

HCD Contract Compliance Forms

CITY OF HOUSTON

HOUSING AND COMMUNITY
DEVELOPMENT DEPARTMENT

2100 TRAVIS STREET, 9TH FLOOR,
HOUSTON, TEXAS 77002
832.394.6200





CONTACT INFORMATION

Please contact your assigned MWSBE and/or Section 3 Contract Administrator/Coordinator for assistance.
City of Houston Housing and Community Development Department
2100 Travis Street, 9th Floor, Houston, TX 77002

COMPLIANCE FORMS



Instructions: Compliance forms where applicable, must be completed and/or signed by a duly authorized member of the organization. All forms must be uploaded to the LCP Tracker by the below stated deadlines.

The following form(s) are to be submitted before construction commences.

Compliance Section(s): MWSBE/Section 3	Form/Documents	Due
All sections	Executed contract agreement, purchase order, and/or invoice	Within 5 business days of executed contract agreement
All sections	Compliance Cover Sheet	Within 5 business days of executed contract agreement
All sections	Request for Contractor/Subcontractor Clearance Form/SAM Verification	Before execution of contract agreement
All sections	Start of Work Notice	Upon commencement of work
All sections	Conflict of Interest Disclosure	Required by all sections
All sections	Termination of Work Notice	Upon commencement of work
MWSBE/ Section 3	Section 3/MWSBE Utilization Plan	Within 5 business days of executed contract agreement, monthly, and/or when changes occur
MWSBE	MWSBE Utilization Schedule	Due within 30 days of executed contract and/or when changes occur.
Section 3	Contractor's Section 3 Compliance Certification	Within 5 business days of executed contract agreement
Section 3	First Source Hiring Agreement	Within 5 business days of executed contract agreement
Section 3	Permanent Employee List	Within 5 business days of executed contract agreement
Section 3	Workforce Analysis Form	Within 5 business days of executed contract agreement
Section 3	Internal Capacity Affidavit	Within 5 business days of executed contract agreement or when internal capacity is reached
Section 3	Monthly Verification of Internal Capacity Status	Due last business day of each month
Section 3	Monthly Activity Report	Due last business day of each month.
Section 3	Monthly Labor Hours and Employee Report	Due last business day of each month.
Section 3	New Hire Form	Due last business day of each month
Section 3	Confirmation of Subcontractor Amount	Within 5 business days of executed contract agreement
Section 3	E-BID Announcement	Submit at least 14 business days from need to contract
Section 3	Employment Opportunity Announcement (EOA)	Submit at least 14 business days prior need to hire
Section 3	Bid Tabulation	Submit no later than 5 business days after final selection is made
Section 3	Template - Section 3 Signage (GC)	Signage must be posted on site prior to start of work



CONTRACTOR VERIFICATION

Request for Clearance Form w/ Sam Results attached

Debarred Vendor List

Conflict of Interest Form

MONTHLY EMPLOYEE REPORT

Monthly Labor Hours and Employee Report

MWSBE UTILIZATION PLAN/ SCHEDULE

MWSBE Utilization Plan

MWSBE Utilization Schedule

POP DOCUMENTS

POP 1

POP 2

POP 3

POP 8

POP 9

B2G Access Form

SECTION 3 DOCUMENTS

Contractor's Section 3 Compliance Certification

First Hiring Agreement

Workforce Analysis Form

Internal Capacity Affidavit

Monthly Activity Report

Monthly Verification of Internal Capacity Status

New Hire Form

Confirmation of Subcontractor Amount

EBID Form

EOA Form

Bid Tabulation

SECTION 3 UTILIZATION PLAN

Section 3 Utilization Plan

SHARED COMPLIANCE FORMS

Compliance Cover Sheet

Start of Work Notice

Termination of Work

Letter of Explanation

SUBCONTRACT AGREEMENT

Subcontract Agreement

Master Service Agreement

Purchase Order Agreement

Consultants Agreement

Change Orders

Invoices

LCPTRACKER COMPLIANCE UPLOAD DESCRIPTION GUIDE



CONTRACTOR VERIFICATION

Sam Verification (Year)

Debarred Vendor List (Year)

COI (Year)

MWSBE UTILIZATION PLAN/ SCHEDULE

MWSBE UP (Month-Year)

MWSBE Utilization Schedule

POP DOCUMENTS

POP 1

POP 2

POP 3

POP 8

POP 9

B2G Access

SECTION 3 DOCUMENTS

Contractor's S3 Compliance Certification

First Hiring Agreement

Workforce Analysis Form

Internal Capacity Affidavit

MAR (Month-Year)

MVIC (Month-Year)

COSCA Form

MLHE Report (Month-Year)

EBID (Month-Year)

EOA (Month-Year)

Bid Tabulation (Month-Year)

SECTION 3 UTILIZATION PLAN

Section 3 UP (Month-Year)

SHARED COMPLIANCE FORMS

Compliance Cover Sheet

SOW (Month-Day-Year)

TOW (Month-Day-Year)

Letter of Explanation (LOE)

SUBCONTRACT AGREEMENT

Contract Agreement

CO # (indicate the number)

Invoices

SINGLE FAMILY UPLOAD DESCRIPTIONS AND LOCATIONS



ADDRESS MEANS THE STREET NUMBER AND NAME OF THE PROJECT HOME

MWSBE UTILIZATION PLAN/ SCHEDULE

Project/House Address: MWSBE UP (MM-YY)

SECTION 3 UTILIZATION PLAN

Project/House Address: Section 3 UP (MM-YY)

CONTRACTOR VERIFICATION

Sam Verification (YYYY)

Debarred Vendor List (YYYY)

COI (YYYY)

SECTION 3 DOCUMENTS

MAR (MM-YY)

MVIC (MM-YY)

COSCA Form

SHARED COMPLIANCE FORMS

Project/House Address - Compliance Cover Sheet

Project/House Address - Start of Work Notice (MM-DD-YY)

Project/House Address - Termination of Work Notice (MM-DD-YY)

SUBCONTRACT/MASTER/PO/ CONSULTANT AGREEMENT

Project/House Address: Contract Agreement

COMPLIANCE COVER SHEET



RETURN WITH COMPLIANCE DOCUMENTS (COMPLETE ALL FIELDS)

Instructions: This form must be completed upon execution of a contract agreement and is required to complete setup and access to LCP Tracker. The Prime Contractor is responsible for collecting this form from all entities performing on a project.

