

PROFESSIONAL LEGAL SERVICES AGREEMENT (“LSA”)

BETWEEN

ROBBINS SCHWARTZ

AND

THE CHICAGO HOUSING AUTHORITY

(OFFICE OF THE CHIEF LEGAL OFFICER)

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AGREEMENT

THIS PROFESSIONAL LEGAL SERVICES AGREEMENT (hereinafter referred to as "Agreement" or "Contract") is made as of January 22, 2020 by and between the CHICAGO HOUSING AUTHORITY, a municipal corporation (hereinafter referred to as "the CHA"), acting through its Office of the Chief Legal Officer ("Chief Legal Officer") and **ROBBINS SCHWARTZ** (hereinafter referred to as the "Legal Counsel" or "Contractor").

RECITALS

WHEREAS, the CHA is engaged in the development and operation of safe, decent and sanitary housing throughout the City of Chicago for low-income families in accordance with the United States Housing Act of 1937, 42 USC 1437 et seq., regulations promulgated by the United States Department of Housing and Urban Development ("HUD"), and the Illinois Housing Authorities Act, 310 ILCS 10/1 et seq., as amended, and other applicable laws, regulations and ordinances; and

WHEREAS, the CHA desires to retain Legal Counsel to perform certain legal services including, but not limited to, representation, litigation, researching, drafting, rendering legal opinions and/or advice (collectively, "Legal Services") on an as-needed-basis; and

WHEREAS, the CHA has determined that retention of Legal Counsel is in the best interests of the CHA, and Legal Counsel is ready, willing and able to provide the Legal Services to the full satisfaction of the CHA,

NOW THEREFORE, in consideration of the mutual promises and the terms and conditions set forth herein, the CHA and Legal Counsel do hereby agree as follows:

ARTICLE 1 INCORPORATION OF RECITALS AND DEFINITIONS

Section 1.01 Incorporation of Recitals

The recitals set forth above are incorporated by reference as if fully set forth herein.

Section 1.02 Definitions

"Additional Services" means those services requested in writing by the Chief Legal Officer which are within the general scope of the Legal Services of this Agreement, but beyond the scope of services required pursuant to Section 2.01 and Exhibit I of this Agreement, and any and all services reasonably necessary to complete the Additional Services in accordance with the standard of performance required hereunder.

"Agreement" means this Professional Legal Services Agreement, including all exhibits attached to it and incorporated in it by reference, and all amendments, modifications or revisions made in accordance with its terms.

“Authorized Personnel” means those individuals, including, but not limited to, attorneys and paralegals, approved and authorized by the Office of the Chief Legal Officer to perform legal services for and on behalf of the CHA.

“CHA” means the Chicago Housing Authority acting through its Office of the Chief Legal Officer.

“Chief Legal Officer” means the head of the Office of the General Counsel for the CHA.

“Key Personnel” means those job titles and the persons assigned to those positions in accordance with the provisions of Section 2.03 of this Agreement.

“Legal Services” means the services, duties and responsibilities described in Article 2 and Exhibit I of this Agreement and any services/work necessary to complete them or carry them out fully and to the standard of performance required by this Agreement.

“Office of the Chief Legal Officer” means the legal department of the CHA which is entrusted with performing the legal business and coordinating the legal affairs of the CHA.

“Work Product” means all memoranda, pleadings, documents, discovery items, notes, photographs, inspection reports, investigation reports, books, records, computer-generated information, computer-stored information, research, opinions, data, studies, findings and information generated, prepared and/or collected in connection with this Agreement.

ARTICLE 2 LEGAL COUNSEL'S DUTIES AND RESPONSIBILITIES

Section 2.01 Legal Services to be Performed

A. Scope of Legal Services

The Legal Services which Legal Counsel shall provide under this Agreement include, but are not limited to, those described in this Article 2 and the attached Exhibit I which is incorporated by reference as if fully set forth herein. This Scope of Services is intended to be general in nature and is neither a complete description of Legal Counsel's services nor a limitation on the Legal Services which Legal Counsel is to provide under this Agreement. Legal Counsel shall provide the Legal Services in accordance with the standards of performance set forth in Section 2.02 hereof and in accordance with the CHA Outside Counsel Billing Guidelines set forth in Exhibit III, which is attached hereto and incorporated by reference as if fully set forth herein. The specific matter for which Legal Counsel will provide legal services will be identified in a Task Order, in the form set forth in Exhibit VI.

B. Work Products

In carrying out the Legal Services described and set forth in Exhibit I, Legal Counsel shall generate, prepare, collect or provide certain work product including, but not limited to, memoranda, pleadings, documents, discovery items, notes, photographs, inspection reports, investigation reports, books, records, computer-generated information, computer-stored information, research, opinions, data, studies, findings and information generated, prepared and/or collected in connection with this Agreement (collectively “Work Product”). Any and all Work

Product shall be the exclusive property of the CHA and shall not be utilized, sold or shared with any other party except in accordance with specific prior written direction or consent of the CHA or pursuant to discovery procedures or court orders. The CHA reserves the right to reject any and all Work Product which, in the sole judgment of the CHA, does not adequately represent the intended level of completion or standard of performance, does not include relevant information or data, or does not include all documents specified in this Agreement or reasonably necessary for the purposes for which the CHA made this Agreement with Legal Counsel or for which the CHA intends to use the Work Product.

Section 2.02 Standard of Performance

Legal Counsel shall perform all Legal Services required of them under this Agreement with that degree of skill, care and diligence normally shown by Legal Counsel performing services of a scope, purpose and magnitude comparable and similar to the nature of the Legal Services to be provided under this Agreement.

Legal Counsel acknowledges that it is entrusted with or has access to valuable and confidential information and records of the CHA. Legal Counsel shall at all times use its best efforts on behalf of the CHA to ensure timely and satisfactory rendering and completion of Legal Services.

Legal Counsel shall at all times act in the best interests of the CHA consistent with the professional obligations assumed by it in entering into this Agreement.

Section 2.03 Key Personnel

The Key Personnel and/or attorneys and paralegals assigned to perform Legal Services under this Agreement are:

Attorneys:	Niki Lamprinakos	Frank B. Garrett III	Amanda Tiebert Collman
	Stephen R. Miller	Kerri L. Feczko	Hailey Golds
	Matthew J. Gardner	Samuel B. Cavnar	Jessica L. Knox
	Margaret L. MacNair	Nicholas J. Petrovski	Howard A. Metz
	Joseph J. Perkoski	Todd K. Hayden	Catherine R. Locallo
	Tyler J. Bohman	Katelin J. Eastman	Thomas E. Garretson
	Jessica A. Milligan	Kevin P. Noll	Christopher R. Gorman

Paralegals:

No additional Key Personnel or Authorized Personnel shall be added or assigned to provide legal services under this Agreement without the express consent of the Office of the Chief Legal Officer. The CHA will not pay for any legal services performed by Legal Counsel's personnel who are neither listed herein nor subsequently approved by the Office of the Chief Legal Officer.

