1. Contingent Fee Representation and Agreement
(a) The bidder/offeree represents and certifies as part of its bid/offer that, except for full-time bona fide employees working solely for the bidder/offeree, the bidder/offeree:
(1) [ ] has, [ ] has not employed or retained any person or company to solicit or obtain this contract; and
(2) [ ] has, [ ] has not paid or agreed to pay to any person or company employed or retained to solicit or obtain this contract any commission, percentage, brokerage, or other fee contingent upon or resulting from the award of this contract.
(b) If the answer to either (a)(1) or (a) (2) above is affirmative, the bidder/offeree shall make an immediate and full written disclosure to the PHA Contracting Officer.
(c) Any misrepresentation by the bidder/offeree shall give the PHA the right to (1) terminate the resultant contract; (2) at its discretion, to deduct from contract payments the amount of any commission, percentage, brokerage, or other contingent fee; or (3) take other remedy pursuant to the contract.

2. Small, Minority, Women-Owned Business Concern Representation
The bidder/offeree represents and certifies as part of its bid/offer that it:
(a) [ ] is, [ ] is not a small business concern. "Small business concern," as used in this provision, means a concern, including its affiliates, that is independently owned and operated, not dominant in the field of operation in which it is bidding, and qualified as a small business under the criteria and size standards in 13 CFR 121.
(b) [ ] is, [ ] is not a women-owned small business concern. "Women-owned," as used in this provision, means a small business that is at least 51 percent owned by a woman or women who are U.S. citizens and who also control and operate the business.
(c) [ ] is, [ ] is not a minority enterprise which, pursuant to Executive Order 11625, is defined as a business which is at least 51 percent owned by one or more minority group members or, in the case of a publicly owned business, at least 51 percent of its voting stock is owned by one or more minority group members, and whose management and daily operations are controlled by one or more such individuals.

For the purpose of this definition, minority group members are:
(3) [ ] Black Americans
( ) Asian Pacific Americans
( ) [ ] Hispanic Americans
( ) [ ] Native Americans
( ) [ ] Hasidic Jewish Americans

3. Certificate of Independent Price Determination
(a) The bidder/offeree certifies that—
(1) The prices in this bid/offer have been arrived at independently, without, for the purpose of restricting competition, any consultation, communication, or agreement with any other bidder/offeree or competitor relating to (i) those prices, (ii) the intention to submit a bid/offer, or (iii) the methods or factors used to calculate the prices offered;
(2) The prices in this bid/offer have not been and will not be knowingly disclosed by the bidder/offeree, directly or indirectly, to any other bidder/offeree or competitor before bid opening (in the case of a sealed bid solicitation) or contract award (in the case of a negotiated solicitation) unless otherwise required by law; and
(3) No attempt has been made or will be made by the bidder/offeree to induce any other concern to submit or not to submit a bid/offer for the purpose of restricting competition.
(b) Each signature on the bid/offer is considered to be a certification by the signatory that the signatory:
(1) Is the person in the bidder/offeree's organization responsible for determining the prices being offered in this bid or proposal, and that the signatory has not participated and will not participate in any action contrary to subparagraphs (a)(1) through (a)(3) above; or
(2) (i) Has been authorized, in writing, to act as agent for the following principals in certifying that those principals have not participated, and will not participate in any action contrary to subparagraphs (a)(1) through (a)(3) above (insert full name of person(s) in the bidder/offeree's organization responsible for determining the prices offered in this bid or proposal, and the title of his or her position in the bidder/offeree's organization);
(ii) As an authorized agent, does certify that the principals named in subdivision (b)(2)(i) above have not participated, and will not participate, in any action contrary to subparagraphs (a)(1) through (a)(3) above; and
(iii) As an agent, has not personally participated, and will not participate in any action contrary to subparagraphs (a)(1) through (a)(3) above.

c) If the bidder/offeree deletes or modifies subparagraph (a)(2) above, the bidder/offeree must furnish with its bid/offer a signed statement setting forth in detail the circumstances of the disclosure.