Project Name:

Project Number:

Name of Contractor:

*Type of Contractor:

Prime Contractor

Sub Contractor

Lower-tier
Subcontractor

Consultant

Supplier

Professional
Services
Provider

I/We have a written contract with:

*Service(s) to be provided:

Provide a brief description of the service business will be performing on the project

*NAICS Code

(Look up a code here <http://www.census.gov/eos/www/naics/>)

*Company Address:

*Company Contact Person:

*EIN or SS Number:

*Company Contact Email:

Alternative Contact Person:

*Contract Amount:

Company Email:

*Phone Number:

Owner's Ethnicity/Racial Background:

Gender:

Certifications:

MBE

WBE

SBE

Section 3

DBE

HUB

AN ASTERISK INDICATES A MANDATORY REQUIREMENT

REQUEST FOR PRIME CONTRACTOR/ SUBCONTRACTOR CLEARANCE



NO CONTRACT SHOULD BE EXECUTED BY THE PRIME WITH A SUBCONTRACTOR, LOWER-TIER SUBCONTRACTOR, CONSULTANT, OR SUPPLIER UNTIL THEIR ELIGIBILITY HAS BEEN VERIFIED.

Instructions: To ensure eligibility, a search must be conducted of the (1) Company Name, (2) Principal Owner(s) and (3) the Employer Identification Number (EIN) through www.sam.gov/SAM.

The Prime Contractor must verify the eligibility of all subcontractors, lower-tier subcontractors, suppliers, and consultants performing on the project and upload the search results along with the Request for Clearance form to LCP Tracker.

Date:

Project Name:

Project Address:

Contractor/Subcontractors Company Name:

Prime Contractor	Subcontractor	Lower-Tier Subcontractor	Consultant	Supplier	Professional Services Provider
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EIN or SS Number:

Address/Zip Code:

Phone Number:

Check the applicable entity:	Sole Proprietorship	Corporation	Partnership	Other
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List Principal(s) below:

START OF WORK NOTICE



Instructions: This form must be completed by all businesses performing on the project and serves as notice of commencement of work to HCDD.

Contractor Information

Project Name:

Project Number

Project Address:

Contractor Name:

Contract Agreement executed with: Prime Subcontractor Lower-tier Subcontractor

Start of Work Date:

Contractor Authorization

Name of Authorized Officer:

SIGNATURE MAY BE PROVIDED BY ANY AUTHORIZED PARTY OF THE PRIME AND/OR SUBCONTRACTOR

Signature

Date



COMPLETED BY BUSINESS ENTITIES

INFORMATION

Name of Organization:

Address:

DISCLOSURE

Is any employee, director, officer, or anyone else associated with your organization, or any of their immediate family member(s)*, currently or within the past year an employee, agent, consultant, officer, elected or appointed official, sub-recipient, or vendor of the City of Houston?

Yes (see below) No

**Includes, whether by blood, marriage, or adoption: spouse, parent (including a stepparent), child (including a stepchild), sibling (including a step-sibling), grandparent, grandchild, and in-laws.*

Please indicate the names, positions, and telephone numbers for each person applicable to the above question. Use additional forms as needed.

Name	Position and/or direct or indirect relationship with the City	Telephone Number

APPLICANT SIGNATURES

Warning: Any person who knowingly makes a false claim or statement to HUD may be subject to civil or criminal penalties under 18 U.S.C. 287, 1001 and 31 U.S.C. 3729. Under penalties of perjury, I/we certify that the information presented above is true and accurate to the best of my/our knowledge and belief. I/We further understand that providing false representations herein constitutes an act of fraud. False, misleading or incomplete information may result in my ineligibility to participate in this program or any other programs that will accept this document. Title 18, Section 1001 of the U.S. Code states that a person is guilty of a FELONY if he/she knowingly and willfully makes a false statement to any department of the United States Government. I/we understand that this application may be delayed or found ineligible if a conflict of interest is found to exist and no waiver is granted.

Name of Organization:

By:

Date:

Name:

Title:

FOR PROGRAM STAFF USE ONLY

Does applicant list a potential conflict of interest?

Yes
(Forward to PGM)

No
(STOP-process normally)

Initials and Date

TERMINATION OF WORK NOTICE



Instructions: This form must be completed by all businesses performing on the project and serves as notice of completion of work to HCDD.

Contractor Information

Project Name:

Project Number

Project Address:

Contractor Name:

Contract Agreement executed with: Prime Subcontractor Lower-tier Subcontractor

Termination of Work Date:

Contractor Authorization

Name of Authorized Officer:

SIGNATURE MAY BE PROVIDED BY ANY AUTHORIZED PARTY OF THE PRIME AND/OR SUBCONTRACTOR

Signature

Date

SECTION 3 CONTRACTOR'S COMPLIANCE CERTIFICATION



The undersigned makes this affidavit with full knowledge that its contents will be used in the expenditure of funds provided by the United States Government. Under penalty of perjury I hereby state:

1. I am the _____ of _____ (Owner, Partner, Officer, Representative, Agent) (Company Name)
2. My company adheres to Section 3 of the Housing and Urban Development (HUD) Act of 1968, as amended, 12 U.S.C. 1701u which requires, to the greatest extent feasible, that a "good faith effort" given to identifying small businesses located within the boundaries of the Section 3 service area, making them aware of contracting opportunities, encouraging their participation and actually awarding contracts to Section 3 Business Concerns through the assistance of the City of Houston and their referral system.
3. An attempt will be made to undertake outreach activities intended to encourage participation by Section 3 Workers in training and employment opportunities, to include but not be limited to utilizing the referral established by the City of Houston, the Texas Employment Commission, and Houston Works.
4. My company also acknowledges and affirms the required steps stipulated in the Code of Federal regulations 24 CFR Part 75 for any "New" services, i.e. employment/labor, services/materials, or subcontracting. Any violation of this requirement will present a negative impact on the performance rating of the recipient, developer, and contractor/subcontractor.

