current certification** from a CHA approved certifying agency. A copy of a current Letter of Certification is required. Applications for certified status will not be accepted. M/W/DBEs utilized for direct or indirect participation must be currently certified by one of the following agencies: City of Chicago, METRA, PACE, Cook County, State of Illinois - Central Management Services (CMS), Women Business Development Center (WBDC), Chicago Transit Authority (CTA), the Chicago Minority Supplier Development Council (CMSDC), Illinois Department of Transportation (IDOT), and/or the Small Business Administration (SBA 8(a)). For contractors whose principal business address is located outside of the metropolitan Chicago area, certification of comparable agencies will be considered.

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts Contract Compliance Division

SCHEDULE A – M/W/DBE UTILIZATION PLAN
(To Be Completed by PRIME CONTRACTOR)

I. DIRECT PARTICIPATION

A. COMPANY NAME: _____

ADDRESS: _____

CONTACT PERSON: _____ TELEPHONE:() _____

E-MAIL ADDRESS: _____

ORIGINAL M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____

AMENDED M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____

NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.

WORK TO BE PERFORMED/MATERIALS SUPPLIED:

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

B. COMPANY NAME: _____

ADDRESS: _____

CONTACT PERSON: _____ TELEPHONE:() _____

E-MAIL ADDRESS: _____

ORIGINAL M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____

AMENDED M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____

NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.

WORK TO BE PERFORMED/MATERIALS SUPPLIED:

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

C. COMPANY NAME: _____

ADDRESS: _____

CONTACT PERSON: _____ TELEPHONE:() _____

E-MAIL ADDRESS: _____

ORIGINAL M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____

AMENDED M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____

NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.

WORK TO BE PERFORMED/MATERIALS SUPPLIED:

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts Contract Compliance Division

SCHEDULE A – M/W/DBE UTILIZATION PLAN
(To Be Completed by PRIME CONTRACTOR)

D. COMPANY NAME: _____
ADDRESS: _____
CONTACT PERSON: _____ TELEPHONE:() _____
E-MAIL ADDRESS: _____
ORIGINAL M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
AMENDED M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.
WORK TO BE PERFORMED/MATERIALS SUPPLIED:

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

E. COMPANY NAME: _____
ADDRESS: _____
CONTACT PERSON: _____ TELEPHONE:() _____
E-MAIL ADDRESS: _____
ORIGINAL M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
AMENDED M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.
WORK TO BE PERFORMED/MATERIALS SUPPLIED:

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

F. COMPANY NAME: _____
ADDRESS: _____
CONTACT PERSON: _____ TELEPHONE:() _____
E-MAIL ADDRESS: _____
ORIGINAL M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
AMENDED M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.
WORK TO BE PERFORMED/MATERIALS SUPPLIED:

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts Contract Compliance Division

SCHEDULE A – M/W/DBE UTILIZATION PLAN
(To Be Completed by PRIME CONTRACTOR)

G. COMPANY NAME: _____
ADDRESS: _____
CONTACT PERSON: _____ TELEPHONE:() _____
E-MAIL ADDRESS: _____
ORIGINAL M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
AMENDED M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.
WORK TO BE PERFORMED/MATERIALS SUPPLIED:

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

H. COMPANY NAME: _____
ADDRESS: _____
CONTACT PERSON: _____ TELEPHONE:() _____
E-MAIL ADDRESS: _____
ORIGINAL M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
AMENDED M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.
WORK TO BE PERFORMED/MATERIALS SUPPLIED:

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

I. COMPANY NAME: _____
ADDRESS: _____
CONTACT PERSON: _____ TELEPHONE:() _____
E-MAIL ADDRESS: _____
ORIGINAL M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
AMENDED M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.
WORK TO BE PERFORMED/MATERIALS SUPPLIED:

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts Contract Compliance Division

SCHEDULE A – M/W/DBE UTILIZATION PLAN
(To Be Completed by PRIME CONTRACTOR)

II. INDIRECT PARTICIPATION

A. COMPANY NAME: _____
ADDRESS: _____
CONTACT PERSON: _____ TELEPHONE:() _____
E-MAIL ADDRESS: _____

ORIGINAL M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____

AMENDED M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____

NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.

WORK TO BE PERFORMED/MATERIALS SUPPLIED:

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

B. COMPANY NAME: _____
ADDRESS: _____
CONTACT PERSON: _____ TELEPHONE:() _____
E-MAIL ADDRESS: _____

ORIGINAL M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____

AMENDED M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____

NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.

WORK TO BE PERFORMED/MATERIALS SUPPLIED:

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

C. COMPANY NAME: _____
ADDRESS: _____
CONTACT PERSON: _____ TELEPHONE:() _____
E-MAIL ADDRESS: _____

ORIGINAL M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____

AMENDED M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____

NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.

WORK TO BE PERFORMED/MATERIALS SUPPLIED:

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts Contract Compliance Division

SCHEDULE A – M/W/DBE UTILIZATION PLAN
(To Be Completed by PRIME CONTRACTOR)

D. COMPANY NAME: _____
ADDRESS: _____
CONTACT PERSON: _____ TELEPHONE:() _____
E-MAIL ADDRESS: _____
ORIGINAL M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
AMENDED M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.
WORK TO BE PERFORMED/MATERIALS SUPPLIED:

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

E. COMPANY NAME: _____
ADDRESS: _____
CONTACT PERSON: _____ TELEPHONE:() _____
E-MAIL ADDRESS: _____
ORIGINAL M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
AMENDED M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.
WORK TO BE PERFORMED/MATERIALS SUPPLIED:

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

F. COMPANY NAME: _____
ADDRESS: _____
CONTACT PERSON: _____ TELEPHONE:() _____
E-MAIL ADDRESS: _____
ORIGINAL M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
AMENDED M/W/DBE DOLLAR VALUE: _____ % of Total Contract Value: _____
NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.
WORK TO BE PERFORMED/MATERIALS SUPPLIED:

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts Contract Compliance Division

SCHEDULE A – M/W/DBE UTILIZATION PLAN
(To Be Completed by PRIME CONTRACTOR)

AFFIDAVIT OF PRIME CONTRACTOR

To the best of my knowledge, information and belief, the facts and representations contained in this Schedule A are true and no material facts have been omitted.