4. Organizational Conflicts of Interest Certification

(a) The Contractor warrants that to the best of its knowledge and belief except as otherwise disclosed, it does not have any organizational conflict of interest which is defined as a situation in which the nature of work under a proposed contract and a prospective contractor’s organizational, financial, contractual or other interest are such that:

(i) Award of the contract may result in an unfair competitive advantage;
(ii) The Contractor’s objectivity in performing the contract work may be impaired; or
(iii) That the Contractor has disclosed all relevant information and requested the HA to make a determination with respect to this Contract.

(b) The Contractor agrees that if after award he or she discovers an organizational conflict of interest with respect to this contract, he or she shall make an immediate and full disclosure in writing to the HA which shall include a description of the action which the Contractor has taken or intends to eliminate or neutralize the conflict. The HA may, however, terminate the Contract for the convenience of HA if it would be in the best interest of HA.

c) In the event the Contractor was aware of an organizational conflict of interest before the award of this Contract and intentionally did not disclose the conflict to the HA, the HA may terminate the Contract for default.

d) The Contractor shall require a disclosure or representation from subcontractors and consultants who may be in a position to influence the advice or assistance rendered to the HA and shall include any necessary provisions to eliminate or neutralize conflicts of interest in consultant agreements or subcontracts involving performance or work under this Contract.

5. Authorized Negotiators (RFPs only)

The offeror represents that the following persons are authorized to negotiate on its behalf with the PHA in connection with this request for proposals: (list names, titles, and telephone numbers of the authorized negotiators):

6. Conflict of Interest

In the absence of any actual or apparent conflict, the offeror, by submission of a proposal, hereby warrants that to the best of its knowledge and belief, no actual or apparent conflict of interest exists with regard to my possible performance of this procurement, as described in the clause in this solicitation titled “Organizational Conflict of Interest.”

7. Offeror’s Signature

The offeror hereby certifies that the information contained in these certifications and representations is accurate, complete, and current.

________________________________________

Signature & Date:

________________________________________

Typed or Printed Name:

________________________________________

Title:
Attachment 2: Contractor Information and Certification

(1) Prime □ Subcontractor □ (This form must be completed by and for each).

(2) Name of Firm:

________________________________________________________________________

Telephone_____________________________ Fax: ____________________________

(3) Street ___________________________ City__________________________________

State____________________________ Zip: __________________________________

(4) Please attach a biography/resume of the firm / individual, including the following information: (a) Year firm established; (b) Year firm established in current location; (c) Former name and year established (if applicable); (d) Name of parent company and (e) Date acquired (if applicable).

(5) Identify principals/partners in firm (attach a brief professional resume for each):

<table>
<thead>
<tr>
<th>NAME</th>
<th>TITLE</th>
<th>% OF OWNERSHIP</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

(6) Identify the individual(s) that will act as project manager(s) and any other supervisory personnel that will work on project; attach a biography and/or resume for each (do not duplicate any resumes required above):.

<table>
<thead>
<tr>
<th>NAME</th>
<th>TITLE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

(7) Bidder Diversity Statement: You must indicate all of the following that apply to the ownership of this firm and enter where provided the correct percentage (%) of ownership of each:

□ Caucasian American (Male ______% □ Publicly Held Corporation ______%  
□ Government Organization _____% □ Non-Profit Agency ______%  
Resident- (RBE), Minority- (MBE), or Woman-Owned (WBE) Business Enterprise. Qualifies by virtue of 51% or more ownership and active management by one or more of the following:

□ African-American _____% □ Native-American _____%  
□ Hispanic-American _____% □ Asian/Pacific Islander-American _____%  
□ Woman-Owned (MBE) ______%  
□ Woman-Owned (Caucasian) ______%  
□ Other (Specify) ______%  

WMBE Certification Number: __________________________________________

(NOTE #1: A certification number is not required to submit, enter if available) Certified by:

______________________________________________________________

(8) Federal Tax ID No.: ____________________________________________
(9) State of Utah License Type and No.: _______________________________________

(10) Worker’s Compensation Insurance Carrier: _______________________________ Policy No. __________________________________________________________ Expiration Date: ___________

(11) General Liability Insurance Carrier: ______________________________________ Policy No. __________________________________________ Expiration Date: _______________

(12) Professional Liability Insurance Carrier: _______________________________ Policy No. __________________________________________ Expiration Date: __________

(13) Section 3 Statement: Are you claiming Section 3 Business Preference?
   Yes ☐ No ☐; If yes, please complete the Section 3 forms included with this RFP.