All Section 3 covered contracts shall include the following:

- A. The work to be performed under this contract is subject to the requirements of Section 3 of the Housing and Urban Development Act of 1968, as amended, 12 U.S.C. 1701u (Section 3). The purpose of Section 3 is to ensure that employment and other economic opportunities generated by HUD assistance or HUD-assisted projects covered by Section 3, shall, to the greatest extent feasible, be directed to low- and very low-income persons, particularly persons who are recipients of HUD assistance for housing.
- B. The parties to this contract agree to comply with HUD's regulations in 24 CFR part 75, which implement Section 3. As evidenced by their execution of this contract, the parties to this contract certify that they are under no contractual or other impediment that would prevent them from complying with the part 75 regulations.
- C. The contractor agrees to send to each labor organization or representative of workers with which the contractor has a collective bargaining agreement or other understanding, if any, a notice advising the labor organization or workers' representative of the contractor's commitments under this Section 3 clause and will post copies of the notice in conspicuous places at the work site where both employees and new applicants can see. The notice shall describe the Section 3 preference, set forth minimum number and job titles subject to hire, availability of apprenticeship and training positions, the required qualifications for each; and the name and location of the person(s) taking applications for each of the positions; and the anticipated date the work shall begin.
- D. The contractor agrees to include this Section 3 clause in every subcontract subject to compliance with regulations in 24 CFR part 75, and agrees to take appropriate action, as provided in an applicable provision of the subcontract or in this Section 3 clause, upon a finding that the subcontractor is in violation of the regulations in 24 CFR part 75. The contractor will not subcontract with any subcontractor where the contractor has notice or knowledge that the subcontractor has been found in violation of the regulations in 24 CFR part 75.
- E. The contractor will certify that any vacant employment positions, including training positions, that are filled (1) after the contractor is selected but before the contract is executed, and (2) with persons other than those to whom the regulations of 24 CFR part 75 require employment opportunities to be directed, were not filled to circumvent the contractor's obligations under 24 CFR part 75.
- F. Noncompliance with HUD's regulations in 24 CFR part 75 may result in sanctions, termination of this contract for default, and debarment or suspension from future HUD assisted contracts. G. With respect to work performed in connection with Section 3 covered Indian housing assistance, Section 7(b) of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450e) also applies to the work to be performed under this contract. Section 7(b) requires that to the greatest extent feasible (i) preference and opportunities for training and employment shall be given to Indians, and (ii) preference in the award of contracts and subcontracts shall be given to Indian organizations and Indian-owned Economic Enterprises. Parties to this contract that are subject to the provisions of Section 3 and Section 7(b) agree to comply with Section 3 to the maximum extent feasible, but not in derogation of compliance with Section 7(b).

Affiant's Signature:

Affiant's Title:

Telephone:

Address:

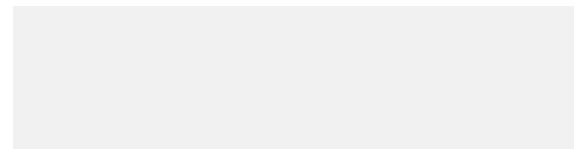
Affiant's Company Name:

Subscribed and sworn to under oath before me this

Day of _____, 20____

Notary Public Signature

My Commission Expires:



SECTION 3 FIRST SOURCE HIRING AGREEMENT



This agreement is entered this _____ day of _____, 20____ by _____ and between the City of Houston and hereinafter referred to as the "City" and hereinafter referred to the "Contractor", in connection with work to be performed in relation to the City's HUD-assisted project entitled _____, hereinafter referred to a the "Project".

Whereas, HUD has promulgated certain regulations to implement Section 3 of the Housing and Urban Development (HUD) Act of 1968 12 U.S.C. 1701u) (Section 3), regulations; and

Whereas, the purpose of Section 3 regulations is to ensure that employment and other economic opportunities generated by Section 3 covered assistance shall, to the greatest extent feasible, and consistent with existing Federal, State and local laws and regulations, be directed to low and very low income persons, and business concerns, which provide economic opportunities to such persons.

Whereas, HUD has set forth numerical employment, and contracting goals to be achieved by all Community Development recipients of Section 3 covered assistance and by other recipients of such assistance in which HUD's share exceeds \$200,000.00 per project and by those Contractors whose share such projects exceeds \$100,000.00; and

Whereas, the numerical goal so established by HUD applicable to the Project is set forth below: and

Whereas, recipients of Section 3 covered assistance and their contractors can demonstrate compliance with the Section 3 regulations by committing to employ Section 3 eligible persons as applicable percentage of the aggregate number of new hires during the time period involved in the Section 3 covered project; and

Whereas, the City and the Contractor as desirous of being in compliance with the Section 3 regulations as they relate to the Project;

1. The Contractor and any of its subcontractors understands the requirements of 24 CFR Part 75, apply to Section 3 covered projects, regardless of whether the project is fully or partially assisted under HUD programs that provide housing and community development financial assistance.
2. The Contractor and any of its subcontractors shall supply the City with a list of all full-time employees currently employed, indicating which, if any, of said employees were hired within the past three years and were also low or very low income persons when so hired;
3. The Contractor and any of its subcontractors hire Section 3 Workers and Targeted Section 3 Workers to complete at least 30% of all Labor Hours performed on the project.
4. The Contractor and any of its contractors will, to the greatest extent feasible, endeavor to hire 30% percent of the new hires generated by the Project from the following list of Section 3 eligible groups, in the order of priority listed:
 - a. Section 3 Workers of service area or neighborhood;
 - b. Section 3 Targeted Workers or service area of neighborhood;
 - c. Youth build participants;
 - d. Homeless projects; Homeless persons; and
 - e. Other Section 3 Workers.
5. The Contractor and any of its subcontractors will be encouraged to make new hires from the list of Section 3 eligible groups in Paragraph 3 above for any and all other projects assisted with Federal funding, whether or not such project is subject to the Section 3 regulations;
6. The Contractor and any of its subcontractors shall accept referrals of Section 3 eligible persons from the City. Provided, however, that nothing in this agreement is to be construed requiring any party hereto, or its subcontractors, to hire any person or persons who are unqualified to or incapable of carrying out the work required of any such new hires.