The undersigned will enter into agreements with the above listed companies for work as indicated on this Schedule A within five (5) days after receipt of a signed contract executed by the Chicago Housing Authority. Copies of agreements including but not limited to joint ventures, subcontracts supplier agreements, purchase orders referencing the SPEC., RFP, or Purchase Order Number shall be forwarded to the Procurement & Contracts Department, Contract Compliance Section, 60 East Van Buren, 13th Floor, Chicago, IL 60605.

I do solemnly declare and affirm under the penalty of perjury that the contents of the forgoing document are true and correct, and that I am authorized on behalf of the Prime Contractor to make this affidavit.

NAME OF PRIME CONTRACTOR (Print or Type)

AUTHORIZED OFFICER

Name

Signature

Date

NAME OF NOTARY (Print or Type)

STATE OF _____ COUNTY OF _____ ON THIS _____ DAY OF

_____ 20____ BEFORE ME APPEARED (NAME) _____ TO ME PERSONALLY

KNOWN WHO, BEING DULY SWORN, DID EXECUTE THE FOREGOING AFFIDAVIT, AND DID STATE THAT HE OR SHE WAS PROPERLY

AUTHORIZED BY (NAME OF COMPANY) _____ TO EXECUTE THIS AFFIDAVIT AND DID SO AS

HIS OR HER FREE ACT AND DEED. NOTARY PUBLIC _____ (SEAL) COMMISSION EXPIRES:

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts- Compliance Division

SCHEDULE B - SECTION 3 UTILIZATION PLAN
(To Be Completed by Prime Contractor)

PRIME/GENERAL CONTRACTOR'S NAME: _____

RFP/IFB/RFQ/CONTRACT or PO NUMBER: _____ DATE FORM COMPLETED: _____

PROJECT TITLE: _____

CONTACT NAME/TITLE: _____

E-MAIL ADDRESS: _____ CONTRACT AMOUNT: _____

**PLEASE READ CAREFULLY AND SIGN THE ACKNOWLEDGMENT ON PAGE 4
 PRIOR TO COMPLETING AND SUBMITTING SCHEDULE B**

Overview:

The contractor hereby agrees to comply with all the provisions of Section 3 as set forth in 24 CFR 135 and the CHA's Section 3 Policy. The Contractor hereby submits Schedule B to identify employment, subcontracting, and other opportunities for Chicago Housing Authority residents and low income Chicago area residents during the term of the contract between the Contractor and CHA. Any changes to this Utilization Plan must be approved by the Contract Compliance Specialist, via an amended Schedule B and Section 3 Change Form, when requested.

| Type of Contract | Contract Amount | Section 3 Requirements | | |
|---|---------------------|---------------------------------------|---|------------------------------|
| | | Hiring | Contracting | Other Economic Opportunities |
| Construction | All Contract Values | 30% <i>Of all new hires</i> | 10% <i>Of total contract value subcontracted</i> | See instructions |
| Other Contracts <i>(Including Professional Service)</i> | All Contract Values | 30% <i>Of all new hires</i> | 3% <i>Of total contract value subcontracted</i> | See instructions |

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts- Compliance Division

SCHEDULE B - SECTION 3 UTILIZATION PLAN
(To Be Completed by Prime Contractor)

Instructions:

Part I: Hiring

- Per 24 CFR 135.30, Section 3 requires at least 30% of the contractor's new hires be Section 3 residents.
- The prime contractor is **required** to fill out the **Table I.b Hiring Chart- ENTIRE WORKFORCE for both Prime and all Subcontractors** in **Part I: Hiring**. This chart includes Section 3 hires, **AS WELL AS** all other non-section 3 hires for the scope of work.
- **Table I.a SAMPLE Hiring Chart Entire Workforce for both Prime and all Subcontractors** is provided to you as a sample.
- **Table I.b Hiring Chart Entire Workforce for both Prime and all Subcontractors** will require you to indicate the total workforce that you and your subcontractors already have in place and those you need to hire. You will need to list their (1) Job Titles, (2) Total Employees Needed at each Job Title, (3) Total Number of Employees Currently Employed at each Job Title, (4) Total New Hires Needed for each Job Title, (5) Total Section 3 Hires for each Job Title, (6) Anticipated Hiring Date Section 3 Hires for Each Job Title, (7) Total Columns (1) through (5) individually, and (8) Total New Section 3 Hires Required and (9) Percentage of New Hires that are Section 3.
- By filling out the hiring chart, the Contractor affirms that the jobs identified for Section 3 residents shall be for meaningful employment.
- A Prime Contractor may satisfy the CHA Resident Hiring Requirements through the hiring of Section 3 residents through his/her subcontractors.
- The Hiring Chart must be completed in its entirety, including a response for each column, in addition to proper calculations in each field where totals are required.
- If any proposed Section 3 positions cannot be filled, a Section 3 Change Form is required under the Section 3 Policy.
- Prime Contractors and Subcontractors are required to use CHA's Section 3 Job Opportunities website to fill all Section 3 positions.