(14) Debarred Statement: Has this firm, or any principal(s) ever been debarred from providing any services by the Federal Government, any state government, or any local government agency within or without the State of Utah?
   Yes ☐ No ☐
   If "Yes," please attach a full detailed explanation, including dates, circumstances and current status.

(15) Disclosure Statement: Does this firm or any principals thereof have any current, past personal or professional relationship with any Board Member or Officer of the HASLC?
   Yes ☐ No ☐
   If "Yes," please attach a full detailed explanation, including dates, circumstances and current status.

(16) Non-Collusion Affidavit: The undersigned party submitting this proposal or bid hereby certifies that such proposal or bid is genuine and not collusive and that said bidder entity has not colluded, conspired, connived or agreed, directly or indirectly, with any bidder or person, to put in a sham proposal or bid or to refrain from proposing or bidding, and has not in any manner, directly or indirectly sought by agreement or collusion, or communication or conference, with any person, to fix the proposal or bid price of affiant or of any other bidder or bidder, to fix overhead, profit or cost element of said proposal or bid price, or that of any other bidder or bidder or to secure any advantage against the Housing Authority or any person interested in the proposed contract; and that all statements in said proposal or bid are true.

(17) Indemnification Certification: The undersigned party, by submitting this Proposal, hereby certifies that they expressly agree to indemnify, defend, hold harmless and indemnify HASLC and its respective commissioners, members, officers, agents and employees of and from all claims, loss, damage, injury, actions, causes of action and liability of every kind, nature and description directly or indirectly arising out of or connected with the performance of this bid and resulting contract and any of Contractor’s operations or activities related thereto, excluding the willful misconduct or the gross negligence of the person or entity seeking to be defended, indemnified or held harmless.

(18) Labor Code Certification: The undersigned party, by submitting this Proposal, hereby certifies that he/she is aware of the provisions of labor laws which require every employer to be insured against liability for Worker’s Compensation and/or to undertake self-insurance in accordance
with the provisions of the law and will comply with such provisions before commencing the performance of the work of this Agreement.

(19) Verification Statement: The undersigned Proposer hereby states that by completing and submitting this form he/she is verifying that all information provided herein is, to the best of his/her knowledge, true and accurate, and agrees that if HASLC discovers that any information entered herein is false, that shall entitle HASLC to remove from consideration, decline to award, or to cancel any award Proposer.

_________________________________________ _________________________
Signature  Date

_________________________________________ _________________________
Printed Name  Company
Attachment 3: Bid Form

(1) Prime ☐ Subcontractor ☐ (This form must be completed by and for each).

(2) Name of Firm:
________________________________________________________________
Telephone________________________________ Fax:
__________________________________

(3) Street
________________________________ City________________________________
State____________________________ Zip:
________________________________

(4) Please attach a biography/resume of the firm / individual, including the following information: (a) Year firm established; (b) Year firm established in current location; (c) Former name and year established (if applicable); (d) Name of parent company and (e) Date acquired (if applicable).

(5) Identify principals/partners in firm (attach a brief professional resume for each):

<table>
<thead>
<tr>
<th>NAME</th>
<th>TITLE</th>
<th>% OF OWNERSHIP</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

(6) Identify the individual(s) that will act as project manager(s) and any other supervisory personnel that will work on project; attach a biography and/or resume for each (do not duplicate any resumes required above).:

<table>
<thead>
<tr>
<th>NAME</th>
<th>TITLE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

(7) Bidder Diversity Statement: You must indicate all of the following that apply to the ownership of this firm and enter where provided the correct percentage (%) of ownership of each:

☐ Caucasian American (Male _____%) ☐ Publicly Held Corporation ______%
☐ Government Organization _____% ☐ Non-Profit Agency_______%
Resident- (RBE), Minority- (MBE), or Woman-Owned (WBE) Business Enterprise. Qualifies by virtue of 51% or more ownership and active management by one or more of the following:

- African-American ______%  
- Native-American ______%  
- Hispanic-American ______%  
- Asian/Pacific Islander-American ______%  
- Woman-Owned (MBE) ______%  
- Woman-Owned (Caucasian) ______%  
- Other (Specify) ______%

WMBE Certification Number: ________________________________

(NOTE #1: A certification number is not required to submit, enter if available)

Certified by: __________________________________________________________________________________________________

(8) Federal Tax ID No.: ______________________________________________________________________________________

(9) State of Utah License Type and No.: __________________________________________________________________________

(10) Worker’s Compensation Insurance Carrier: ____________________________________________________________________
    Policy No. ___________________________________________ Expiration Date: __________

(11) General Liability Insurance Carrier: __________________________________________________________________________
    Policy No. ___________________________________________ Expiration Date: __________

(12) Professional Liability Insurance Carrier: ______________________________________________________________________
    Policy No. ___________________________________________ Expiration Date: __________

(13) Section 3 Statement: Are you claiming Section 3 Business Preference?
    Yes ☐ No ☐; If yes, please complete the Section 3 forms included with this RFP.

(14) Debarred Statement: Has this firm, or any principal(s) ever been debarred from providing any services by the Federal Government, any state government, or any local government agency within or without the State of Utah?
    Yes ☐ No ☐
    If "Yes," please attach a full detailed explanation, including dates, circumstances and current status.

(15) Disclosure Statement: Does this firm or any principals thereof have any current, past personal or professional relationship with any Board Member or Officer of the HASLC?
    Yes ☐ No ☐
    If "Yes," please attach a full detailed explanation, including dates, circumstances and current status.
(16) Non-Collusion Affidavit: The undersigned party submitting this proposal or bid hereby certifies that such proposal or bid is genuine and not collusive and that said bidder entity has not colluded, conspired, connived or agreed, directly or indirectly, with any bidder or person, to put in a sham proposal or bid or to refrain from proposing or bidding, and has not in any manner, directly or indirectly sought by agreement or collusion, or communication or conference, with any person, to fix the proposal or bid price of affiant or of any other bidder or bidder, to fix overhead, profit or cost element of said proposal or bid price, or that of any other bidder or bidder or to secure any advantage against the Housing Authority or any person interested in the proposed contract; and that all statements in said proposal or bid are true.

(17) Indemnification Certification: The undersigned party, by submitting this Proposal, hereby certifies that they expressly agree to indemnify, defend, hold harmless and indemnify HASLC and its respective commissioners, members, officers, agents and employees of and from all claims, loss, damage, injury, actions, causes of action and liability of every kind, nature and description directly or indirectly arising out of or connected with the performance of this bid and resulting contract and any of Contractor’s operations or activities related thereto, excluding the willful misconduct or the gross negligence of the person or entity seeking to be defended, indemnified or held harmless.

(18) Labor Code Certification: The undersigned party, by submitting this Proposal, hereby certifies that he/she is aware of the provisions of labor laws which require every employer to be insured against liability for Worker’s Compensation and/or to undertake self-insurance in accordance with the provisions of the law and will comply with such provisions before commencing the performance of the work of this Agreement.

(19) Verification Statement: The undersigned Proposer hereby states that by completing and submitting this form he/she is verifying that all information provided herein is, to the best of his/her knowledge, true and accurate, and agrees that if HASLC discovers that any information entered herein is false, that shall entitle HASLC to remove from consideration, decline to award, or to cancel any award Proposer.

________________________________     ____________________
Signature                                    Date

________________________________     ____________________
Printed Name                                  Company
The purpose of Section 3 of the Housing and Urban Development Act of 1988 as amended (12 U.S.C. 1701u) (section 3), and 24 CFR Part 135, is to ensure that training, employment and other economic opportunities generated by certain HUD financial assistance shall, to the greatest extent feasible, and consistent with existing federal, state and local laws and regulations, be directed to low- and very low-income persons, particularly those who are recipients of government assistance for housing, and to business concerns, which provide economic opportunities to low- and very low-income persons.” For the complete text of the Section 3 regulations, visit www.hud.gov/section3.