Affiant's Signature:

Affiant's Title:

Telephone:

Address:

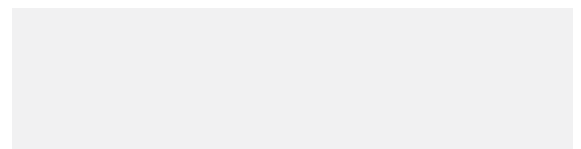
Affiant's Company Name:

Subscribed and sworn to under oath before me this

Day of _____, 20____

Notary Public Signature

My Commission Expires:



SECTION 3 INTERNAL CAPACITY AFFIDAVIT



The undersigned makes this affidavit with full knowledge of the content described in the Section 3 Program regulations at 24 CFR Part 75. Each recipient of Section 3 covered financial assistance, and its contractors or subcontractors are required to comply with the requirements of Section 3 for new employment, training, or contracting opportunities that are created during the expenditure of covered funding. This requirement applies to matters which include:

1. All construction projects for which the amount of City (HUD-sourced) assistance to the project or program exceeds \$200,000.00.
2. All Contractor/Subcontractor situations where the individual contract or subcontract exceeds \$100,000.00 from the City with HUD sourced funds.

This affidavit is to document the contractor has sufficient internal capacity to execute the entire scope of work awarded without the need to subcontract and to acknowledge by the undersigned if subcontracts are required, they may be subject to additional requirements under the Section 3 Program.

Under penalty of perjury I hereby state:

I, _____ am the _____ of _____,
Print Name *Company Name*
which has executed a contract with _____ to perform _____
Other Contract Party *Description of Work*
on the project known as _____ and represent that the contract covered by this affidavit has met the
Name of Project
conditions, including those described above and hereby authorize and request any person, firm or corporation to furnish any information requested by the Housing and Community Development Department in verification of the recitals comprising this _____ day of _____ 20____

Company Name

Representative Signature

Title

STATE OF TEXAS

COUNTY OF _____

being duly sworn, deposes and says that he/she is the

Print Name

of _____ and that the answers to the foregoing questions and all statements therein contained are true and correct.

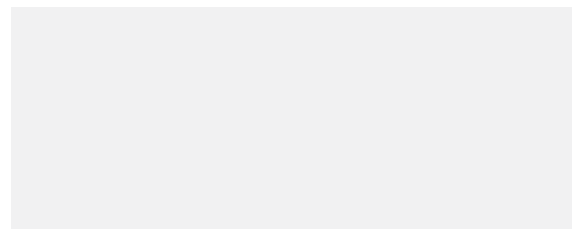
Company Name

Subscribed and sworn to under oath before me this _____

Day of _____, 20____

Notary Public Signature

My Commission Expires:



Notary Stamp

ONLY SUBMIT FORM IF PRIME/SUBCONTRACTOR DOES NOT HAVE A NEED FOR LOWER-TIER SUBS OR NEW HIRES FOR THE DURATION OF THE PROJECT.

SECTION 3

MONTHLY VERIFICATION OF INTERNAL CAPACITY STATUS



This form is to be completed and submitted by the 5th of each month by every Subcontractor claiming Internal Capacity, for the duration of their contract. Always report for the previous month; (E.g.: Form due on June 30, 2021, will be reporting activity of June 1-30, 2021).

Reporting MM and YYYY:

Project Name:

Subcontractor:

Contracted With:

By signing below, I hereby verify that my company has remained in the qualifying Internal Capacity parameters stated below:

- No Lower-Tier Subcontracts have been awarded, and/or
- No New Hires (employees placed on payroll) have been hired to work specifically on the project stated above.

By signing below, I also verify that I understand that in the event my company has the need for lower-tier subcontracts and/or new hires, I will immediately alert the General Contractor and will follow the below Section 3 Procurement Processes. I also understand that my company can no longer claim Internal Capacity and will be required to comply with all Section 3 requirements that are now applicable.

Section 3 Procurement Process for Lower-Tier Subcontractors

1. Subcontractor will submit EBID Announcement that lists scope of work, contact information and a bid due date (minimum is two weeks). Subcontractors should submit EBID directly to General Contractor.
 - a. EBID will be forwarded to HCDD and will then be sent to all Section 3 Businesses.
2. Subcontractor will review all bids received and will award contract based on the Section 3 procurement guidelines, depending if bids are construction or non-construction:
 - a. 10% of hard cost (construction) budget must be awarded to Section 3 Business.
 - b. 3% of soft cost (non-construction) budget must be awarded to Section 3 Business.
3. Subcontractor will submit a Bid Tabulation after all bids have been received. The bid tabulation should indicate which awarded contracts were to a Section 3 Business.
4. Subcontractor will submit a Section 3 Utilization Plan that lists all Lower-Tier Subcontractors and Professional Services being utilized.

Section 3 Procurement Process for New Hires

1. Subcontractor will submit an Employment Opportunity Announcement (EOA) that lists position details, applicant qualifications, contact information and application deadline. EOA will be submitted directly to the General Contractor.
 - a. EOA will be forwarded to HCDD and will then be sent to all certified Section 3 Workers.
2. Subcontractor will hold interviews and determine how the 30% New Hire Goal will be met.
 - a. For example, if 10 new hires are needed, at least 3 must be either:
 - i. Currently certified as a Section 3 Worker
 - ii. Qualifies as a Section 3 Worker (required to complete Section 3 Worker Application)
3. Subcontractor will notify the General Contractor of hiring results and will submit the following:
 - a. Statement indicating how the 30% New Hire Goal was met, list of new hire names and Section 3 Worker status.
 - b. Section 3 Worker Applications for new hires that must be certified in order to meet the 30% New Hire Goal.
4. Subcontractor will start submitting monthly reporting and any other additional documents needed for the duration of their contract.