Section 2.04 Non-Discrimination

Legal Counsel shall comply with the Civil Rights Act of 1964, 42 U.S.C. sec. 2000 et seq. (1989), as amended.; Exec. Order No. 11,246, 30 Fed. Reg. 12,319 (1965), reprinted in 42 U.S.C. 2000(e) note, as amended by Exec. Order No. 11,375, 32 Fed. Reg. 14,303 (1967) and by Exec.

Order No. 12,086, 43 Fed. Reg. 46,501 (1978); Age Discrimination Act, 42 U.S.C. sec. 6101-6106 (1989); Rehabilitation Act of 1973, 29 U.S.C. sec. 793-794 (1988); Fair Housing Amendments Act, 42 U.S.C. Sec. 3601 et seq. (1988); Americans with Disabilities Act of 1990, 42 U.S.C. §12101; and 41 C.F.R. Part 60 et seq. (1990); Illinois Human Rights Act 775 ILCS 5/1-101 et seq. as amended; and regulations promulgated in accordance therewith, including but not limited to the Equal Employment Opportunity Clause, Ill. Admin. Code Tit. 44 Section 750 Appendix A, which is attached hereto as Addendum A and incorporated herein by this reference.

Section 2.05 Minority and Women Business Enterprise Commitment & Section 3 Compliance.

A. Legal Counsel hereby agrees to comply with the CHA's Minority Business Enterprise/Women's Business Enterprise/Disadvantaged Business Enterprise ("MBE/WBE/DBE") participation requirements which are attached hereto as Exhibit IV and incorporated by reference as if fully set forth herein provided, however, that the CHA's Chief Executive Officer may waive the MBE/WBE/DBE participation requirements. Legal Counsel shall complete certain MBE/WBE/DBE schedules, which will become a part of Exhibit IV once they are approved by the CHA's Department of Procurement and Contracts.

B. Section 3 – Compliance: The CHA has determined that the contract awarded under this solicitation 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), and Title 24 of Subchapter B, Part 135 – Economic Opportunities for Low- and Very Low-Income Persons, 24 CFR 135.3. Section 3 Compliance requires that any contract or subcontract entered into for the benefit of public housing residents shall require that, to the greatest extent feasible, economic opportunity in the form of training, employment, contracting, and other economic opportunities arising from the expenditure of public housing assistance for housing rehabilitation and housing construction be directed to low- and very low-income persons.

1. Section 3 - Clause

- i. 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.
- ii. 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.
- iii. The Contractor agrees to send to each labor organization or representative of workers with which the Contractor has a collective bargaining agreement or other understanding, if any, a notice advising the labor organization or workers'

representative of the contractor's commitments under this Section 3 clause, and will post copies of the notice in conspicuous places at the work site where both employees and applicants for training and employment positions can see the notice. The notice shall describe the Section 3 preference, shall set forth minimum number and job titles subject to hire, availability of apprenticeship and training positions, the qualifications for each; and the name and location of the person(s) taking applications for each of the positions; and the anticipated date the work shall begin.

- iv. 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 a 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.
- v. 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.
- vi. 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.

2. Section 3 Compliance Goals

- i. Contractors and their subcontractors may demonstrate compliance by committing to employ Section 3 residents and by subcontracting with Section 3 business concerns in accordance with the requirements of 24 CFR Part 135.

A Section 3 Business concern is a business concern under HUD Regulations:

- (a) 51 percent or more owned by Section 3 residents; or
 - (b) Whose permanent, full-time employees include persons, at least 30 percent of whom are currently Section 3 residents, or within three years of the date of first employment with the business concern were Section 3 residents; or
 - (c) That provides evidence of a commitment to subcontract in excess of 25 percent of the dollar award of all subcontracts to be awarded to business concerns that meet the qualifications set forth in paragraphs (a) or (b) in this definition of "Section 3 business concern."
- ii. Contractor and sub-contractors may demonstrate compliance with the requirements for contracting with Section 3 Business Concerns by committing to award to Section 3 Business Concerns at least 10 percent of the total dollar

amount of the contract awarded to the contractor for building trades work for maintenance, repair; modernization or development of public housing, or for building trades work arising in connection with housing rehabilitation, housing construction and other public construction and at least 3 percent of the total dollar amount of all other Section 3 covered contracts.

- iii. In evaluating compliance with 24 CFR Part 135, contractors and their subcontractors have the burden of demonstrating to the greatest extent feasible their ability or inability to meet the goals set forth in 24 CFR Part 135 for providing training, employment and contracting opportunities to Section 3 residents and Section 3 business concerns.
- iv. Contractors and their subcontractors are also encouraged to provide other economic opportunities to train and employ Section 3 residents including, but not limited to, use of "upward mobility", "bridge" and trainee positions to fill vacancies, and hiring Section 3 residents in part-time positions (24 CFR 135.40).

3. Documenting and Reporting

- i. Contractor agrees to comply with the above Section 3 requirements in accordance with the Contractor's Section 3 Utilization Plan, which shall be prepared by the Contractor and agreed to by CHA. CHA shall not be required to agree to the Contractor's Utilization Plan until the Contractor meets its burden to establish that it will comply with 24 CFR Part 135 and otherwise comply with CHA's Section 3 Policy (see http://www.thecha.org/pages/Section_3/65.php or the copy included in the solicitation) as may be required. Contractor's Section 3 Utilization Plan is attached hereto as Exhibit IV and is incorporated by reference herein.
- ii. The Contractor and its subcontractors shall provide all required compliance data with respect to Contractor's Section 3 requirements to the CHA via CHA's electronic system available at <https://cha.diversitycompliance.com/>. The Contractor and its subcontractors shall be responsible for responding to any requests for data or information by the noted response due dates, and shall check the electronic system on a regular basis to manage contact information and contract records. The Contractor shall also be responsible for ensuring that all subcontractors have completed all requested items with complete and accurate information and that their contact information is current.

4. This Section 3 Contract Provision shall flow down to each subcontract at every tier.

Section 2.06 Ownership of Documents: Records and Reports

A. All memoranda, pleadings, documents, discovery items, notes, photographs, inspection reports, investigation reports, books, records, computer-generated information, computer-stored information, research, opinions, data, studies, reports, findings or information in any form, including Work Product, generated, prepared, assembled or encountered by or provided to the Legal Counsel under this Agreement are the property of the CHA ("CHA Information").

During the performance of the Legal Services, the Legal Counsel shall be responsible for any loss or damage to such CHA Information while in the Legal Counsel's possession and such CHA Information shall be restored at the expense of the Legal Counsel. If not restorable, the Legal Counsel shall be responsible for any loss suffered by the CHA on account of such destruction.