Housing Authority of Salt Lake City (HASLC) has developed this summary and Section 3 forms to comply with the Housing and Urban Development (HUD) Section 3 regulations and ensure that, to the greatest extent feasible, economic opportunities are provided to low- and very low-income persons and to Section 3 business concerns within the Salt Lake City. All contractors undertaking Section 3 covered projects and activities on behalf of HASLC are expected, to the greatest extent feasible, to meet the numerical goals set forth below. The policy does not apply to contractors who furnish only materials or supplies and do not undertake installation of materials or supplies.

**Section 3 Requirement for All Bidders**
As part of the application or bidding process, a Section 3 Business Preference and Action Plan are included in bid documents. Contractors have the option to request Certification as a Section 3 business; however, every proposer MUST complete the Action Plan and submit it with their bid, even if no hires are projected.

**Certification for Business**
Seeking Section 3 Business Preference form: Everyone must complete the top portion (check one box, name of business etc.) and sign at the bottom. Fill in the other parts ONLY if you are claiming Section 3 business status.

**Action Plan (2 pages):** Everyone must complete the top portion listing your company etc., where applicable, and sign every page. If you do not anticipate new hires, note that in the table on page 1 and 3. If you do anticipate new hires, then use page 1 to detail the job categories and page 3 to describe how you will fill those positions.

**Section 3 Requirements for Awardees**

**Baseline Reporting and Hiring Projections Form**
Prior to the Notice to Proceed, the contractor/subcontractor will be responsible for documenting the current workforce (baseline) and providing more accurate hiring projections per job classification than those described in the Action Plan. The Plan that is approved will become part of the contractual agreements.

**Hiring Goals**
The Section 3 requirement is triggered when there is a need for new economic opportunities, such as individual employment, contracting, or subcontracting. The regulation requires that contractors and subcontractors provide, to the greatest extent feasible, economic opportunities (training, employment, and contracting) to low and very low-income residents Section 3 businesses.

Contractors and subcontractors are required to make every effort to the greatest extent feasible to meet the HASLC’s numerical hiring goals of having Section 3 qualified employees make up 30% of their total new-hires. Firms must seek to maintain this percentage throughout the life of the project. If these goals are not met, the contractors are expected to show documentation demonstrating their efforts to hire Section 3 candidates by exhausting all available hiring sources. While a contractor receives credit for hiring low-income residents of Salt Lake City, first priority should be given to residents of the Housing Authority of Salt Lake City. This includes residents in both the public housing and Section 8 programs.
Hiring Priorities
First priority (HASLC residents):
Residents of the development where the work is being performed
Second priority (HASLC residents):
Other residents of Housing Authority of Salt Lake City owned or managed properties
Third priority (Salt Lake City residents):
Other residents within the city of Salt Lake City that meet the low-income requirements (see definition of Section 3 Resident below).

Resident Referral Process
HASLC is committed to working with general contractors and subcontractors to help them reach their Section 3 goals. Therefore, we have established a pre-screening and referral process to identify qualified HASLC residents who satisfy the first and second hiring priorities (above). This process ensures that each candidate is in good standing with the housing authority and has a background that qualifies him/her to perform the essential functions of the job.

To ensure the best possible match, it is important that contractors communicate their hiring needs to HASLC well in advance of the project start date. We request at least 2 business days’ notice before the employee’s start date, but earlier notice is preferred. We will work with you to identify a pool of candidates for each position. If we cannot provide you with a candidate, we will grant you a waiver to document your efforts to meet the Section 3 goals.

Union Contractors: HASLC’s Family and Community Partnerships department (FCP) has established a list of current HASLC residents in construction trade unions that is sent to contractors on a regular basis. If there is no candidate that meets your hiring needs, you are encouraged to consider sponsoring an HASLC resident who is not a member of a trade union to meet your Section 3 hiring goals.

