



## SECTION 3 AND EQUAL OPPORTUNITY CONTRACTING PROJECT UTILIZATION PLAN

### COVER SHEET

#### General Submittal Instructions:

**Bidder/Proposer AND its first-tier subcontractors are to submit a completed Section 3 and Equal Opportunity Contracting Project Utilization Plan(s) in bid. If not, Utilization Plan(s) must be submitted within 24 hours, upon request by HWS. A “non-responsive” determination may be made due to non-submittal within 24 hours.**

**Bidder/Proposer AND its first-tier subcontractors whose Utilization Plans indicate no subcontract awards to certified Section 3 Business Concerns will be required to submit, within 24 hours upon request by HWS, supporting documentation for review and approval verifying efforts to outreach to and award subcontracts to Section 3 Business Concerns. A “non-responsive” determination shall be made due to a lack of documented outreach to Section 3 Business Concerns by the Bidder/Proposer. Exception: Bid/proposal indicating no projected hiring and/or subcontracting opportunities.**

**Bidder/Proposer AND its first-tier subcontractors whose Utilization Plans indicate that existing employees do not meet the definition of a Section 3 Worker, and do not agree to make a documented good faith effort to hire Section 3 Workers (when there is a need to hire new employees), may be deemed “non-responsive.” Exception: Bidders/proposers whose geographic location and industry preclude them from hiring Riverside County residents.**

#### Special Instructions for HWS Developers:

Submit all completed Section 3 and Equal Opportunity Contracting Project Utilization Plans before construction begins and/or at the beginning of each project phase (to be determined on case-by-case basis). Developers submit completed Utilization Plans to: [HWS-section3@Rivco.org](mailto:HWS-section3@Rivco.org) (preferred) or Riverside Housing Commission, Section 3 Unit, 3403 10th. St., Ste. 300; Riverside, CA 92501.

Prime Contractor Name:

Bid/Solicitation # and Project Name:

☐ Contractor or Name and Address:  
☐ Subcontractor

List if ELBE, DBE, DVBE, MBE, SB, SLBE or WBE (or mark “N/A” if non-applicable):

Email Address:

Contact Name and Telephone Number:

Proposed Dollar Value of ☐ Contract or  
☐ Subcontract: \$

#### Check All That Apply For This Project And Follow Instructions As Applicable

I am the Prime Contractor: ☐ I am a Subcontractor: ☐  
There will be subcontracts as a result of this bid/proposal: ☐ Complete Cover Sheet and Attachment I.  
There will be new hires as a result of this bid/proposal: ☐ Complete Cover Sheet and Attachment II.  
There will be no subcontracts or new hires as a result of this bid/proposal: ☐ Complete Cover Sheet and Attachment II.

***Bidder for the above bid/solicitation number and project hereby understands and agrees to comply with all provisions of Section 3 as set forth in 24CFR75 and RivCO Section 3 requirements, as applicable. Non-compliance with HUD’s Section 3 regulations may result in sanctions, termination of the contract/agreement for default and debarment or suspension from future HUD-assisted contracts.***

Authorized Official’s Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Printed Name and Title: \_\_\_\_\_

FOR ADDITIONAL INFORMATION, REGISTRY OF CERTIFIED SECTION 3 BUSINESS CONCERNS AND INSTRUCTIONS FOR COMPLETING FORMS GO TO: <https://rivcohhs.org/overview-section-3-requirements>

## SECTION 3 AND EQUAL OPPORTUNITY CONTRACTING PROJECT UTILIZATION PLAN

### ATTACHMENT 1: SECTION 3 BUSINESS CONCERN UTILIZATION PLAN

If you plan to award subcontracts and your Utilization Plan does not indicate subcontract awards to certified Section 3 Business Concerns, you will be required to submit supporting documentation verifying your efforts, to the greatest extent feasible, to contact and invite Section 3 Business Concerns to submit quotes, bids or proposals. **AT A MINIMUM, YOU MUST CONTACT THE BUSINESSES LISTED IN RivCO REGISTRY OF CERTIFIED SECTION 3 BUSINESS CONCERNS.** Contact at least 15 calendar days prior to proposal/bid due date. For proposals/bids with a 2-week response time, contact must be made at least 7 calendar days prior to due date.