B. Legal Counsel shall deliver or cause to be delivered any and all Work Product generated or prepared for the CHA under the terms and conditions of this Agreement, to the CHA promptly in accordance with the time limits prescribed in this Agreement, and if no time limit is specified, upon reasonable demand therefor or upon termination or completion of the Legal Services hereunder. Whenever the Chief Legal Officer makes a request for any Work Product, Legal Counsel shall deliver such Work Product without delay despite any ongoing disputes relative to compensation or other matters. In the event of the failure by Legal Counsel to make such delivery upon demand, then and in that event, Legal Counsel shall pay to the CHA any damages, including, but not limited to attorneys' fees and costs, the CHA may sustain due to Legal Counsel's failure to deliver such Work Product. Legal Counsel shall maintain any such records and Work Product provided to the CHA or not demanded by the CHA for a period of five (5) years after the final payment is made and all pending matters are closed in connection with this Agreement.

C. Legal Counsel shall maintain its books, records, documents, and other evidence and adopt accounting procedures and practices sufficient to reflect properly all costs of whatever nature claimed to have been incurred and anticipated to be incurred for or in connection with the performance of this Agreement. This system of accounting shall be in accordance with generally accepted accounting principles and practices, consistently applied throughout.

D. Legal Counsel and any of Legal Counsel's attorneys shall furnish the Office of the Chief Legal Officer with such information as may be requested relative to the performance and cost of the Legal Services. Legal Counsel shall maintain records showing actual time devoted and costs incurred. Legal Counsel shall keep books, documents, papers, records and accounts in connection with the Legal Services open to an independent audit to be conducted by the CHA or third party, and allow inspection, copying, abstracting and transcriptions and shall make these records available to the CHA and any other interested governmental agency, at reasonable times during the performance of its Legal Services. In addition, Legal Counsel shall retain them in a safe place and make them available for an independent audit to be conducted by the CHA or third party, and allow inspection, copying and abstracting for at least five (5) years after the final payment is made and all pending matters are closed in connection with this Agreement.

E. Legal Counsel shall prepare and submit reports to the CHA as directed by the Chief Legal Officer. To the extent Legal Counsel provides litigation services under this Agreement, Legal Counsel shall provide litigation status reports to the Chief Legal Officer as described in detail in the attached Exhibit III.

Section 2.07 Audit Requirement

The Office of the Chief Legal Officer shall review all invoices for legal services submitted by Legal Counsel. Payment of any invoice by the CHA does not constitute a waiver of the CHA's rights to subsequently question, compromise or request repayment or future credit for any invoice previously paid.

The CHA retains the right to audit, through its staff or independently, all bills or files which are or have been the subject matter of any billing in the past. Such an audit will require Legal Counsel to produce any and all documentation which would support the billing submitted by Legal Counsel. Legal Counsel will produce any individual who has submitted billing on behalf of the firm, as well as any of Legal Counsel's personnel who would have knowledge or information regarding any billing to answer any and all questions regarding the billings. Legal Counsel, subject to these guidelines, acknowledges without protest that the CHA may utilize either its own personnel or personnel from an outside auditing service to perform such audits.

If Legal Counsel is found in non-compliance with these audit requirements, by either the CHA or HUD, Legal Counsel will be required to refund any payments received from the CHA or HUD.

Section 2.08 Confidentiality

Legal Counsel agrees that all CHA Information, including, but not limited to Work Product, reports and documents prepared, assembled or encountered by or provided to Legal Counsel pursuant to this Agreement are to remain confidential ("Confidential Information"). Further, Legal Counsel agrees that without the prior written approval of the CHA, Confidential Information shall not be made available to any individual or organization other than the CHA, except as required pursuant to a discovery procedure, orders of courts of competent jurisdiction or administrative agencies or pursuant to a subpoena. Legal Counsel agrees to HUD requirements on access to records at in 2 C.F.R. Part 200, and in the HUD General Conditions for Non-Construction Contracts (HUD-5370-C) Section 4, to the extent that the attorney-client or attorney work product privileges would not be at risk of being waived.

Section 2.09 Subcontracts and Assignments

Legal Counsel shall not assign, delegate or otherwise transfer all or any part of its rights or obligations under this Agreement or any part hereof, unless otherwise provided for herein or pursuant to the express prior written consent of the CHA. The absence of such express prior written approval shall void the attempted assignment, delegation or transfer and such attempted assignment, delegation or transfer shall be of no effect as to the Legal Services or this Agreement. Legal Counsel shall not subcontract with any attorney or sub-consultant without the express prior written consent of the CHA.

Legal Counsel shall not transfer or assign any funds or claims due or which may become due under this Agreement without the express prior written approval of the CHA. The attempted transfer or assignment of any contract funds, either in whole or in part, or any interest therein, which shall be due or to become due to Legal Counsel without such prior written approval shall have no effect upon the CHA. The CHA expressly reserves the right to assign or otherwise transfer all or any part of its rights or interests hereunder.

Section 2.10 Patents and Copyrights

The CHA reserves an exclusive, perpetual and irrevocable license to reproduce, publish or otherwise use, and to authorize others to use, for CHA purposes, including, but not limited to, commercial exploitation: (a) the copyright or patent in any Work Product developed under this

Agreement; and (b) any rights of copyright or patent to which Legal Counsel purchases ownership with the funds awarded pursuant to this Agreement.

However, if HUD determines that the patent or copyright, which is either developed or purchased by Legal Counsel, serves a Federal Government purpose, a royalty-free, nonexclusive and irrevocable license shall vest in HUD.

Any discovery or invention (37 C.F.R. part 401) arising out of, or developed in conjunction with the Legal Services to be performed under this Agreement shall be promptly and fully reported to the CHA to submit to HUD for a determination as to whether patent protection on such invention or discovery should be sought. The rights to such patent shall be administered as set forth above.

Section 2.11 Religious Activities

Legal Counsel agrees that in connection with the Legal Services to be provided to the CHA under this Agreement:

A. It shall not discriminate against any person on the basis of religion and shall not limit employment or give preference in employment to persons on the basis of religion;

B. It shall not discriminate against any person applying for employment on the basis of religion and shall not limit such Legal Services or give preference to persons on the basis of religion; and

C. It shall provide no religious instruction or counseling, conduct no religious worship or services, engage in no religious proselytizing, and exert no other religious influence in the provision of such Legal Services.

Section 2.12 Drug-Free Workplace

Legal Counsel shall establish procedures and policies to promote a "Drug-Free Workplace." Further, Legal Counsel shall notify its employees of this policy for maintaining a "Drug-Free Workplace," and the penalties which may be imposed for drug abuse violations occurring in the workplace.

Section 2.13 Submission of Papers and Documents

During the course of litigation and from time to time, Legal Counsel may be required to submit to the Regional Counsel for Region V, U.S. Department of Housing and Urban Development, 77 West Jackson Boulevard, 26th Floor, Chicago, Illinois, or other HUD Counsel designated by the Regional Counsel for Region V, a copy of all pleadings, motions, orders, briefs, legal opinions or memoranda for which fees are charged, as well as a copy of papers and briefs filed by Legal Counsel for other parties.