New Hire Section 3 Information Form
General contractors and subcontractors will be provided this form upon award. Every new hire should be requested to complete the form. The form provides the means to determine Section 3 eligibility of the employee. The forms should be submitted to HASLC as soon as possible after hiring for verification of Section 3 status.

Monthly Reports
HASLC requires monthly reports listing all new hires and Section 3 hires from all contractors and subcontractors on Section 3 covered projects. A sample report will be provided. Reports shall be due on the fifth day of each month for the preceding month. These reports shall be submitted to an HASLC Contracts Manager.

Record Maintenance and Documentation
All projects and activities that are subject to Section 3 requirements shall maintain comprehensive documentation of their Section 3 outreach efforts and implementation activities. Section 3 documentation files should be clearly maintained and be available for review by Housing Authority of Salt Lake City and/or HUD officials.

Compliance Reviews
HASLC staff will conduct regular compliance reviews, which consist of comprehensive analysis and evaluation of the contractor’s compliance with Section 3. Where noncompliance is found, HASLC will notify the contractor of the deficiency and make recommendations for corrective actions.
Useful Definitions

Business Concern
A business entity formed in accordance with state law, and which is licensed under state, county or municipal law to engage in the type of business activity for which it was formed.

"Greatest Extent Feasible"
Recipients of Section 3 financial assistance must make every effort within their disposal to meet the regulatory requirements. For instance, this may mean going a step beyond normal notification procedures for employment and contracting opportunities by developing strategies that will specifically target Section 3 residents and businesses for these new economic opportunities.

Household Income Levels
Low and very-low income limits are determined annually by HUD. These limits are typically established at 80 percent and 50 percent of the median income for each locality by household size or number of people residing in one house. HUD income limits can be obtained from www.huduser.org/portal/datasets/il.html.

New Hire
A new hire means a full-time employee for a new permanent, temporary, or seasonal position that is created as a direct result of the expenditure of federal funds on Section 3 covered projects. Any employee that is not on the payroll of a contractor or developer on the day [i.e., that a purchase order is issued or the day a contract is signed or agreed upon] that the Section 3 covered assistance was provided, is considered a new hire.

Section 3 Business Concern
A business concern that meets one or more of the following requirements:
- 51% or more owned by Section 3 residents
- 30% or more of permanent, full-time workforce consists of Section 3 residents
- Provides evidence to subcontract at least 25% of the dollar awarded to qualified Section 3 businesses

Section 3 Resident
(1) An Housing Authority of Salt Lake City public housing resident or Section 8 voucher holder; or
(2) An individual who resides in the service area (Salt Lake City) in which the Section 3 covered assistance is expended, and whose income status is as follows:

<table>
<thead>
<tr>
<th>Number of People in Household</th>
<th>Annual Household Income Limits (Source: 24 CFR 870.3)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>$52,650 or less</td>
</tr>
<tr>
<td>2</td>
<td>$60,150 or less</td>
</tr>
<tr>
<td>3</td>
<td>$67,650 or less</td>
</tr>
<tr>
<td>4</td>
<td>$75,150 or less</td>
</tr>
<tr>
<td>5</td>
<td>$81,200 or less</td>
</tr>
<tr>
<td>6</td>
<td>$97,200 or less</td>
</tr>
<tr>
<td>7</td>
<td>$93,200 or less</td>
</tr>
<tr>
<td>8</td>
<td>$99,200 or less</td>
</tr>
</tbody>
</table>

(Updated on 04/01/17)

Questions regarding the Housing Authority of Salt Lake City Section 3 Program should be addressed to an HACL Contract Manager.
Section 3 Business Certification and Action Plan

SECTION 1
Company Name ________________________________
Address ________________________________________

Type of Business (Circle One):  Corporation  Partnership  Sole Proprietorship  Other
Project (Bid/RFP #)______________________________ Business Activity_________________________

SECTION 2
Current Section 3 Status: The undersigned bidder/proposer hereby certifies that it is a Section 3 business concern and attaches relevant documentation, as applicable, to support such claim. Select only one option.