Part II: Contracting

- Per 24 CFR 135.30, Section 3 requires Construction contracts to subcontract at least 10% of the work to Section 3 Business Concerns and 3% of the work for all Other Contracts.
- **The definition of 'Section 3 Business Concern' under HUD Regulations is:**
 - (1) 51 percent or more owned by section 3 residents; or
 - (2) Whose permanent, full-time employees include persons, at least 30 percent of whom are currently section 3 residents, or within three years of the date of first employment with the business concern were section 3 residents; or
 - (3) That provides evidence of a commitment to subcontract in excess of 25 percent of the dollar award of all subcontracts to be awarded to business concerns that meet the qualifications set forth in paragraphs (1) or (2) in this definition of "section 3 business concern."
- Section 3 subcontracting refers to direct participation (only subcontracts for work that is included in the scope of the project).
- Contractors shall direct their efforts to award Section 3 covered contracts, to the greatest extent feasible, to Section 3 Business Concerns in the order of priority provided in 24 CFR 135.36.
- The Prime Contractor is required to fill out the contracting information in Table II: Contracting Commitments, Table II.a: Section 3 Business Concern Contracts, Table II.b.: Contracting Shortfall (if necessary), and/or Table II.c: Outreach Efforts (if necessary) of Part II.
- **Table II: Contracting Commitments** requires you to indicate the Total Dollar Value being subcontracted to Section 3 Business Concerns **and** the percentage of the total contract value, to which the total of all Section 3 Business Concern subcontracts is equivalent.

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts- Compliance Division

SCHEDULE B - SECTION 3 UTILIZATION PLAN
(To Be Completed by Prime Contractor)

- **Table II.a. Section 3 Business Concern Contracts** requires you to identify each Section 3 Business Concern that will hold a subcontract under this Contract. The Company's Name, Contract Value, and Scope of Work to be Performed must be identified in order for the plan to be considered complete. A corresponding Schedule C must be submitted with the Schedule B.
- **Table II.b. Contracting Shortfall or Table II.c. Outreach Efforts** must be completed when the Prime Contractor is unable to meet the full minimum subcontracting requirements under 24 CFR 135.
 - When there is no plan or need to subcontract, please outline the reason(s) why in Table II.b. Contracting Shortfall
 - If the prime contractor is unable to contract to a Section 3 Business Concern, all outreach efforts must be documented in Table II.c. Outreach Efforts You must document all of the companies that have been contacted for subcontracting opportunities. If there are limited companies available who perform the necessary duties under this scope of work, please indicate in the 'reasons for not subcontracting'.
 - This is required before Other Economic Opportunities are proposed.
- **PRIME CONTRACTOR MUST USE CHA'S SECTION 3 JOB OPPORTUNITIES WEBSITE TO IDENTIFY AND HIRE ANY AND ALL SECTION 3 EMPLOYEES. CHA WILL NOT CONSIDER OR AUTHORIZE ANY ALTERNATE PROPOSALS TO IDENTIFY SUCH EMPLOYEES.**

Part III: Other Economic Opportunities

- In the event that a Prime Contractor has demonstrated no plan or need to hire and/or subcontract or is unable to meet the hiring and/or subcontracting requirements in Part I and Part II, the Prime Contractor is required to provide other economic opportunities by completing the **Table III: Other Economic Opportunities Plan(s)**.
- **PLEASE NOTE THAT THE INABILITY TO MEET THE HIRING AND/OR SUBCONTRACTING REQUIREMENT MUST BE DOCUMENTED COMPLETELY IN PART I: HIRING AND PART II: CONTRACTING BEFORE COMPLETING PART III: OTHER ECONOMIC OPPORTUNITIES.**
- Other Economic Opportunities could include indirect subcontracting with a Section 3 Business Concern (subcontracting for work not included in the scope of work), training programs, mentorship program participation, or other economic opportunities directed towards section 3 residents and businesses. Any Other Economic Opportunities must be proposed on pages 10 through 12 in Part III: OTHER ECONOMIC OPPORTUNITIES.
- If the other forms of Other Economic Opportunities are not feasible, the Prime Contract may propose a contribution to the Section 3 Fund. Guidance on how to contribute to the Section 3 Fund is outlined below:
 - **Hiring Requirements Contribution:** If a Prime Contractor chooses to contribute to the Section 3 Fund as its Other Economic Opportunity, because they cannot meet the full hiring requirements (30% of new hires), and cannot provide other economic opportunities outlined above, then the contractor must pay 5% of the total dollar amount of the contract for building, trade work or 1.5% for all other contracts will be paid to the Section 3 fund. **NOTE: The amount shall not exceed \$100,000 for any one contract.**
 - **Contracting Requirements Contribution:** If a Prime Contractor chooses to contribute to the Section 3 Fund as its Other Economic Opportunity, because they cannot meet the full Section 3 Business Concern subcontracting requirements, and cannot provide other economic opportunities outlined above, the difference between 10% of the covered contract (building, trade work) or 3% (non-construction) and the actual amount provided to Section 3 Business Concerns must be paid to the Section 3 Fund. **NOTE: The amount shall not exceed \$500,000 for any one contract.**
 - A Prime Contractor may also pay the entire 10% of the covered contract (building, trade work) or 3% (non-construction) if they have documented the infeasibility of offering any Other Economic Opportunities. **NOTE: The amount shall not exceed \$500,000 for any one contract.**

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts- Compliance Division

SCHEDULE B - SECTION 3 UTILIZATION PLAN
(To Be Completed by Prime Contractor)

- Charts have been provided for each category accepted under Other Economic Opportunities. You must outline the actual proposed opportunity, how you will measure the success of this opportunity, and the anticipated results. You will only need to complete the tables that apply to your Section 3 Plan.
- Please reference the Section 3 Policy for more details.
- **NOTE: The Chicago Housing Authority (CHA) observes a \$13 per hour Minimum Wage Requirement on solicitations advertised by the CHA on or after January 2, 2015. A copy of the CHA Minimum Wage Requirement may be downloaded from the CHA website at: http://www.thecha.org/assets/1/22/CHA_Minimum_Wage_Requirement.pdf. Please note that Federal wage determinations (either Davis-Bacon or HUD-Determined Wage Rates) preempt any conflicting State prevailing wage rate or the Minimum Wage Requirement when the State prevailing wage rate or the Minimum Wage Requirement is higher than the Federally-imposed wage rate (24 CFR 965).**

This page (page 4) must be signed by a Principal of the Contractor. The last page (page 12) must be signed and notarized. This document is subject to change, by the CHA, at any time.