If the registry of certified Section 3 Business Concerns does not represent the trades/services that you are seeking, contact the HWS Section 3 Unit at [HWS-section3@Rivco.org](mailto:HWS-section3@Rivco.org) or go to <https://rivcohps.org/overview-section-3-requirements> to obtain “Examples of Efforts to Create Employment and Contracting Opportunities.” **Section 3 Business Concerns must be certified by HWS.** For ELBE, SLBE, SB, DBE, MBE, WBE or DVBE firms, please attach a copy of their certification(s).<sup>1</sup>**List ALL** proposed subcontractors (including sub-consultants) for this project on the table below.

| <i>Name, City &amp; State</i>                                                                                                | <i>Certified<br/>Section<br/>3<br/>Business<br/>Concern<br/>(yes/no)</i> | <i>Identify if<br/>ELBE/SLBE/SB/<br/>DBE/MBE/<br/>WBE/<br/>DVBE</i> | <i>Subcontract<br/>Amount (\$) and<br/>Percentage (%) of<br/>Total Contract<br/>Amount</i> |   | <i>Trade/Category<br/>of Work</i> |
|------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------|---------------------------------------------------------------------|--------------------------------------------------------------------------------------------|---|-----------------------------------|
|                                                                                                                              |                                                                          |                                                                     | \$                                                                                         | % |                                   |
|                                                                                                                              |                                                                          |                                                                     | \$                                                                                         | % |                                   |
|                                                                                                                              |                                                                          |                                                                     | \$                                                                                         | % |                                   |
|                                                                                                                              |                                                                          |                                                                     | \$                                                                                         | % |                                   |
|                                                                                                                              |                                                                          |                                                                     | \$                                                                                         | % |                                   |
|                                                                                                                              |                                                                          |                                                                     | \$                                                                                         | % |                                   |
| Total Subcontract Amount - Dollars and Percentage of Total Contract Amount:                                                  |                                                                          |                                                                     | \$                                                                                         |   | %                                 |
| Total Subcontract Amount Awarded to Certified Section 3 Business Concerns – Dollars and Percentage of Total Contract Amount: |                                                                          |                                                                     | \$                                                                                         |   | %                                 |

Owner/Authorized Officer and Title: \_\_\_\_\_ Company: \_\_\_\_\_

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

FOR ADDITIONAL INFORMATION, REGISTRY OF CERTIFIED SECTION 3 BUSINESS CONCERNS AND SECTION 3 WORKERS, AND INSTRUCTIONS FOR COMPLETING FORMS GO TO: <https://rivcohps.org/overview-section-3-requirements>

<sup>1</sup> There are no numeric goals established for these certifications. However, affirmative efforts are required to ensure small businesses (SB), minority-owned (MBE) and woman-owned business enterprises (WBE) and other individuals and firms located in or owned by, in substantial part, persons residing in Riverside County and/or Labor Surplus Areas are used whenever possible.

## SECTION 3 AND EQUAL OPPORTUNITY CONTRACTING PROJECT UTILIZATION PLAN

### ATTACHMENT II: SECTION 3 WORKER UTILIZATION PLAN

Bidder/Proposer AND its first-tier subcontractors are to make their best efforts to provide employment and training opportunities generated by HUD financial assistance to low- and very low-income persons referred to as "Section 3 Workers." See attached FAQ.

| 2024 HUD INCOME LIMITS |
|------------------------|
| \$57,400               |
|                        |

**Instructions:**

Answer all questions. **Section 3 Worker Utilization Plans that indicate a "No" response for question #3 or "No" response for all three questions, may be deemed "non-responsive."** Exception: Bidders/proposers whose geographic location and/or industry preclude them from hiring County of Riverside residents.

|                                                                                                                                                                                                                                                    |                              |                             |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------|-----------------------------|
| 1. Bidder/Proposer has employees who are residents of the County of Riverside whose annual income from the bidder/proposer is below the income limit?<br>See HUD Income Limits table.                                                              | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b><i>When contract is subject to prevailing wage laws, at the time of contract execution, contractor shall provide the names of its qualifying employees on the Section 3 Workers List form provided by the Riverside Housing Commission.</i></b> |                              |                             |
| 2. Bidder/Proposer plans to hire new employees to perform on or support the contract, if awarded the contract?                                                                                                                                     | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b><i>If "YES," at a minimum, you must contact the RivCO Section 3 Unit at <a href="mailto:HWS-section3@Rivco.org">HWS-section3@Rivco.org</a> and request referrals of certified Section 3 Workers.</i></b>                                        |                              |                             |
| 3. Bidder/Proposer agrees that when there is a need to hire new employees, a documented good faith effort shall be made to hire Section 3 Workers?                                                                                                 | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b><i>If "YES," at a minimum, you must contact the RivCO Section 3 Unit at <a href="mailto:HWS-section3@Rivco.org">HWS-section3@Rivco.org</a> and request referrals of certified Section 3 Workers when there is a need to hire.</i></b>           |                              |                             |