1. A business claiming status as a Section 3 resident-owned business concern (ROB):
   Initial here to select this option__________
   D  HASLC resident lease  D  List of owners/stockholders and % of each
   D  Copy of receipt of public assistance  D  Latest board minutes appointing officers
   D  Other evidence of income status  D  Articles of Incorporation
   D  Fictitious or Assumed Business Name Certificate  D  Partnership agreement
   D  Organization chart with names and titles and brief job description

2. A business claiming Section 3 status because at least 30% of its permanent full-time employees are currently Section 3 residents or, within 3 years of the date of first employment with the business concern, were Section 3 residents. If a business claims this option, the 30% employment requirement must be maintained for the entire project. Initial here to select this option__________
   D  List of all current full time employees  D  List of all employees claiming Section 3 status
   D  HASLC residential lease (less than 3 years from date of employment)  D  Other evidence of Section 3 status (less than 3 years from date of employment)

3. A business claiming Section 3 status by subcontracting 25% or more of the dollar award to qualified Section 3 businesses (as set forth in Options 1 and 2). Initial here to select this option__________
   D  Provide a list of intended Section 3 business subcontractors with subcontract amount.
   D  Include this Section 3 Certification form and all supporting documentation for each planned Section 3 business subcontractor.

If you are or become certified as a Section 3 business, do you grant HASLC permission to share your business contact information with firms seeking to contract with Section 3 businesses?  D  Yes  D  No

I attest that the above information is true and correct.

______________________________  ________________________________
Signature                              Printed Name

______________________________  ________________________________
Title                                  Date
Section 3 Action Plan (Page 1 of 2)

All firms and individuals bidding on any Section 3 covered contract with the Housing Authority of Salt Lake City (HASLC) MUST COMPLETE AND SUBMIT THIS ACTION PLAN WITH THE BID, OFFER, OR PROPOSAL. Any solicitation response that does not include this document (completed and signed) will be considered non-responsive and not eligible for award.

PRELIMINARY STATEMENT OF CURRENT WORKFORCE AND HIRING NEEDS

THIS PLAN OUTLINES YOUR COMMITMENT TO HASLC’S SECTION 3 HIRING GOALS

COMPANY NAME:

ADDRESS:

PROJECT (BID/RFP#):

<table>
<thead>
<tr>
<th>JOB CATEGORYEXAMPLES</th>
<th>(A) # of CURRENT Employees (Core Staff)</th>
<th>(B) PROJECTED # of New Hires FOR THIS PROJECT</th>
<th>(C) PROJECTED # of Section 3 hires</th>
<th>(D) PROJECTED Section 3 Hires as a Percentage of NEW HIREs</th>
</tr>
</thead>
<tbody>
<tr>
<td>ADMINISTRATIVE, OFFICE MANAGER, CLERK, PROJECT MANAGER, EQUIPMENT MECHANIC, JANITORIAL, HOUSING MANAGEMENT, LABORER, LANDSCAPER, GLAZIER-JOURNEYMAN, GLAZIER-APPRENTICE, PLUMBER-JOURNEYMAN, PLUMBER-APPRENTICE</td>
<td>%</td>
<td>%</td>
<td>%</td>
<td>%</td>
</tr>
<tr>
<td>%</td>
<td>%</td>
<td>%</td>
<td>%</td>
<td></td>
</tr>
</tbody>
</table>

OTHER, PLEASE LIST:

__% (Check here and attach another sheet if applicable)

☐ Check this box if contractor does not anticipate triggering the regulation by the need for new hiring or subcontracting opportunities. Complete the signature block at the bottom of this page.

I attest that the above information is true and correct. The company certifies that the above table represents the appropriate number of employee positions and also represents the number of Section 3 employees that the company proposes to hire.

______________________________
Signature

______________________________
Printed Name

______________________________
Title

______________________________
Date
Section 3 Action Plan (Page 2 of 2)

EFFORTS TO ACHIEVE SECTION 3 COMPLIANCE

Indicate the efforts your organization will take to direct employment and other economic opportunities, to the greatest extent feasible, to low-income residents. Think about how you can leverage your resources and expertise to foster training and employment opportunities for Section 3 residents. Examples include, but are not limited to, the following. Check all that apply.