Print Name

Title/Company

Signature

Date

SECTION 3 MONTHLY ACTIVITY REPORT (PART I)



Date of Submission:

Project Name:

Contract Amount:

Name of Contractor/Subcontractor:

Address:

Name of Contact Person:

Phone Number/Email:

Reporting MM and YYYY:

EMPLOYMENT AND TRAINING

A Job Category	B New Hires		No New Hires		C Employees		D Trainees		No Trainees	
	Section 3 New Hires*		Non-Section 3 New Hires*		Section 3 Workers*	Non-Section 3 Workers*	Section 3 Trainees* Previously Reported That Worked This Month		New Section 3 Trainees* Reporting for the First Time	
	# of New Hires	Hours Worked	# of New Hires	Hours Worked	Hours Worked	Hours Worked	# of Trainees	Hours Worked	# of Trainees	Hours Worked
Professional										
Technician										
Office/Clerical										
Trade:										
Trade:										
Trade:										
Trade:										
Other:										
Other:										
Total:										

NOTES:

1. This form MUST be submitted by ALL contractors (with a contract in excess of \$100,000.00) no later than the last business day of the month each month.
2. Reporting MUST always reflect previous months activity.
3. New Hires are reported under Column "B" for the first month following their date of hire. Thereafter, New Hires are reported under Column "C".
4. All New Hires MUST be listed on the Section 3 and Non-Section 3 New Hire Form.
5. This form is NOT required by Prime and Subcontractors claiming, "Internal Capacity".

SECTION 3 CONFIRMATION OF SUBCONTRACT AMOUNT



Project Name: |

Project Number:

Subcontractor Name/House Address:

Executed Contract With:

Original Contract Amount:

Contract Amount at Start of Work:

Please complete one (1) of the following that applies:

A. Contract Amount Has Remained Less Than \$100,000.00

If the contract amount is below \$100,000.00 prior to the start of work date, the Subcontractor is not required to comply with Section 3 due established minimum threshold. Sign below and submit form.

I, hereby, confirm that the above Subcontractor 's contract amount has stayed below the \$100,000.00 threshold by the start of work date stated above.

Print Name

Title/Company

Signature

Date

B. Contract Amount Has Increased to Equal to or Greater Than \$100,000.00

If the contract amount is now in excess of \$100,000.00, the Subcontractor is required to comply with the Section 3 federal regulations and the HCDD's Section 3 policy and procedures set forth in the Section 3 Contractor Orientation Guide.

I, hereby, acknowledge that the above Subcontractor's met the minimum threshold and I understand that the Subcontractor is now required to comply with the Section 3 requirements set forth in the Section 3 Contractor Orientation Guide.

Print Name

Title/Company

Signature

Date

SECTION 3 EBID ANNOUNCEMENT



Date:

Bid Due By:

To:

Project Name:

Address, City, State, Zip:

From:

Summary of Work:

This project is
3 Business Concern that can perform the following scope of work:

. As a General Contractor/Subcontractor, we are hiring a Section

If interested, please contact me as soon as possible to schedule an appointment to look at the scope of services. This project is funded through a federal grant; therefore, we encourage all qualified Section 3 Business Concerns to respond to this EBID for contracting opportunities.

Please email this form to

.Should you have any questions contact:

Name:

Phone Number:

Bidder Information:

Yes, I will be bidding on the project

No, I will not be bidding on this project

Contract Name:

Company:

Phone Number:

Address:

Email:

Trade/Specialty:

HCDD contractors are committed to "ensure employment and economic opportunities generated by certain HUD financial assistance shall, to the greatest extent feasible and consistent with existing federal, state and local laws and regulations, be directed to low and very low-income persons."

If your company is interested in certifying as a Section 3 Business Concern complete the application process here: <https://hcdsection3.gob2g.com/>. This form must be completed and submitted to the assigned Section 3 Contract Administrator/Coordinator for all contracting opportunities.

SECTION 3

EOA FOR PROCURING LABOR FOR SECTION 3 WORKERS



Date: _____ Application Deadline: _____

To: _____

Project: _____

From: _____

Position Needed/Description: _____

Contact Information: _____

SECTION 3 WORKERS: INCLUDE THIS COVER SHEET WITH YOUR APPLICATION

Yes, I am interested in this position

No, I am not interested in this position

Contact Name: _____

Address: _____

Phone: _____

Email: _____

Job: _____

Job Skills: _____

The Housing and Community Development Department Section 3 Program is committed to ensure that employment and economic opportunities generated by certain HUD financial assistance shall, to the greatest extent feasible and consistent with existing federal, state and local laws and regulations, be directed to low and very low income persons.

Federal Labor Standard Provisions including the Davis Bacon and Related Act may be applicable to the construction of this project.

If you know someone interested to become a certified Section 3 Worker the guidelines and application are available here:

<https://www.houstontx.gov/housing/compliance.html#sec3>.

SECTION 3

SAMPLE BID TABULATION



Date

Cost Code:

Projected Budget:

Subcontractors	Bid Amount	Cost Breakdown
----------------	------------	----------------

per unit
per square foot
per unit
per square foot
per unit
per square foot
per unit
per square foot

Labor \$
-
Material \$
-
Total \$
-

PM:

SPM:

Contract:

VP:

P.O.:

SECTION 3 SIGNAGE TEMPLATE



Housing and Community Development
Department

In partnership with the U.S. Department of Housing and
Urban Development, and

**Acknowledge that the Construction of this project is
subject to the Section 3 plan of the U.S. Department
of Housing and Urban Development. This program
is designed to generate various Employment and
Contracting Opportunities.**

**Please inquire within:
Contractor name and contact number/Email:**

SUPPLEMENTAL COMPLIANCE FORMS TEMPLATES AND REFERENCE MATERIAL



In addition to the forms listed on the previous pages, Prime Contractor, Subcontractor and Suppliers are required, where applicable, to submit supplemental compliance forms during and upon completion of the construction. The supplemental forms, templates and reference material are available for download in LCP Tracker. For your convenience, a sample of available forms and documents in LCP Tracker are attached:

Compliance Section(s): MWSBE/Section 3	Form/Documents	Due
MWSBE	Mediation Arbitration Language	Included in certified firms executed contract agreement and/or purchase order(s)
All sections	System for Award Management Instructions	N/A
All sections	Statement of Information for SAM Results	Within 5 business days of executed contract and annually.
All sections	Assessing Debarred Vendor List	Within 5 business days of executed contract and annually.
Section 3	LCP Tracker Employee Profile	Throughout project duration.
All Sections	LCP Tracker Subcontractor Set-up by Prime	Throughout project duration.