Section 2.14 Settlements

No settlement offer arising out of litigation shall be made or accepted by Legal Counsel without the prior concurrence of the CHA. Settlements additionally may also require the approval of the CHA Board of Commissioners and HUD.

Section 2.15 Appeals

The CHA or Legal Counsel shall not undertake an appeal or cross-appeal from a judgment without prior concurrence from HUD. A recommendation for, or against, an appeal shall be communicated to the Regional Counsel for Region V, which communication shall set forth the facts, the legal considerations and other arguments upon which the recommendations are based. The last day to file a notice of appeal shall be clearly indicated.

Section 2.16 Compliance with other HUD Requirements

Legal Counsel agrees to comply with applicable HUD requirements, including the Annual Contributions Contract between the CHA and HUD, the HUD Litigation Handbook 1530.1 REV-5, the standard General Conditions of the Contract (Non-Construction), Form HUD-5370-C attached hereto as Exhibit VII.

ARTICLE 3 TERM OF SERVICES

Section 3.01 Term of Agreement

This Agreement shall take effect as of January 22, 2020, and shall continue for a term of two (2) years through January 21, 2022, or until the Legal Services assigned during the two-year term or option term, if any, are completed, whichever is later. However, the Agreement may be terminated in accordance with Sections 7.02 and 7.03.

Section 3.02 Timeliness of Performance

Legal Counsel shall use its best efforts to provide the Legal Services and Work Products within the time limits required under this Agreement as applicable, or from time to time as required by the Chief Legal Officer. Legal Counsel acknowledges that often deadlines for the Legal Services are dictated by the requirements of agencies or events outside the control of the CHA, that failure by Legal Counsel to meet these deadlines may result in economic or other losses to the CHA, and that in those circumstances, **Time Is Of The Essence**.

Section 3.03 Contract Extension Options

The Chief Legal Officer may at any time prior to the expiration of this Agreement elect to extend this Agreement subject to HUD approval up to a one (1) year period under the same terms and conditions as this original Agreement, except as provided otherwise in this Agreement, by notice in writing to the Legal Counsel.

The Chief Legal Officer may grant extensions to Legal Counsel for a total not to exceed one (1) consecutive year. The Agreement shall be modified to reflect the time extension in accordance with the provisions of Section 9.03 hereof.

ARTICLE 4 COMPENSATION AND FUNDING

Section 4.01 Basis and Method of Payment

A. The basis of payment for the satisfactory performance of the Legal Services required hereunder shall be reasonable attorney's fees at not more than the hourly rate(s) set forth

in the Hourly Rate Schedule or Flat Rate Fee attached hereto as Exhibit II and incorporated by reference as if fully set forth herein. Legal Services will be assigned and performed by a Task Order to this Agreement in accordance with the provisions of Section 9.03 hereof. A Task Order for Legal Services shall not exceed \$200,000.00 and if payment of attorneys' fees and costs for said Task Order exceeds \$200,000.00, the increase must be approved by the CHA Board of Commissioners and HUD prior to payment.

B. Legal Counsel will be paid based on hours actually worked at not more than the agreed rate(s) set forth in Exhibit II. As a condition precedent for any payment to Legal Counsel under this Agreement, Legal Counsel shall submit to the CHA a statement of account which clearly sets forth at least the following information by dates (month, day, year): (1) the full name and number of the matter; (2) a detailed description of legal work performed; (3) the full name of the individual(s) who performed the work; (4) the amount of time billed to the tenth of an hour and appropriately charged for each described legal service/activity; and (5) the total number of hours charged under each rate for each attorney or paralegal.

Section 4.02 Funding, Budgets and Reimbursable Expenses

A. Pursuant to the CHA Outside Counsel Billing Guidelines, Legal Counsel shall prepare a legal services budget and submit the budget to the Chief Legal Officer. Legal Counsel is also required to prepare revisions of the legal services budget, as needed.

B. As detailed in the CHA Outside Counsel Billing Guidelines, Legal Counsel will be reimbursed for necessary out-of-pocket expenses such as filing costs, witness fees, printing and copying costs and similar expenses relating to the Legal Services, provided that such expenses shall not include Legal Counsel's normal office operating expenses.

Section 4.03 Non-Appropriation

Funding for this Agreement is subject to (1) availability of Federal funds from HUD, (2) the approval of funding by the CHA Board of Commissioners and the HUD Office of Regional Counsel, and (3) the Legal Counsel's satisfactory performance of the Legal Services. Furthermore, in the event that no funds or insufficient funds are appropriated and budgeted in any fiscal period of the CHA for payments to be made under this Agreement, then the CHA may notify Legal Counsel of such occurrence and this Agreement shall terminate on the earlier of the last day of the fiscal period for which sufficient appropriation was made or whenever the funds appropriated for payment under this Agreement are exhausted. No payments shall be made to Legal Counsel under this Agreement beyond those amounts appropriated and budgeted by the CHA to fund payments hereunder. To the extent this Agreement is terminated due to the non-appropriation of funds, Legal Counsel shall turn over all Work Product to the Chief Legal Officer.

ARTICLE 5 DISPUTES

Except as otherwise provided in this Agreement, either Legal Counsel or the Chief Legal Officer shall bring any dispute concerning a question of fact arising under this Agreement which is not resolved to the CHA's Director of Procurement and Contracts for decision upon written submissions of the parties. The Director of Procurement and Contracts shall reduce his or her decision to writing and mail or otherwise furnish a copy of his decision to Legal Counsel. The decision of the Director of Procurement and Contracts shall be final and binding.

ARTICLE 6 RISK MANAGEMENT

Section 6.01 Insurance

Legal Counsel shall procure and maintain professional liability insurance in the amount of at least \$2,000,000.00 to protect the CHA from the acts, omissions and negligence of Legal Counsel, its partners, attorneys, agents, or employees. Legal Counsel will provide CHA on an annual basis Certificates of Insurance for the required insurance coverage. In addition, Legal Counsel shall notify the CHA of any change(s) in such insurance coverage, and hereby agrees to authorize its insurer to notify the CHA upon the occurrence of any material change(s) in coverage, including but not limited to, cancellation, non-renewal, reduction in coverage, or receipt of a claim against such policy or coverage with a potential recovery in excess of twenty (20%) percent of the amount of available coverage.

Legal Counsel shall require all attorney subcontractors to carry the insurance required in the amount required herein or the Legal Counsel may provide the coverage for any or all of its subcontractors, and if so, the evidence of insurance submitted shall so stipulate and adhere to the same requirements and conditions as outlined in this Agreement.

