

**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 County of Riverside 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: MAjames@rivco.org (preferred) or Housing Workforce Solutions, 3403 Tenth St, Ste. 300; Riverside CA 92501

**Prime Contractor Name:** \_\_\_\_\_ **Bid/Solicitation # and Project Name:** \_\_\_\_\_  
 Contractor or  Subcontractor Name and Address:

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

**Contact Name and Telephone Number:** \_\_\_\_\_

**Proposed Dollar Value of  Contract or  Subcontract: \$** \_\_\_\_\_

**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.

## SECTION 3 AND EQUAL OPPORTUNITY CONTRACTING PROJECT UTILIZATION PLAN

### ATTACHMENT I: 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 outreach to and award subcontracts to Section 3 Business Concerns. **AT A MINIMUM, YOU MUST OUTREACH TO THE BUSINESSES LISTED IN HWS' REGISTRY OF CERTIFIED SECTION 3 BUSINESS CONCERNS.** If the registry of certified Section 3 Business Concerns does not represent the trades/services that you are seeking, contact the HWS Section 3/EOC Unit at [Sorozco@rivco.org](mailto:Sorozco@rivco.org) or go to <https://rivcoeda.org/Departments/Housing/Community-Development-Block-Grant/Community-Development/Section-3-Program> 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 subconsultants) for this project on the table below.

<i>Name, City &amp; State</i>	<i>Certified Section 3 Business Concern (yes/no)</i>	<i>Identify if ELBE/SLBE/SB/ DBE/ MBE/ WBE/ DVBE</i>	<i>Subcontract Amount (\$) and Percentage (%) of Total Contract Amount</i>		<i>Trade/Category 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://rivcoeda.org/Departments/Housing/Community-Development-Block-Grant/Community-Development/Section-3-Program>

<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 HWS' and/or Labor Surplus Areas are used whenever possible.



**SECTION 3 AND EQUAL OPPORTUNITY CONTRACTING  
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**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.

2021 HUD FAMILY INCOME LIMITS								
FAMILY Size	1	2	3	4	5	6	7	8
Maximum Gross Annual Family Income	\$44,250	\$50,600	\$56,900	\$63,200	\$68,300	\$73,350	\$78,400	\$83,450

**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? See HUD Family Income Limits table.	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<i>If "YES," prior to contract execution, bidder/proposer, when subject to prevailing wage laws, shall provide the names of the qualifying employees on a form provided by the Housing &amp; Workforce Solutions.</i>		
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"/>
<i>If "YES," at a minimum, you must contact the HWS Section 3 Unit at <a href="mailto:Diacosta@rivco.org">Diacosta@rivco.org</a> and request referrals of certified Section 3 Workers.</i>		
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"/>
<i>If "YES," at a minimum, you must contact the HWS Section 3 Unit at <a href="mailto:Diacosta@rivco.org">Diacosta@rivco.org</a> and request referrals of certified Section 3 Workers when there is a need to hire.</i>		

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:**



## 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 Family Income Limits; employed by a Section 3 Business Concern, or a YouthBuild participant. For additional information go to <https://rivcoeda.org/Departments/Housing/Community-Development-Block-Grant/Community-Development/Section-3-Program>

### 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?

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/EOC 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://rivcoeda.org/Departments/Housing/Community-Development-Block-Grant/Community-Development/Section-3-Program>  
For referrals of certified Section 3 Workers, contact the HWS Section 3/EOC Unit at [Sorozco@rivco.org](mailto:Sorozco@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" 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 : [www.rivcojobs.org](http://www.rivcojobs.org).