MWSBE SUBCONTRACTORS/SUPPLIERS MEDIATION ARBITRATION LANGUAGE



Contractor shall ensure that all subcontracting agreements with MWSBE Subcontractors/Suppliers and suppliers are clearly labeled "THIS CONTRACT IS SUBJECT TO MEDIATION" contain the following terms:

1. (MWSBE Subcontractors/Suppliers) shall not delegate or subcontract more than 50% of the work under this subcontracting agreement to any other Subcontractor or supplier without the express written consent of the City of Houston's Office of Business Opportunity.
2. (MWSBE Subcontractors/Suppliers) shall permit representatives of the City of Houston, at all reasonable times, to perform 1) audits of the books and records of the Subcontractor, and 2) inspections of all places where work is to be undertaken in connection with this subcontracting agreement. Subcontractor shall keep such books and records available for such purpose for at least four (4) years after the end of its performance under this subcontract. Nothing in this provision shall affect the time for bringing a cause of action or the applicable statute of limitations.
3. Within five (5) business days of execution of this subcontracting agreement, Contractor (prime contractor) and Subcontractor shall designate in writing to the Office of Business Opportunity an agent for receiving any notice required or permitted to be given pursuant to Chapter 15 of the Houston City Code of Ordinances, along with the street and mailing address and phone number of such agent.

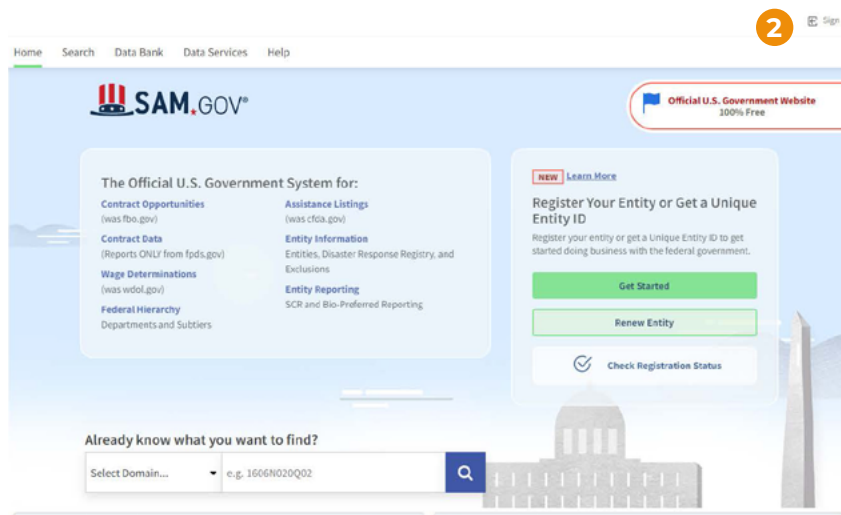
These provisions apply to goal-oriented and regulated contracts as defined in City Code of Ordinances, Chapter 15, Article 5.

SYSTEM FOR AWARD MANAGEMENT (SAM)

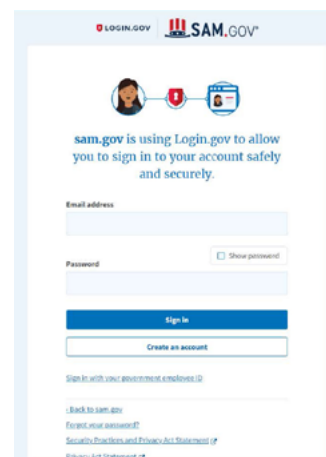
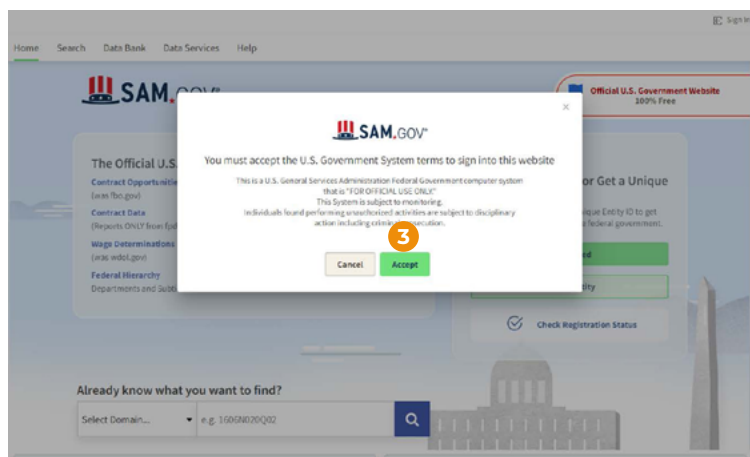


Proof of non-federal exclusions search must be conducted for the prime contractors, sub-contractors, and lower tier sub-contractors. Searches must be conducted by the company name, Employer Identification Number (EIN) and all principals by full first, middle, and last name. Below are the steps to follow when conducting the search and printing results.