Legal Counsel expressly understands and agrees that, whenever the Legal Counsel is covered by other primary, excess, or excess contingent insurance, any insurance or self-insurance programs maintained by the CHA shall apply in excess thereto and shall not contribute to insurance provided by Legal Counsel under this Agreement.

ARTICLE 7 EVENTS OF DEFAULT, REMEDIES, TERMINATION, SUSPENSION

Section 7.01 Events of Default Defined

The following shall constitute events of default:

A. Any material misrepresentation, whether negligent or willful and whether in the inducement or in the performance, made by Legal Counsel to the CHA.

B. Legal Counsel's material failure to perform any of its obligations under this Agreement including, but not limited to, the following:

1. Failure to perform the Legal Services with sufficient personnel and equipment or with sufficient material to ensure the performance of the Legal Services or due to a reason or circumstances within Legal Counsel's reasonable control;
2. Failure to perform the Legal Services in a manner satisfactory to the CHA, or inability to perform the Legal Services satisfactorily as a result of insolvency, filing for bankruptcy or assignment for the benefit of creditors;
3. Failure to promptly re-perform within a reasonable time Legal Services/Work Product that were rejected as erroneous or unsatisfactory;

4. Discontinuance of the Legal Services for reasons or circumstances within Legal Counsel's reasonable control;
5. Failure to comply with a material term of this Agreement, including, but not limited to, the provisions concerning compliance with HUD regulations, insurance and nondiscrimination;
6. Failure to follow status reporting and budgeting requirements of the Chief Legal Officer;
7. Any other acts specifically and expressly stated in this Agreement as constituting an event of default; and
8. Failure to have and maintain the required licenses and certifications.

C. Any change in ownership or control of Legal Counsel without the prior approval of the Chief Legal Officer, which shall not be unreasonably withheld.

D. Legal Counsel's default under any other agreement it may presently have or may enter into with the CHA during the term of this Agreement. Legal Counsel acknowledges and agrees that, in the event of a default under this Agreement, the CHA may also declare a default under any such other agreements.

Section 7.02 Remedies

The occurrence of any event of default as described in Section 7.01 hereof which Legal Counsel has failed to cure within thirty (30) business days after receipt of notice given in accordance with the terms of this Agreement and specifying the event of default or, if such event of default cannot be reasonably cured within thirty (30) business days after notice, or if Legal Counsel has failed, in the sole opinion of the CHA, to commence and continue diligent efforts to cure, the CHA may, at its sole option, declare Legal Counsel in default. Whether to declare Legal Counsel in default is within the sole discretion of the Chief Legal Officer and neither that decision nor the factual basis for it is subject to review or challenge under the disputes provision of this Agreement. Written notification of the default, and any intention of the CHA to terminate the Agreement, shall be provided to Legal Counsel and such decision shall be final and effective upon Legal Counsel's receipt of such notice pursuant to Article 10. Upon giving such notice, the CHA may invoke any or all of the following remedies:

A. The right to take over and complete the Legal Services or any part thereof as agent for and at the cost of Legal Counsel, either directly or through others. Legal Counsel shall have, in such event, the right to offset from such cost the amount it would have cost the CHA under the terms and conditions of this Agreement, had Legal Counsel completed the Legal Services;

B. The right to terminate this Agreement as to any or all of the Legal Services yet to be performed effective at a time specified by the CHA;

C. Any appropriate equitable remedy;

D. The right to money damages, including but not limited to attorney's fees and costs;

E. The right to withhold all or any part of Legal Counsel's compensation hereunder; and,

F. The right to deem Legal Counsel non-responsible for future contracts to be awarded by the CHA.

If the CHA considers it to be in its best interests, it may elect not to declare default or to terminate the Agreement hereunder. The parties acknowledge that this provision is solely for the benefit of the CHA and that if the CHA permits Legal Counsel to continue to provide the Legal Services despite one or more events of default, Legal Counsel shall in no way be relieved of any of its responsibilities, duties or obligations under this Agreement nor shall the CHA waive or relinquish any of its rights.

The remedies under the terms of this Agreement are not intended to be exclusive of any other remedies provided, but each and every such remedy shall be cumulative and shall be in addition to any other remedies, existing now or hereafter, at law, in equity or by statute. No delay or failure to exercise any right or power accruing upon any event of default shall impair any such right or power nor shall it be construed as a waiver of any event of default or acquiescence therein, and every such right and power may be exercised from time to time and as often as may be deemed expedient.

Section 7.03 Termination for Convenience

The CHA may terminate this Agreement, or all or any portion of the Legal Services to be performed under it, at any time by a notice in writing from the CHA to Legal Counsel when the CHA deems the Agreement to be no longer in the best interests of the CHA. If the CHA elects to terminate the Agreement in full, all Legal Services to be provided hereunder shall cease upon the effective date stated in the notice, or if no date is stated in the notice, then the termination date shall be effective ten (10) days after the date the notice is received. Any notice shall be given in accordance with Article 10 of this Agreement.

If the CHA's election to terminate this Agreement for default pursuant to Section 7.02 hereof is determined in a court of competent jurisdiction to have been wrongful, then, in that case, the termination shall be deemed to be a termination for convenience pursuant to this Section 7.03.

Section 7.04 Suspension

The CHA may at any time request that Legal Counsel suspend its Legal Services, or any part thereof, by giving ten (10) days prior written notice to Legal Counsel or immediately in the event of emergency. No costs incurred after the effective date of such suspension shall be allowed. Legal Counsel shall promptly resume its performance of such Legal Services under the same terms and conditions as stated herein upon written notice by the Chief Legal Officer and such equitable extension of time as may be mutually agreed upon by the Chief Legal Officer and Legal Counsel when necessary for continuation or completion of the Legal Services.

No suspension of this Agreement shall in the aggregate exceed a period of forty-five (45) days within any one contract year. If the total number of days of suspension exceeds forty-five (45) days, Legal Counsel shall treat such suspension as a termination for convenience upon written notice by the CHA pursuant to Section 7.03 of this Agreement.

Section 7.05 No Damages for Delay

Legal Counsel agrees that it shall make no claims against the CHA for damages, services charges, additional costs or fees incurred by reason of delays or hindrances by the CHA in the performance of Legal Counsel's obligations under this Agreement.