- Refer to any list of pre-screened job-ready applicants provided by HASLC’s Department of Family and Community Partnerships (FCP) (REQUEST A LIST from FCP at Schire@okaha.org or 510-587-5100).
- Utilize and manage union privileges such as name-call, transfer, rehire, and sponsorship.
- Financially sponsor HASLC resident(s) in trainings, certifications, professional mentorships, etc.
- Distribute flyers door-to-door to HASLC owned and managed properties.
- Run multiple advertisements in local media such as newspapers and radio stations, and/or Internet-based job-posting websites announcing the hiring and contracting opportunities.
- Contract with certified Section 3 businesses, in construction and non-construction trades (REQUEST A LIST from Rufus Davis at HASLC, Davis@okaha.org or 510-587-2170).
- Post signs at the entrance to the job site stating that it is a Section 3 covered project.
- Sponsor (schedule, advertise, finance, or provide in-kind services) a job informational meeting to be conducted by the housing authority or a contractor representative.
- Undertake job counseling, education and related programs in association with local educational institutions.
- Other: ________________________________

______________________________

______________________________

______________________________

______________________________

______________________________

______________________________

______________________________

______________________________

______________________________

I attest that the above information is true and correct.

________________________________________  ___________________________________
Signature                                      Printed Name

________________________________________  __________________________
Title                                           Date
SECTION 3 CLAUSE (24 CFR 135.38)

This contract is subject to the following conditions under Section 3 of the Housing and Urban Development Act of 1968, as amended, 12 U.S.C. 1701u (Section 3).

A. The work to be performed under this contract is subject to the requirements of Section 3 of the Housing and Urban Development Act of 1968, as amended, 12 U.S.C. 1701u (Section 3). The purpose of Section 3 is to ensure that employment and other economic opportunities generated by HUD assistance or HUD-assisted projects covered by Section 3, shall, to the greatest extent feasible, be directed to low and very low-income persons, particularly persons who are recipients of HUD assistance for housing.

B. The parties to this contract agree to comply with HUD’s regulations in 24 CFR Part 135, which implement Section 3. As evidenced by their execution of this contract, the parties to this contract certify that they are under no contractual or other impediment that would prevent them from complying with the Part 135 regulations.

C. The contractor agrees to send to each labor organization or representative of workers with which the contractor has a collective bargaining agreement or other understanding, if any, a notice advising the labor or organization or workers’ representative of the contractor’s commitments under this Section 3 clause, and will post copies of the notice in conspicuous places at the work site where both employees and applicants for training and employment positions can see the notice. The notice shall describe the Section 3 preference, shall set forth minimum number and job titles subject to hire, availability of apprenticeship and training positions, the qualifications for each; and the name and location of the person(s) taking applications for each of the positions; and the anticipated date the work shall begin.

D. The contractor agrees to include this Section 3 clause in every subcontract subject to compliance with regulations in 24 CFR Part 135, and agrees to take appropriate action, as provided in an applicable provision of the subcontract or in this Section 3 clause, upon finding that the subcontractor is in violation of the regulations in 24 CFR Part 135. The contractor will not subcontract with any subcontractor where the contractor has notice or knowledge that the subcontractor has been found in violation of the regulations in 24 CFR Part 135.

E. The contractor will certify that any vacant employment positions, including training positions that are filled (1) after the contractor is selected but before the contract is executed, and (2) with persons other than those to whom the regulations of 24 CFR Part 135 require employment opportunities to be directed, were not filled to circumvent the contractor’s obligations under 24 CFR Part 135.

F. Noncompliance with HUD’s regulations in 24 CFR Part 135 may result in sanctions, termination of this contract for default, and debarment or suspension from future HUD assisted contracts.

G. With respect to work performed in connection with Section 3 covered Indian housing assistance, Section 7(b) of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450e) also applies to the work to be performed under this contract. Section 7(b) requires that to the greatest extent feasible (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 Enterprise. 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).