- 1 Go to: **WWW.SAM.GOV**
- 2 Click Sign In Button on top right corner



- 3 A box will appear, Click accept
- 4 Sign in or Create an Account



- 5 Navigate to the header menu of any page and select search

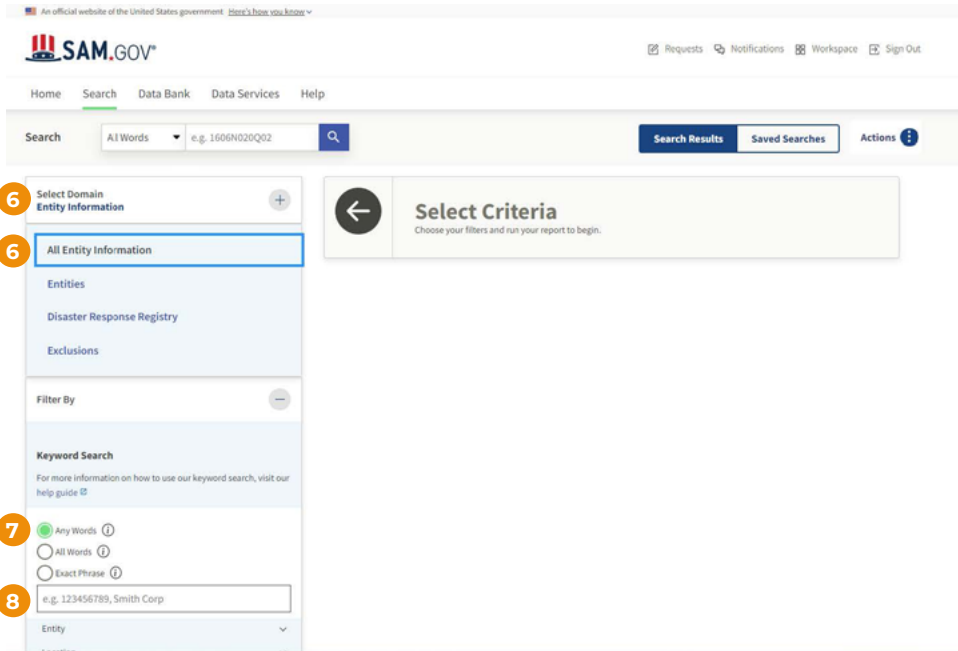


SYSTEM FOR AWARD MANAGEMENT (SAM)



6 From the search page, navigate to the left-side bar. Select the “plus icon” to the right of the “select domain.”

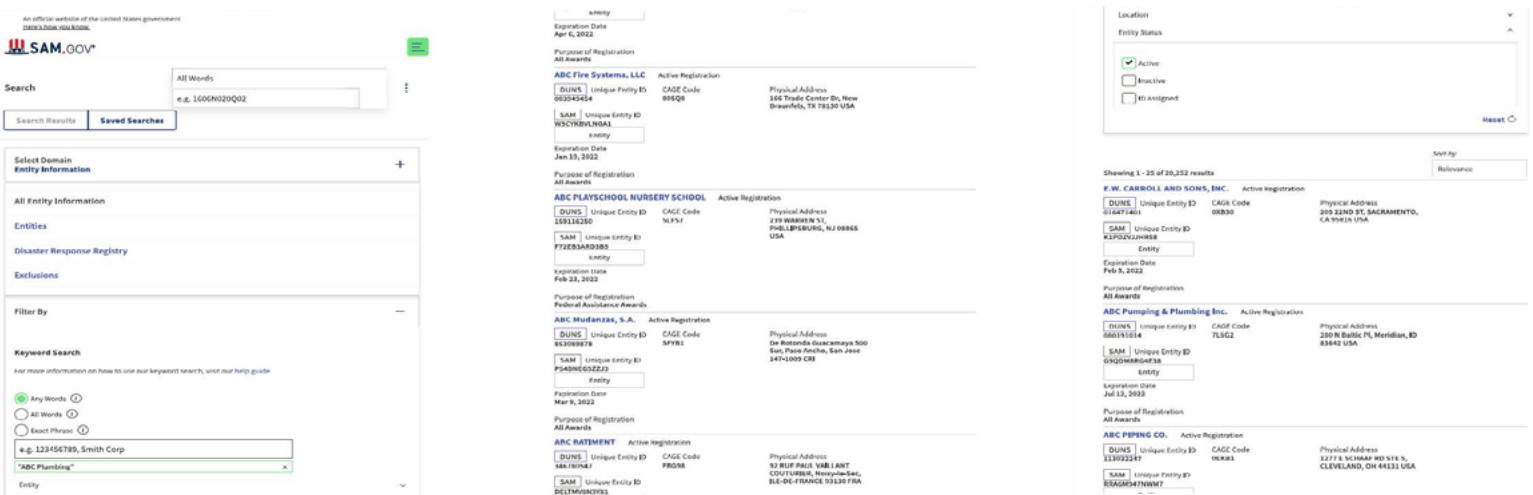
- Select Entity Information and click all Entity Information



7 Under Filter by check the “Any Words” box.

8 Enter the applicable information (Company name, EIN# and principal names) in the search box and press enter.

9 Print the first 3-4 pages of the search-exclusion matches and ensure that the contractor is not an exact match:



10 Upload all results generated (Company, EIN#, and Principals) along with the Request for Contractor Clearance form into one document in LCPTTracker.

NOTE: If any exact match is identified contractor, subcontractor, or lower-tier subcontractor will not be eligible to conduct any business on federal projects. Any partial matches would need to be verified by HCDD and additional information may be requested.

ACCESSING THE DEBARRED VENDOR LIST

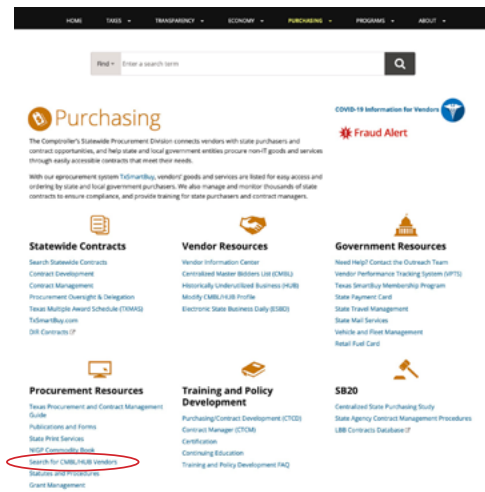


Proof of non-debarment from the states comptroller's office must be provided by prime contractors, subcontractors, and lower tiers. Below are the steps for searching and accessing the Debarred Vendor List.