ARTICLE 8 SPECIAL CONDITIONS

Section 8.01 Warranties and Representations

In connection with the execution of this Agreement, Legal Counsel warrants and represents:

A. That it is financially solvent; that it and each of its partners, attorneys, employees, agents, subcontractors of any tier are competent to perform the Legal Services required under this Agreement; and that Legal Counsel is legally authorized to execute and perform or cause to be performed this Agreement under the terms and conditions stated herein;

B. That no officer, agent or employee of the CHA is employed by Legal Counsel or has a financial interest directly or indirectly in this Agreement or the compensation to be paid hereunder except as may be permitted in writing by the CHA Board of Commissioners and the HUD Office of Regional Counsel and that no payment, gratuity or offer of employment shall be made in connection with this Agreement by or on behalf of Legal Counsel to any CHA employee or on behalf of any sub-consultants to Legal Counsel or higher tier sub-consultants or anyone associated therewith, as an inducement for the award of this contract or a subcontract or Task Order; and Legal Counsel further acknowledges that any agreement entered into, negotiated or performed in violation of any of the provisions set forth herein shall be voidable as to the CHA;

C. That Legal Counsel shall not use the services of any ineligible (debarred or suspended) attorney or consultant for any purpose in the performance of its Legal Services under this Agreement; and

D. That Legal Counsel and its attorneys and sub-consultants are not in default at the time of the execution of this Agreement, or deemed by the Chief Legal Officer to have, within five (5) years immediately preceding the date of this Agreement, been found to be in default on any contract awarded by the CHA;

E. That Legal Counsel has carefully examined and analyzed the provisions and requirements of this Agreement; that it understands the nature of the Legal Services required; that from its own analysis it has satisfied itself as to the nature of all things needed for the performance of this Agreement, the general and special conditions, and all other matters which in any way may affect this Agreement or its performance; and that the time available to it for such examination, analysis, and preparation was adequate;

F. That the Agreement is feasible of performance in accordance with all of its provisions and requirements and that Legal Counsel can and shall perform, or cause to be performed, the Legal Services in strict accordance with the provisions and requirements of this Agreement;

G. That, except only for those representations, statements, or promises expressly contained in this Agreement, and any exhibits attached hereto, and incorporated by reference herein, no representation, statement or promise, oral or in writing, or of any kind whatsoever, by the CHA, its officers, agents or employees, has induced Legal Counsel to enter into this Agreement or has been relied upon by Legal Counsel;

H. That Legal Counsel, its partners and attorneys are in good standing with the Illinois Attorney Registration and Disciplinary Board;

I. That Legal Counsel acknowledges that the CHA, in its selection of the Legal Counsel to perform the Legal Services hereunder, materially relied upon the Legal Counsel's proposal, that the aforesaid information was accurate at the time it was made, that no material changes to that proposal have been nor will be made without the express consent of the CHA;

J. That Legal Counsel understands and agrees that any certification, affidavit or acknowledgement made under oath in connection with this Agreement is made under penalty of perjury and, if false, is also cause for termination to this Agreement;

K. That Legal Counsel, its partners and attorneys, are not in violation of the provisions of U.S.C. Sec. 666 (a)(1) and the Illinois Criminal Code, 720 ILCS 5/33E-6 et seq., as amended respectively; and

L. That Legal Counsel shall act in accordance with the CHA's Ethics Policy, as amended from time to time.

Section 8.02 Joint and Several Liability

In the event that Legal Counsel, or its successors or assigns, if any, is comprised of more than one individual or other legal entity (or a combination thereof), each and every obligation or undertaking herein stated to be fulfilled or performed by the Legal Counsel shall be the joint and several obligation or undertaking of each such individual or other legal entity.

Section 8.03 Business Documents and Contractor's Affidavit

To the extent applicable, Legal Counsel shall provide upon CHA request copies of its latest articles of incorporation, by-laws and resolutions, or partnership or joint venture agreements, as applicable, and evidence of its authority to do business in the State of Illinois, including without limitation, registration as a sole proprietor or registrations of assumed names or limited partnerships.

Legal Counsel shall execute a Contractor's Affidavit before a notary public, and the Contractor's Affidavit shall be attached hereto as Exhibit V and incorporated by reference as if fully set forth herein.

Section 8.04 Conflict of Interest and Anti-Lobbying

A. No member of the governing body of the CHA or other units of government and no other officer, employee, or agent of the CHA or other unit of government who exercises any functions or responsibilities in connection with the Legal Services to which this Agreement pertains, shall have any personal interest, direct, or indirect, in this Agreement. No member of or

delegate to the Congress of the United States or the Illinois General Assembly and or CHA executive or senior staff or employee shall be admitted to any share or part of this Agreement or to any financial benefit to arise from it.

B. Legal Counsel covenants that its partners, attorneys and employees, or sub-consultants, presently have no interest and shall acquire no interest, direct or indirect, in this Agreement which would conflict in any manner or degree with the performance of the Legal Services hereunder. Legal Counsel further covenants that in the performance of this Agreement no person having any such interest shall be employed. Legal Counsel will insure that it and persons working on its behalf do not undertake any representation or other relationship that places Legal Counsel or the CHA in an actual or potential conflict of interest with any other individual or entity. Legal Counsel will advise the CHA in writing of any situation or representation that constitutes or appears to constitute an actual or potential conflict of interest immediately upon learning of such a situation or representation and will inform the CHA in writing of corrective courses of action available. Legal Counsel agrees to request a waiver of the conflict of interest from the Chief Legal Officer. Legal Counsel must fully detail the nature of the conflict of interest. Any waiver of the conflict of interest from the Chief Legal Officer must be in writing. Legal Counsel agrees that if the CHA determines that any of the Legal Counsel's legal services for others conflict with the Legal Services to be rendered under this Agreement, Legal Counsel shall terminate such other services immediately.

C. Additionally, pursuant to the conflict of interest requirements in OMB Circular A-102 and 2 CFR sec. 200.318(c)(1), no person who is an employee, agent, consultant, officer, or appointed official of the CHA and who exercises or has exercised any functions or responsibilities with respect to HUD assisted activities, or who is in a position to participate in a decision making process or gain inside information with regard to such HUD activities, may obtain a financial interest or benefit from the activity, or have an interest in any contract, subcontract, or agreement with respect thereto, or the proceeds thereunder, either for itself or for those whom it has family or business ties, during his or her tenure with the CHA or for one year thereafter.

D. Furthermore, Legal Counsel represents that it is and will remain in compliance with federal restrictions on lobbying set forth in Section 319 of the Department of the Interior and Related Agencies Appropriations Act for Fiscal Year 1990, 31 U.S.C. Sub-Section 1352, and related rules and regulations set forth at 54 Fed. Reg. 52,309 ff. (1989), as amended.

Section 8.05 Non-Liability of Public Officials

No official, employee or agent of the CHA shall be charged personally by Legal Counsel, or by any assignee or subcontractor of Legal Counsel, with any liability or expenses of defense or be held personally liable to Legal Counsel under any term or provision of this Agreement, because of CHA's execution or attempted execution of this Agreement, or because of any breach hereof.

Section 8.06 Independent Contractor

Legal Counsel shall perform under this Agreement as an independent contractor to the CHA and not as a representative, employee, agent, or partner of the CHA.

Section 8.07 Annual Contributions Contract

Notwithstanding any provision contained herein to the contrary, the CHA and Legal Counsel hereby certify that Legal Counsel's Legal Services shall be performed in accordance with the provisions of the Annual Contributions Contract between HUD and the CHA.