Prime Contractor Acknowledgement of Section 3 Requirements:

Signature of Principal of Contractor

Date

Print Name

CHICAGO HOUSING AUTHORITY (CHA)
 Department of Procurement and Contracts- Compliance Division

SCHEDULE B - SECTION 3 UTILIZATION PLAN
 (To Be Completed by Prime Contractor)

Part I: Hiring

SAMPLE HIRING CHART

Table I.a: SAMPLE Hiring Chart- ENTIRE WORKFORCE for both Prime and all Subcontractors

| (1) | (2) | (3) | (4) | (5) | (6) |
|---|---|---|---|---|--|
| Job Titles | Total Number of Employees Needed at each Job Title | Total Number of Employees Currently Employed at each Job Title | Total New Hires Needed for each Job Title | Total Section 3 Hires for Each Job Title | Anticipated Hiring Date Section 3 Hires for Each Job Title |
| <i>List the Job Titles that are needed to complete your scope of work- including the entire workforce for the Prime and any Subcontractors. This includes all Section 3 and non-Section 3 job titles.</i> | <i>List how many employees are needed to complete the Scope of Work for each Job Title.</i> | <i>List how many employees are currently employed at this position.</i> | <i>List how many of these positions are currently open.</i> | <i>List the number of Section 3 hires you will commit to for each position.</i> | <i>List the anticipated hiring date of Section 3 hires you will commit to for each position.</i> |
| Painters | 10 | 8 | 2 | 0 | n/a |
| Laborers | 20 | 19 | 1 | 1 | 10/01/2017 |
| Carpenters | 15 | 15 | 0 | 0 | n/a |
| Bricklayers | 4 | 4 | 0 | 0 | n/a |
| Sprinkler Fitter | 3 | 3 | 0 | 0 | n/a |
| Marble Mason | 1 | 1 | 0 | 0 | n/a |
| Electrician | 6 | 5 | 1 | 0 | n/a |
| Power Equipment Operator | 2 | 2 | 0 | 0 | n/a |
| Iron Worker | 5 | 5 | 0 | 0 | n/a |
| Cement Mason | 2 | 2 | 0 | 0 | n/a |
| Plumber | 4 | 4 | 0 | 0 | n/a |
| Roofer | 10 | 10 | 0 | 0 | n/a |
| Administrative Assistant | 2 | 1 | 1 | 1 | 08/01/2017 |
| Superintendent | 1 | 1 | 0 | 0 | n/a |
| Payroll Coordinator | 1 | 0 | 1 | 1 | 08/01/2017 |
| | | | | | |
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| | | | | | |
| | | | | | |
| (7) Totals: | 86 | 80 | 6 | 3 | |

SAMPLE HIRING CHART

| | |
|--|------------|
| (8) Total New Section 3 Hires Required: <i>(Total of column (4) x 0.3) round up to the nearest whole number</i> | 2 |
| (9) Percentage of New Hires that are Section 3: <i>(Total of column (5) ÷ Total of column (4)) × 100= % of New Hires</i> | 50% |

**CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts- Compliance Division**

**SCHEDULE B - SECTION 3 UTILIZATION PLAN
(To Be Completed by Prime Contractor)**

In the Section below, complete the hiring chart in accordance with the instructions on page 2. Please reference the Sample Hiring Chart.

Table I.b: Hiring Chart- ENTIRE WORKFORCE for both Prime and all Subcontractors

| (1) Job Titles | (2) Total Number of Employees Needed at each Job Title | (3) Total Number of Employees Currently Employed at each Job Title | (4) Total New Hires Needed for each Job Title | (5) Total Section 3 Hires for Each Job Title | (6) Anticipated Hiring Date Section 3 Hires for Each Job Title |
|--|---|---|---|---|--|
| <i>List the Job Titles that are needed to complete your scope of work-including the entire workforce for the Prime and any Subcontractors. This includes all Section 3 and non-Section 3 job titles.</i> | <i>List how many employees are needed to complete the Scope of Work for each Job Title.</i> | <i>List how many employees are currently employed at this position.</i> | <i>List how many of these positions are currently open.</i> | <i>List the number of Section 3 hires you will commit to for each position.</i> | <i>List the anticipated hiring date of Section 3 hires you will commit to for each position.</i> |
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| (7) Totals: | | | | | |

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|--|--|
| (8) Total New Section 3 Hires Required: <i>(Total of column (4) x 0.3) round up to the nearest whole number</i> | |
| (9) Percentage of New Hires that are Section 3: <i>(Total of column (5) ÷ Total of column (4)) × 100= % of New Hires</i> | |

NOTE: Effective January 2, 2015, the Chicago Housing Authority (CHA) observes a \$13 per hour Minimum Wage Requirement to be paid to employees of CHA Contractors, and of any subcontractors of such CHA Contractors, performing work on CHA contracts.

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts- Compliance Division

SCHEDULE B - SECTION 3 UTILIZATION PLAN
(To Be Completed by Prime Contractor)

Part II: CONTRACTING

Table II: Contracting Commitments

In the section below, outline the total dollar value and percentage of the total contract value that will be subcontracted with Section 3 Business Concerns.

| | |
|--|-----------|
| Total Dollar Value of Section 3 Business Concern Contracts: | \$ |
| Total Percentage of Section 3 Business Concern Contracts: | % |

Table II.a.- Section 3 Business Concern Contracts: In the table on the next page, outline the Section 3 Business Concerns that will be working on this contract. *(Note: Each subcontractor listed below must submit a corresponding Schedule C)*

| Contracts to Section 3 Business Concerns | |
|--|--|
| COMPANY NAME: _____ ADDRESS: _____ CONTACT PERSON: _____ TELEPHONE: _____ E-MAIL ADDRESS: _____ ORIGINAL CONTRACT DOLLAR VALUE: _____ AMENDED CONTRACT DOLLAR VALUE: _____ <i>NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.</i> WORK TO BE PERFORMED/MATERIALS SUPPLIED: _____ **Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long): Anticipated Start Date: _____ Anticipated End Date: _____ | |
| COMPANY NAME: _____ ADDRESS: _____ CONTACT PERSON: _____ TELEPHONE: _____ E-MAIL ADDRESS: _____ ORIGINAL CONTRACT DOLLAR VALUE: _____ AMENDED CONTRACT DOLLAR VALUE: _____ <i>NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.</i> WORK TO BE PERFORMED/MATERIALS SUPPLIED: _____ **Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long): Anticipated Start Date: _____ Anticipated End Date: _____ | |