Owner/Authorized Officer and Title: \_\_\_\_\_

Company: \_\_\_\_\_

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

FOR ADDITIONAL INFORMATION, REGISTRY OF CERTIFIED SECTION 3 BUSINESS CONCERNS AND SECTION 3 WORKERS, AND INSTRUCTIONS FOR COMPLETING FORMS GO TO: <https://rivcohps.org/overview-section-3-requirements>

## ABRIDGED SECTION 3/EOC FAQ FOR BIDDERS/PROPOSERS

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**1. Who is a Section 3 Worker?**

A Section 3 Worker is a County of Riverside resident who is low- or very low-income person according to HUD Income Limits; employed by a Section 3 Business Concern, or a YouthBuild participant. For additional information go to <https://rivcohpws.org/overview-section-3-requirements>.

**2. What is a Section 3 Business Concern?**

A Section 3 Business Concern means a business concern that meets one of the following criteria: (1) at least 51 percent owned and controlled by a Section 3 Worker or (2) over 75 percent of the labor hours performed for the business over the prior three-month period were performed by Section 3 Workers.

**3. Who can become certified as a Section 3 Business Concern with the Riverside County Housing & Workforce Solutions (HWS)?**

A business concern whose principal office is located in the County of Riverside and meets the eligibility criterion of (1) or (2) as set forth in the answer to question #2, "What is a Section 3 Business Concern?" can certify.

**4. Do certified Section 3 Business Concerns have to comply with the Section 3 requirements?**

Yes. Certified Section 3 Business Concerns that are awarded Section 3-covered contracts or subcontracts must comply.

**5. How can I demonstrate Section 3 compliance in my proposal/bid/quote?**

A bidder/proposer and its first-tier subcontractors demonstrate Section 3 compliance by submitting: (1) Section 3 and Equal Opportunity Contracting Project Utilization Plans (includes Attachments I and II) that project a commitment to award contracts to certified Section 3 Business Concerns, currently employ Section 3 Workers and/or hire certified Section 3 Workers when there is a need to award contracts and/or hire new employees; and (2) supporting documentation verifying that the bidder/proposer and its first-tier subcontractors outreached to Section 3 Business Concerns and Section 3 Workers.

**6. What are examples of documentation verifying outreach to Section 3 Business Concerns and Section 3 Workers?**

At a minimum, supporting documentation shall include a log of calls or copies of emails—with outcomes—to HWS certified Section 3 Business Concerns; and notifying the HWS Section 3 Unit of employment opportunities for HWS certified Section 3 Workers. The registry of certified Section 3 Business Concerns and "Examples of Efforts to Create Employment and Contracting Opportunities" are available at <https://rivcohpws.org/overview-section-3-requirements>. For referrals of certified Section 3 Workers, contact the HWS Section 3 Unit at [HWS-section3@Rivco.org](mailto:HWS-section3@Rivco.org).

**7. What happens if I do not submit, upon request, documentation verifying outreach to Section 3 Business Concerns?**

A bid/proposal shall be deemed "non-responsive" and not eligible for award due to a lack of documented outreach to Section 3 Business Concerns.

**8. Do I have to comply with Section 3 requirements, if I do not plan to hire new employees and I do not plan to award contracts/subcontracts?**

Upon contract award, to the greatest extent feasible, contractors and/or subcontractors shall ensure that employment and training opportunities on Section 3 covered contracts and projects are provided to Section 3 Workers; and report total labor hours performed by Section 3 Workers as a percentage of total labor hours of all employees performing on the Section 3 covered contract or project.

**9. Does HWS monitor Section 3 Compliance?** Yes. HWS Section 3 Unit monitors compliance by reviewing contractors' and subcontractors' certified payroll or quarterly labor hour reports which indicate the total labor hour worked by Section 3 Workers as a percentage of the total labor hours worked by all employees performing on the Section 3 covered contract or project. Contractors and subcontractors must seek to maintain their approved percentages of Section 3 participation throughout the term of the Section 3 covered contract or project.

**10. Are there goals for Small Businesses (SB), Minority-Owned (MBE) and Woman-Owned Business Enterprises (WBE)?** There are no established numerical goals; however, affirmative efforts are required to ensure SB, MBE and WBE participation on all HWS contracts and projects. "Examples of Efforts to Create Employment and Contracting Opportunities," are available at <https://rivcohpws.org/overview-section-3-requirements>.