ARTICLE 9 GENERAL CONDITIONS

Section 9.01 Entire Agreement

This Agreement, comprised of this Agreement and the Exhibits attached hereto and incorporated herein, shall constitute the entire agreement between the parties with respect to the subject matter hereof and no other warranties, inducements, considerations, promises, or interpretations shall be implied or impressed upon this Agreement.

Section 9.02 Counterparts

This Agreement is comprised of several identical counterparts, each to be fully executed by the parties and each to be deemed an original having identical legal effect.

Section 9.03 Amendments, Task Orders and Approvals

A. No changes, amendments, modifications, or discharge of this Agreement, or any part thereof, shall be valid unless in writing and signed by the authorized agent of Legal Counsel and by either the Chief Legal Officer or the Chief Executive Officer of the CHA or their respective designees. The CHA shall incur no liability for additional Legal Services without a prior written amendment to this Agreement.

B. Legal Services will be assigned and performed pursuant to a Task Order to this Agreement. The CHA shall not incur any liability for Legal Services without a prior written Task Order to this Agreement pursuant to this section. No Task Order to this Agreement, or any part thereof, shall be valid unless in writing and signed by the authorized agent of Legal Counsel and by the Chief Legal Officer of the CHA or their respective successors and assigns. A Task Order for Legal Services shall not exceed \$200,000.00 unless authorized in writing.

C. Whenever in this Agreement, Legal Counsel is required to obtain prior written approval, the effect of any approval that may be granted shall be prospective only from the later of the date approval was requested or the date on which the action for which the approval was sought is to begin. In no event may approval apply retroactively to a date before the approval was requested.

D. In the event Legal Counsel is handling an existing CHA matter pursuant to a previous Agreement and Task Order, upon the execution of the new Agreement, that matter may be assigned and performed pursuant to the new Agreement and to a new Task Order.

Section 9.04 Compliance with All Laws

The Legal Counsel shall at all times observe and comply with all applicable laws, ordinances, rules, regulations (including but not limited to HUD regulations) and executive orders of the federal, state and local government, now existing or hereinafter in effect, which may in any

manner affect the performance of this Agreement. Provisions(s) required by law, ordinances, rules, regulations, or executive orders to be inserted shall be deemed inserted whether or not they appear in this Agreement or, upon application by either party, this Agreement shall forthwith be amended to literally make such insertion; however, in no event shall the failure to insert such provision(s) prevent the enforcement of this Agreement or such provision(s).

In furtherance (but not in limitation) of the immediately preceding paragraph, the Legal Counsel shall at all times observe and comply with, as applicable, the Uniform Administrative Requirements contained in 24 C.F.R. 200 et seq. (including but not limited to the provisions included in Appendix II to Part 200 referenced in 24 C.F.R. 200.326) incorporated into and made a part of this Agreement by this reference), as amended; Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d et seq.), as amended; the Fair Housing Act (42 U.S.C. 3601 et seq.), as amended; Exec. Order No. 11,063 (27 Fed. Reg. 11,527 (1962)), as amended by Exec. Order No. 12,259 (46 Fed. Reg. 1,253 (1980)); the Age Discrimination Act of 1975 (42 U.S.C. 6101 et seq.), as amended; the Rehabilitation Act of 1973 (29 U.S.C. 794), as amended; the Davis-Bacon Act (40 U.S.C. 276a et seq.), as supplemented by Department of Labor regulations (29 C.F.R. Part 5), each as amended; the Contract Work Hours and Safety Standards Act (40 U.S.C. 327 et seq.), as supplemented by Department of Labor regulations (29 C.F.R. Part 5), each as amended; the National Environmental Policy Act of 1969 (42 U.S.C. 4321 et seq.), as amended; the Clean Air Act (42 U.S.C. 7401 et seq.), as amended; the Federal Water Pollution Control Act (33 U.S.C. 1251 et seq.), as amended; Exec. Order No. 11,246 (30 Fed. Reg. 12,319 (1965)), Exec. Order Nos. 12,086 (43 Fed. Reg. 46,501 (1978)) and 11,375 (32 Fed. Reg. 14,303 (1967)); Exec. Order No. 12,372 (47 Fed. Reg. 30,959 (1982)); the Copeland "Anti-Kickback" Act (18 U.S.C. 874 and 40 U.S.C. 276c), as supplemented by Department of Labor regulations (29 C.F.R. Part 3), each as amended; the Byrd "Anti-Lobbying" Amendment (31 U.S.C. 1352), as amended; Exec. Orders 12,549 (51 Fed. Reg. 6,370-71 (1986)) and 12,689 (54 Fed. Reg. 34,131 (1989)) and the Mandatory Standards and Policies relating to energy efficiency which are contained in the state energy conservation plan issued in compliance with the Energy Policy and Conservation Act (Pub. L. 94-163, 89 Stat. 871). Additionally, the Legal Counsel shall comply with the applicable provisions of OMB Circulars A-133, A-102, A-122, A-110 and A-87, as amended, succeeded or revised.

The Legal Counsel shall take such actions as may be necessary to comply promptly with any and all governmental orders imposed by any duly constituted government authority whether imposed by federal, state, county or municipal authority.

Section 9.05 Governing Law

This Agreement shall be governed as to performance and interpretation in accordance with the laws of the State of Illinois. Legal Counsel hereby irrevocably submits itself to the original jurisdiction of those courts located within the County of Cook, State of Illinois, with regard to any controversy arising out of, relating to, or in any way concerning the execution or performance of this Agreement. Legal Counsel agrees that service of process on Legal Counsel may be made, at the option of the CHA, either by registered or certified mail addressed to the applicable office as provided for in this Agreement, by registered or certified mail addressed to the office actually maintained by Legal Counsel or by personal delivery on any officer, director, or managing or general agent of Legal Counsel. Nothing stated herein shall be construed as a waiver or modification of the requirements for notice or service of process of litigation, as set forth in the Illinois Code of Civil Procedure, the Federal Rules of Civil Procedure, the local rules of the Circuit Court of Cook County, and the local rules governing U.S. District Court for the Northern District of Illinois.

Section 9.06 Severability

If any provisions of this Agreement shall be held, or deemed to be, or shall, in fact, be inoperative or unenforceable as applied in any particular case in any jurisdiction or in all cases because it conflicts with any other provision or provisions hereof or of any constitution, statute, ordinance, rule of law or public policy, or for any other reason, such circumstances shall not have the effect of rendering the provision in question inoperative or unenforceable in any other case or circumstances, or of rendering any other provision or provisions herein contained invalid, inoperative, or unenforceable to any extent whatever. The invalidity of any one or more phrases, sentences, clauses or sections contained in this Agreement shall not affect the remaining portions of this Agreement or any part thereof.