(If more space is needed, you can use page 8 multiple times)

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts- Compliance Division

SCHEDULE B - SECTION 3 UTILIZATION PLAN
(To Be Completed by Prime Contractor)

Contracts to Section 3 Business Concerns (continued)

COMPANY NAME: _____

ADDRESS: _____

CONTACT PERSON: _____ TELEPHONE: _____

E-MAIL ADDRESS: _____

ORIGINAL CONTRACT DOLLAR VALUE: _____

AMENDED CONTRACT DOLLAR VALUE: _____

NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.

WORK TO BE PERFORMED/MATERIALS SUPPLIED: _____

****Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):**

Anticipated Start Date: _____ Anticipated End Date: _____

COMPANY NAME: _____

ADDRESS: _____

CONTACT PERSON: _____ TELEPHONE: _____

E-MAIL ADDRESS: _____

ORIGINAL CONTRACT DOLLAR VALUE: _____

AMENDED CONTRACT DOLLAR VALUE: _____

NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.

WORK TO BE PERFORMED/MATERIALS SUPPLIED: _____

****Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):**

Anticipated Start Date: _____ Anticipated End Date: _____

COMPANY NAME: _____

ADDRESS: _____

CONTACT PERSON: _____ TELEPHONE: _____

E-MAIL ADDRESS: _____

ORIGINAL CONTRACT DOLLAR VALUE: _____

AMENDED CONTRACT DOLLAR VALUE: _____

NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.

WORK TO BE PERFORMED/MATERIALS SUPPLIED: _____

****Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):**

Anticipated Start Date: _____ Anticipated End Date: _____

**CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts- Compliance Division**

**SCHEDULE B - SECTION 3 UTILIZATION PLAN
(To Be Completed by Prime Contractor)**

Table II.b: Contracting Shortfall

If the Prime Contractor cannot meet the minimum contracting requirements, outlined on pages 2 through 4, provide the reasoning below. You must include the scope of work and why you cannot meet the requirements. For additional space, please attach a document on your company's letterhead.

| |
|--|
| |
|--|

Table II.c: Outreach Efforts

If the Prime Contractor is unable to find subcontractors, after exhausting all good faith efforts, to perform under this scope of work, list the Companies that were contacted for subcontracting opportunities for this contract.

| Outreach Efforts | |
|---------------------------------------|--|
| Business Name: | |
| Primary Contact: | |
| Phone Number: | |
| E-Mail Address: | |
| Reason for not subcontracting: | |
| Business Name: | |
| Primary Contact: | |
| Phone Number: | |
| E-Mail Address: | |
| Reason for not subcontracting: | |

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts- Compliance Division

SCHEDULE B - SECTION 3 UTILIZATION PLAN
(To Be Completed by Prime Contractor)

Part III: OTHER ECONOMIC OPPORTUNITIES *(NOTE: Beginning on January 2, 2015, the Chicago Housing Authority (CHA) observes a \$13 per hour Minimum Wage Requirement. This policy affects paid mentorship and internship programs, among others).*

Table III: Other Economic Opportunities Plan(s)

THIS SECTION MUST BE COMPLETED IF YOUR PLAN DOES NOT MEET THE MINIMUM HIRING (30% OF NEW HIRES) AND/OR CONTRACTING (10%/3%) REQUIREMENTS.

In the space provided below, please outline your plan to provide other economic opportunities to a Section 3 or low-income person (if more space is needed, please provide an attachment to this Schedule B). Examples of plans may include internship programs, mentorship programs, and teaming agreements. Please note that any indirect subcontracting should also be described in the section below. Refer to the instruction page for more information.

| Indirect Participation (subcontracting to a Section 3 business for work outside the scope) | |
|--|-----------------------------|
| <i>Note: An indirect subcontractor should still submit a Schedule C to correspond with this information.</i> | |
| COMPANY NAME: _____ | |
| ORIGINAL CONTRACT DOLLAR VALUE: _____ | |
| WORK TO BE PERFORMED/MATERIALS SUPPLIED: _____ | |
| Anticipated Start Date: _____ | Anticipated End Date: _____ |
| | |
| COMPANY NAME: _____ | |
| ORIGINAL CONTRACT DOLLAR VALUE: _____ | |
| WORK TO BE PERFORMED/MATERIALS SUPPLIED: _____ | |
| Anticipated Start Date: _____ | Anticipated End Date: _____ |

| Mentorship Program Participation | |
|---|--|
| Describe in detail the work that will be performed by the Section 3 Resident or Business Concern | |
| Quantifiable Goals | |
| Anticipated Results | |

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts- Compliance Division

SCHEDULE B - SECTION 3 UTILIZATION PLAN
(To Be Completed by Prime Contractor)

| | |
|---|--|
| Training Program | |
| Describe in detail the work that will be performed by the Section 3 Resident or Business Concern | |
| Quantifiable Goals | |
| Anticipated Results | |

| | |
|---|--|
| Internship Program | |
| Describe in detail the work that will be performed by the Section 3 Resident or Business Concern | |
| Quantifiable Goals | |
| Anticipated Results | |

| | |
|---|--|
| Other Results-Oriented Economic Opportunities (Please Describe) | |
| <small>Note: Any part-time hires can be represented here.</small> | |
| Describe in detail the work that will be performed by the Section 3 Resident or Business Concern | |
| Quantifiable Goals | |
| Anticipated Results | |

CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts- Compliance Division

SCHEDULE B - SECTION 3 UTILIZATION PLAN
(To Be Completed by Prime Contractor)