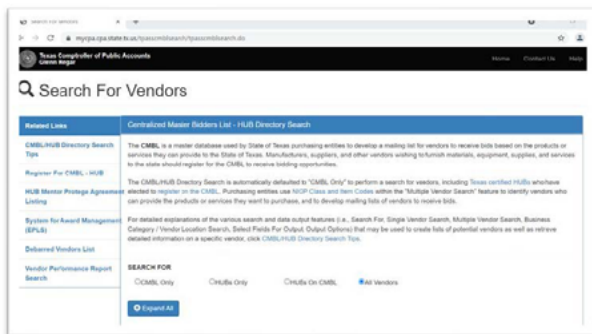
- 1 Search: <https://comptroller.texas.gov/purchasing/>



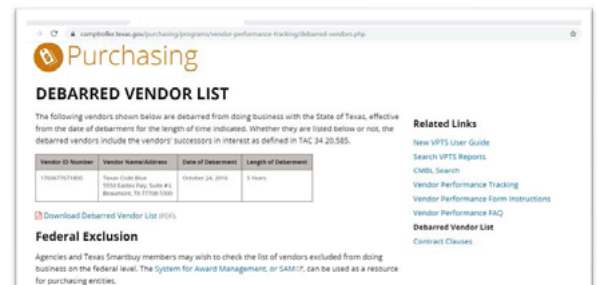
- 2 Scroll down to Procurement Resources and click on: **Search for CMBL/HUB Vendors**



- 3 Click on the Debarred Vendors List on the left-hand side:



- 4 The Debarred vendor list will appear on the screen:



- 5 Ctrl P to print or save as PDF. Ensure that the date is on the list.

- 6 Upload copy of the Debarred Vendor List into LCP tracker

SECTION 3 LCP TRACKER EMPLOYEE PROFILE



Under the Employee Profile Page, the subcontractor will:

- 1 The section that is in question is called Demographic Classification and not HUD Section 3 Information.

The screenshot shows the LCP Tracker interface for adding or editing employee information. The 'Demographic Classifications' section is highlighted in yellow, and an 'Add Classification' button is visible within it. Other sections include 'Add / Edit Employee Information' with fields for name, address, SSN, and date hired, and 'HUD Section 3 Information' with a dropdown for Section 3.

- 2 Once the sub has selected the employee the system will let them know that they need to add Section 3 on the Demographic Classification

This screenshot is similar to the previous one but includes a red arrow pointing from the 'Add Classification' button to the text 'Section 3 Employee Type' under the 'Project Requirements' section. The 'Demographic Classifications' section is highlighted in yellow.

SECTION 3 LCP TRACKER EMPLOYEE PROFILE



3 The sub will click on Add Classification

The screenshot shows the LCP Tracker interface for editing an employee profile. The 'Demographic Classification' dialog box is open, showing fields for 'Demographic Type', 'Demographic Classification', 'Description', 'Start Date', 'End Date', and 'Notes'. The 'Demographic Type' dropdown is currently empty, and the 'Demographic Classification' dropdown is also empty. The background form shows employee information such as address, city (HOUSTON), state (TX - TEXAS), SSN, Employee ID (AMAY6320), and ethnicity (HISPANIC).

4 Select the Demographic Type --- Section 3 Employee Type

This close-up shows the 'Demographic Type' dropdown menu. The options listed are: 'Ethnicity-IDOL List', 'OSHA', 'Race-IDOL List', 'Section 3 Employee Type', and 'Veteran Status'. The 'Section 3 Employee Type' option is highlighted in yellow, and a red arrow points to it. The 'Done' and 'Cancel' buttons are visible at the bottom.

5 Select the Demographic Classification that is best suited and click Done

This close-up shows the 'Demographic Classification' dropdown menu. The selected option is 'Section 3 Employee Type'. The dropdown list is open, showing the following options: 'Does Not Apply to Worker', 'Employed by a Section 3 business', 'Income is below income limit established by HUD', 'Lives within the service area or neighborhood of the project', 'Resident of another project managed by PHA', 'Resident of public housing or Section 8-assisted housing', and 'YouthBuild participant'. The 'Done' button is highlighted in yellow.



Contractor Set Up is a two-step process

The screenshot shows a web browser window with the title "Step 1: Contractor Setup > Add/Edit Contractor". The page header includes "Add or Edit Contractor Information" and "Add Mode". Below the header, there is a paragraph of instructions: "To add a new contractor, enter information and save. To edit an existing contractor, select it from the list first. You can view all the contractors in the system. You can only edit your own data after it has been entered." The form contains several fields: "Department" (dropdown menu), "Select a contractor to edit" (dropdown menu), "Company Name (Contractor) *" (text input with "BBB Construction"), "Federal Tax ID Number *" (text input with "11-1111111"), "D-U-N-S Number" (text input), "PWCR Number" (text input), "Contractor License No. or 10-digit Phone Number *" (text input with "888-888-8888"), "Contractor License Expiring Date" (calendar icon), "Contact Name *" (text input with "Jane Doe"), "Phone Number *" (text input with "888-888-8888"), "Contact Fax" (text input), and "Contact E-Mail *" (text input with "jane@bbbconstruction.com"). A red dashed line is visible below the license information.

Step 2: Prime Contractor Steps to Assign a Contractor to Project

Step 1

Log in
<https://prod.lcptracker.net/WebForms/Login.aspx>

Step 2

Select "Set Up" from the toolbar tab. Then, click Add/Edit Contractors.

Step 3

To add a "New" contractor, enter the contractor information and click save. If the contractor already has an account, and you have difficulty locating the contractor profile, add the contractor and enter the "Contractor ID" as shown on the contractor cover sheet.

Step 4

Go to "Set Up" and click "Contractor Assignment"

Step 5

Click "Add New Assignment", select project and contractor adding.

Step 6

Select project, enter field information and press save.



Steps to Upload Documents

Step 1

Have document available on your computer. The document can be almost any type that can be viewed by internet browser: txt, pdf, xls, doc, tif, etc.

Step 2

Go to Set Up and select Add/Edit Document

Step 3

Enter Required Fields

Step 4

Upload Document under appropriate file name