Please select which type of contribution is being paid into the Section 3 Fund, according to your Schedule B- Section 3 Utilization Plan. If a contribution is being made for Hiring and Contracting, you should indicate that in the chart below.

| Section 3 Fund | | | |
|--|--------------------------|---|---|
| Note: Please refer to page three (3) Part III: Other Economic Opportunities for more details on contributions. | | | |
| Hiring | <input type="checkbox"/> | 5% of total contract value (Construction)- Not to Exceed \$100,000 | |
| | <input type="checkbox"/> | 1.5% of total contract value (Professional Service)- Not to Exceed \$100,000 | |
| Contracting | <input type="checkbox"/> | Contributing the difference between the actual subcontracting dollar amount and the minimum subcontracting requirement Not to Exceed \$500,000 | |
| | | <input type="checkbox"/> | 10% of total contract value (Construction) Not to Exceed \$500,000 |
| | | <input type="checkbox"/> | 3% (Other Contracts- including Professional Service) Not to Exceed \$500,000 |

| Contribution to Section 3 Fund | |
|---|----------|
| <i>(this is the total of all hiring and Contracting contributions identified in the Section 3 Fund chart above)</i> | |
| Dollar Value of Contribution | \$ _____ |

| | |
|----------------------------------|--|
| How will I contribute the funds? | <input type="checkbox"/> CHA can deduct portions from each of my purchase orders |
|----------------------------------|--|

By signing below, the Contractor hereby agrees to comply with the 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 CHA Section 3 Policy. Furthermore, the undersigned acknowledges and affirms responsibility for completion and submission of this form at the time the bid or proposal is due.

NAME OF PRIME CONTRACTOR (Print or Type) _____

NAME OF AUTHORIZED OFFICER (Print or Type) _____

SIGNATURE OF AUTHORIZED OFFICER _____

Date _____

NAME OF NOTARY (Print or Type) _____

STATE OF _____ COUNTY OF _____ ON THIS _____ DAY OF

_____ 20__ BEFORE ME APPEARED (NAME) _____

TO ME PERSONALLY KNOWN WHO, BEING DULY SWORN, DID EXECUTE THE FOREGOING AFFIDAVIT, AND DID STATE THAT HE OR SHE WAS PROPERLY AUTHORIZED BY THE PRIME CONTRACTOR TO EXECUTE THIS AFFIDAVIT AND DID SO AS HIS OR HER FREE ACT AND DEED.

NOTARY PUBLIC: _____ (SEAL): _____

COMMISSION EXPIRES: _____

INTERNAL CHA APPROVAL: _____
 COMPLIANCE MANAGER'S SIGNATURE DATE

INTERNAL CHA APPROVAL: _____
 SECTION 3 ADMINISTRATOR DATE
(Applicable when Other Economic Opportunities are proposed)

CHICAGO HOUSING AUTHORITY (CHA)
Procurement & Contracts Department Contract Compliance Division

SCHEDULE C

Letter of Intent M/W/DBE and/or Section 3 Business Concern
Subcontractors, Suppliers, Consultants

(To Be Completed by Subcontractor and/or Self-Performing Prime Contractor)

M/W/DBE or SECTION 3 BUSINESS CONCERN NAME: _____

Certification Status (Check One): MBE WBE DBE

Section 3 Business Concern (Check One): Yes NO

NOTE: Per CHA's Section 3 Policy, all Section 3 Business Concerns must be self-certified in the Section 3 Business Concern Self-Certification Registry and there will be no exceptions. Vendors will have to identify Section 3 Business Concerns and ensure those businesses are self-certified in CHA's Section 3 Business Concern Registry, prior to contract award.

If yes, Section 3 Business Concern (Check One):

- 51 percent or more owned by section 3 residents
 - a. A public housing resident
 - b. Low and very-low income persons who live in the Chicago Metropolitan Area or non-metropolitan county
- Whose permanent, full-time employees include persons, at least 30 percent of whom are currently section 3 residents, or within three years of the date of first employment with the business concern were section 3 residents
- That provides evidence of a commitment to subcontract in excess of 25 percent of the dollar award of all subcontracts to be awarded to business concerns that meet the qualifications set forth in paragraphs (1) or (2) in this definition of "section 3 business concern"

FEIN: _____ ETHNICITY: _____ GENDER: _____

CONTACT NAME/TITLE: _____

E-MAIL ADDRESS: _____

IFB/RFP/CONTRACT OR PURCHASE ORDER NO.: _____

PROJECT TITLE: _____ DATE FORM COMPLETED: _____

PRIME CONTRACTOR: _____
(NAME) (TELEPHONE NUMBER)

NOTE: M/W/DBE contractors must attach a Letter of Certification from one of the certifying agencies listed on the Schedule A - M/W/DBE Utilization Plan. For Section 3 Business Concern (S3BC) contractors/subcontractors, the owner or employee of the S3BC cannot also be an employee of the Prime Contractor on a contract per HUD Regulations.

1. Will the Subcontractor contract any of the work to be performed on this contract to another firm? Yes No

If yes, explain below (Include dollar amount & percentage that will be subcontracted to other firms):

CHICAGO HOUSING AUTHORITY (CHA)
Procurement & Contracts Department Contract Compliance Division

SCHEDULE C

Letter of Intent M/W/DBE and/or Section 3 Business Concern
Subcontractors, Suppliers, Consultants

(To Be Completed by Subcontractor and/or Self-Performing Prime Contractor)

2. List commodities/services to be provided for the above-referenced contract:

3. Indicate the total dollar value: \$ _____

4. Terms of the agreement including but not limited to joint venture, subcontract, supplier or purchase order agreements on the above-referenced contract (timeframe and other subcontract details):

5. Per HUD Definition, "Subcontractor means any entity (other than a person who is an employee of the contractor) which has a contract with a contractor to undertake a portion of the contractor's obligation for the performance of work generated by the expenditure of Section 3 covered assistance, or arising in connection with a section 3 covered project. "

Does the subcontractor comply with the above definition and does NOT have any business interests related to the Prime? Yes NO

AFFIDAVIT

The undersigned will enter into a signed agreement with the Prime Contractor listed above within five (5) days after receipt of a signed contract executed by the Chicago Housing Authority.

I do solemnly declare and affirm under the penalty of perjury that the contents of the forgoing document are true and correct, and that I am authorized on behalf of the Subcontractor to make this affidavit.

(NAME OF MBE/WBE/DBE SUBCONTRACTOR/SUPPLIER - PRINT OR TYPE)

(SIGNATURE OF AUTHORIZED PRINCIPAL OR AGENT) (DATE)

(NAME OF NOTARY - PRINT OR TYPE)

STATE OF _____ COUNTY OF _____

ON THIS _____ DAY OF _____ 20 _____

BEFORE ME APPEARED (NAME) _____ to me personally known who, being duly sworn, did execute the foregoing affidavit, and did state that he or she was properly authorized by _____ to execute the affidavit and did so as his or her free act and deed.

NOTARY PUBLIC: _____ (SEAL)

COMMISSION EXPIRES: _____



Quick Guide Contract Compliance Requirements

Contract Compliance, within the Department of Procurement and Contracts, is responsible for monitoring the Minority/Women/Disadvantaged Business Enterprises (M/W/DBE) and Section 3 policies and the Davis-Bacon regulations for the Chicago Housing Authority.

What Compliance Requirements apply to the different types of contracts?

| Type of Contract | M/W/DBE | Section 3 | Davis-Bacon |
|----------------------|---------|-----------|-------------|
| Professional Service | Yes | Yes | No |
| Construction | Yes | Yes | Yes |

Minority/Women/Disadvantaged Business Enterprises (M/W/DBEs)

In accordance with the Chicago Housing Authority’s M/W/DBE policy, minority, women, and disadvantaged businesses have the maximum opportunity to participate in the performance of contracts awarded by CHA. Depending upon the type of contract and the dollar value, the following requirements are in place for M/W/DBE subcontracting:

| Type of Contract | Contract Amount | MBE/WBE/DBE Participation |
|-------------------------------|-------------------------|---------------------------|
| Construction | \$25,000 - \$200,000 | 25% |
| | \$200,001 - \$500,000 | 30% |
| | \$500,001 - \$1,000,000 | 35% |
| | \$1,000,001 + | 40% |
| Service and Supply & Delivery | \$25,000 + | 20% |

Required M/W/DBE Documents:

| Document Name | To be Completed By | Details |
|--|---|--|
| Schedule A M/W/DBE UTILIZATION PLAN | Prime Contractor | This form lists out all M/W/DBE subcontractors the Prime plans to work with that will count towards their M/W/DBE subcontracting requirements, including a self-performing Prime. |
| Schedule C LETTER OF INTENT | Each M/W/DBE listed on the Schedule A, including a self-performing Prime Contractor | This form will be submitted by each subcontractor listed on the Schedule A. If a Prime is an M/W/DBE and they are self-performing, they must submit a Schedule C. The information outlined on the Schedule C must correspond with the Schedule A. A valid certification letter must be attached. |
| Letter of Certification | Each M/W/DBE listed on the Schedule A, including a self-performing Prime Contractor | This form must be submitted with every Schedule C. Applications are not accepted and the certification letter cannot be expired. |
| Waiver Request- M/W/DBE | Prime Contractor | This form is only to be used if a vendor cannot meet their subcontracting requirements. The form must have two things outlined in the justification/request portion for the waiver request: (1) scope of work and (2) reason the Prime cannot meet the commitments outlined. Make sure that all good faith efforts, including indirect participation, have been exhausted. |

- B2Gnow requires Prime Contractors to login and approve payments from CHA and enter payments they have made to subcontractors.
- Subcontractors are then required to login and approve payments entered by the Prime Contractor.



Quick Guide Contract Compliance Requirements

Section 3

Under CHA’s Section 3 policy, there are multiple requirements. Hiring and Subcontracting are required under Section 3, and vendors cannot choose between the two. Section 3 does not apply to Supply & Delivery contracts.

- **Hiring –30%** of all of new hires must be Section 3 employees. This includes CHA and low-income Chicago area residents. The Prime will be required to complete the Schedule B and outline all of the employees who are needed to complete this scope of work. Through the hiring chart on Schedule B- Section 3 Utilization Plan, Compliance is able to determine how many Section 3 employees are needed for the contract. The 30% of all new hires covers new hires for the Prime Contractor and the Subcontractors. Contractors will be required to utilize CHA’s Section 3 Job Opportunities website, which allows Section 3 individuals to apply for open positions on CHA contracts. The Section 3 Opportunities system is replacing the Job Order Form process and will require Applicants to actively apply for jobs and Employers to interview and hire for their Section 3 positions based on a streamlined process in accordance with HUD’s Code of Federal Regulations (CFR). Section 3 Hiring Specialists will be responsible for initiating the job postings and approving the job profiles prior to the new jobs posting to the website available to the public.
- **Subcontracting** – Prime Contractors are required to subcontract **10%** of the total contract value for construction contracts and **3%** of the total contract value for all other contracts to Section 3 Business Concerns. CHA’s Section 3 Business Concern Registry is a great place to start when looking for Section 3 Businesses to contract with. HUD does perform random audits of the businesses in this registry.

What makes a business a Section 3 Business Concern? There are three ways a business can qualify as a Section 3 Business Concern:

1. A business that is **51** percent or more owned by section 3 residents, meaning a CHA resident or low-income Chicago area resident;
2. A business whose permanent, full-time employees are made up of at least **30** percent of section 3 residents (including CHA and low-income residents), or within three years of the date of first employment with the business concern were section 3 residents; or
3. A business that subcontracts **25** percent or more of their total subcontracts to business concerns that meet the qualifications in the first two options (this is identified on a project by project basis).

PLEASE NOTE: A business who is self-identified as a Section 3 Business Concern and also certified as an M/W/DBE will count towards the subcontracting goals for both the M/W/DBE and Section 3 Policies.

- **Other Economic Opportunities-** A Prime Contractor who has demonstrated its attempts, to the maximum extent feasible, to meet its Section 3 hiring and contracting goals may satisfy Section 3 obligations by engaging in Indirect Participation, Mentorship Program Participation, and/or Other Results-Oriented Economic Opportunities as alternative means to achieving Section 3 goals. In addition, a contribution to the Section 3 Fund is allowable under Other Economic Opportunities, as long as it is outlined in accordance with the Section 3 Policy. Please note that all Other Economic Opportunities must benefit the Section 3 resident and business community.

Required Section 3 Documents:

| Document Name | To be Completed By | Details |
|--|--|---|
| Schedule B SECTION 3 UTILIZATION PLAN | Prime Contractor | This form will outline your hiring, subcontracting, and other economic opportunities that the Prime is committing to. |
| Schedule C LETTER OF INTENT (also used for M/W/DBE subcontractors) | Each Section 3 Business Concern listed on the Schedule B, including a self-performing Prime Contractor | This will be submitted by each subcontractor listed on the Schedule B. If the self-identified Section 3 Business Concern is also a certified M/W/DBE, they can submit one Schedule C and indicate their status by checking off both qualifications. |



Quick Guide Contract Compliance Requirements

Section 3 Clause:

Construction Contractors must post the Section 3 Clause on-site. Each Prime Contractor is required to provide a copy of the notice to the CHA upon issuance of the notice to proceed. The Prime Contractor will also be required to demonstrate that the notice has been posted at the worksite in accordance with the Section 3 clause. This may be verified through site visits or a request by the CHA for proof of posting and notification to employees.

“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.”

The Davis-Bacon & Related Acts apply to construction contracts over **\$2,000** and ensure that all construction employees are paid in accordance with the Department of Labor's wage decision. If there are union contractors, please ensure that Davis-Bacon wages are met, in accordance with the contract.

CERTIFIED PAYROLL SUBMITTAL & REPORTING

- Certified Payroll Reports must be entered into LCPtracker on a weekly basis.
- All wage rates and job classifications are available through LCPtracker, and will be utilized when entering weekly payroll updates.
- Schedule D- Hiring Reports are also uploaded through LCPtracker, for proof of hiring your Section 3 employees.
- If you ever have a question about job classifications that may not be listed on the wage decision, ask your Contract Compliance Specialist.

In addition to certified payroll reports, the CHA Compliance Team will perform random unannounced site visits. These site visits are then compared to payment information and certified payrolls submitted through B2Gnow and LCPtracker.

NOTE: As of January 2, 2015, the Chicago Housing Authority (CHA) observes a \$13 per hour Minimum Wage Requirement to be paid to employees of CHA Contractors, and of any subcontractors of such CHA Contractors, performing work on CHA contracts. A copy of the CHA Minimum Wage Requirement may be downloaded from the CHA website at: http://www.thecha.org/assets/1/22/CHA_Minimum_Wage_Requirement.pdf. Note that Federal wage determinations (either Davis-Bacon or HUD-Determined Wage Rates) preempt any conflicting State prevailing wage rate or the Minimum Wage Requirement when the State prevailing wage rate or the Minimum Wage Requirement is higher than the Federally-imposed wage rate (24 CFR 965).

Please note that as long as your firm and all subcontractors are in compliance throughout this project, with everything we just covered, there should be no need for payment holds on our end. If you are ever concerned about invoices being placed on hold, always contact your Contract Compliance Specialist first, in order to ensure that your contract is in compliance and that CHA has no reason to hold your payment.



Quick Guide Contract Compliance Requirements

Compliance Utilization Plans

Below is a list of items needed to evaluate a full Compliance plan for CHA's M/W/DBE and Section 3 Policies:

Schedule A- M/W/DBE Utilization Plan

| Detailed Requirement | |
|--|---|
| Schedule A | The Schedule A must be submitted, signed and notarized |
| Contract Amount | This amount must match all other bid documents |
| M/W/DBE Total | This amount must be the correct sum of all subcontract amounts listed on the Schedule A |
| Subcontractor Company Name | This must be listed for each Subcontractor listed on the Schedule A |
| Subcontractor Original MBE/WBE/DBE Dollars | The subcontract amount must be included for each Subcontractor |
| Subcontractor Work To Be Performed/Materials To Be Supplied | The scope of work, even if brief, must be included for each Subcontractor |

Schedule B- Section 3 Utilization Plan

| Detailed Requirement | |
|--|---|
| Schedule B was submitted | The Schedule B must be submitted, signed and notarized |
| Prime Contractor Acknowledgement of Section 3 Requirements | Page 4 of the Schedule B must be completed by a Principal of the Prime Contractor |
| All elements of the Hiring Chart | This includes all required fields (1) through (8) for the Prime and Subcontractors- refer to the instructions on page 2 of the Schedule B |
| Section 3 Business Concern must have their Business Name, Original Contract Value, and Scope of work outlined | This must be listed for each Section 3 Business Concern listed on the Schedule B |
| Other Economic Opportunities | If there is a shortfall in the hiring or contracting plans, Other Economic Opportunities must be proposed |

Schedule C- Letter of Intent M/W/DBE and/or Section 3 Business Concern Subcontractors, Suppliers, Consultants

| Detailed Requirement | |
|--|--|
| Schedule Cs for every Subcontractor listed on the Schedule A and/or B must be submitted | The dollar values must correspond with the Schedule A and/or B |
| M/W/DBE or SECTION 3 BUSINESS CONCERN NAME | Subcontractor's Business Name must be indicated on page 1 of the Schedule C |
| M/W/DBE Certification Status | If the Subcontractor is listed on the Schedule A, they must identify their M/W/DBE certification status |
| Section 3 Business Concern Status | If the Subcontractor is listed on the Schedule B, they must identify their Section 3 status |
| Contract Value | The contract value outlined on the Schedule C must match the Schedule A- M/W/DBE Utilization Plan or B- Section 3 Utilization Plan |