Section 9.07 Interpretation

Any headings of this Agreement are for convenience of reference only and do not define or limit the provisions thereof. Words of any gender shall be deemed and construed to include correlative words of the other gender. Words importing the singular number shall include the plural number and vice versa, unless the context shall otherwise indicate. All references to any exhibit or document shall be deemed to include all supplements and/or amendments to any such exhibits or documents entered into in accordance with the terms and conditions hereof. All references to any person or entity shall be deemed to include any person or entity succeeding to the rights, duties, and obligations of such persons or entities in accordance with the terms and conditions of this Agreement.

Section 9.08 Assigns

All of the terms and conditions of this Agreement shall be binding upon and inure to the benefit of the parties hereto and their respective legal representatives, successors, transferees and assigns.

Section 9.09 Cooperation

Legal Counsel agrees at all times to cooperate fully with the CHA and to act in the CHA's best interests. If this Agreement is terminated for any reason or expires on its own terms, Legal Counsel shall make every effort to assure an orderly transition to another legal counsel, if any, undertake the orderly demobilization of its own operations in connection with the Legal Services, and guarantee the uninterrupted provision of Legal Services during any transition period. Legal Counsel shall also otherwise comply with the reasonable requests and requirements of the CHA in connection with the termination or expiration of this Agreement.

Section 9.10 Miscellaneous Provisions

Whenever, under this Agreement, the CHA by a proper authority waives Legal Counsel's performance in any respect or waives a requirement or condition to either the CHA's or Legal Counsel's performance, the waiver so granted, whether express or implied, shall only apply to the particular instance and shall not be deemed a waiver forever or for subsequent instances of the performance, requirement or condition. No such waiver shall be construed as a modification of the Agreement regardless of the number of times the CHA may have waived the performance, requirement or condition.

ARTICLE 10 COMMUNICATION AND NOTICES

Section 10.01 Communication Between the Parties

All verbal and written communication including required reports and submissions between Legal Counsel and CHA shall be to the Office of the Chief Legal Officer. No verbal communication between the parties shall change any of the terms and conditions of this Agreement.

Section 10.02 Notices

Any notices sent to Legal Counsel shall be mailed by U.S. mail, postage prepaid to:

Mr. Joseph J. Perkoski, Managing Partner
Robbins Schwartz
55 West Monroe Street, Suite 800
Chicago, Illinois 60603

Notices sent to the CHA shall be mailed by U.S. mail, postage prepaid to:

Office of the Chief Legal Officer
Chicago Housing Authority
60 East Van Buren, 12th Floor
Chicago, Illinois 60605
Attention: Chief Legal Officer

ARTICLE 11 AUTHORITY

Section 11.01 CHA's Authority

Execution of this Agreement is pursuant to the United States Housing Act of 1937, 42 U.S.C. §1437 et seq.; regulations promulgated by HUD (also see HUD Litigation Handbook), and the Illinois Housing Authorities Act, 310 ILCS 10/1 et seq., as amended, and other applicable laws, regulations and ordinances.

Section 11.02 Conflicts

In the event of any conflict between the provisions of this Agreement and the regulations and/or policies of HUD, then the regulations and/or policies of HUD shall control.

Section 11.03 Legal Counsel's Authority

To the extent applicable, execution of this Agreement by Legal Counsel is authorized by a resolution of its Management Committee, if a professional corporation, and the signature(s) of each person signing on behalf of Legal Counsel have been made with complete and full authority to commit Legal Counsel to all terms and conditions of this Agreement, including each and every representation, certification and warranty contained herein, including without limitation such representations, certifications and warranties collectively attached hereto and incorporated by reference herein.

IN WITNESS WHEREOF, the CHA and Legal Counsel have executed this Agreement as of the date first written above.

CHICAGO HOUSING AUTHORITY

ROBBINS SCHWARTZ

By: Sheila Johnson
Sheila Johnson
Deputy Chief Procurement Officer

By: Frank B. Gauer III
(Its Partner or Authorized Officer)

DATE: 4-15-2020

FEIN NO: 

Approved as to form and legality for Chicago
Housing Authority purposes only:

CHICAGO HOUSING AUTHORITY
Office of the Chief Legal Officer

By: Cheryl J. Colston
Cheryl J. Colston
Chief Legal Officer

IN WITNESS WHEREOF, the CHA and Legal Counsel have executed this Agreement as of the date first written above.

CHICAGO HOUSING AUTHORITY

ROBBINS SCHWARTZ

By: _____
Sheila Johnson
Deputy Chief Procurement Officer

By: _____
(Its Partner or Authorized Officer)

DATE: _____

FEIN NO: 

Approved as to form and legality for Chicago
Housing Authority purposes only:

CHICAGO HOUSING AUTHORITY
Office of the Chief Legal Officer

By: _____
Cheryl J. Colston
Chief Legal Officer

EXHIBIT I

SCOPE OF SERVICES

Group F - Labor Negotiations and Employment Law Matters

Scope of Services:

The CHA employs approximately 600 staff to operate and maintain more than 25,000 units of conventional and scattered site public housing and oversee administration of the Section 8 housing choice voucher programs. Approximately sixty (60) of the CHA's employees are represented by two (2) unions:

- GENERAL SERVICE EMPLOYEES UNION, LOCAL NO. 73 OF THE SERVICE EMPLOYEES INTERNATIONAL UNION, AFL-CIO, CLC;
- INTERNATIONAL UNION OF OPERATING ENGINEERS, LOCAL 399, AFL-CIO;

Most of the collective bargaining agreements are for a term of two (2) years. On a case-by-case basis, Legal Counsel may be retained to represent the CHA during contract negotiations with various unions as well as representing the CHA in proceedings before the Illinois Local Labor Relations Board, in grievance hearings and in arbitration hearings and during negotiations. Legal Counsel should also be able to defend the CHA in litigation arising from the labor negotiations. Legal Counsel also may be required to provide advice and counsel on any matters within the full range of employment law.

Statement of Work:

Legal Counsel will be required to:

1. Be thoroughly knowledgeable about Illinois and Federal law pertaining to labor practices, and union rules and the full range of employment law;
2. Represent the interests of CHA management during contract negotiations, grievance and arbitration proceedings and draft appropriate agreements and documents in employment matters;
3. Coordinate negotiations with the CHA's Office of the General Counsel, the Chief Executive Officer and the Director of Human Resources;
4. Provide consultation and advice to the CHA's Office of the General Counsel, the Chief Executive Officer and the Director of Human Resources;
5. File status reports with the CHA's Office of the General Counsel;
6. Present one (1) training session for each contract year for the CHA's Office of the General Counsel personnel on a *pro bono* basis;
7. Provide periodic reports in a form prescribed by the CHA and send to the CHA's Office of the General Counsel, HUD, or others as directed by the CHA; and

8. Comply with the CHA's Office of the General Counsel's Outside Counsel Billing Guidelines.

Attorneys or law firms responding to Group F (Labor Negotiations and Employment Law Matters) shall have at least ten (10) years of significant legal experience in representing management in labor negotiations, grievance and arbitration hearings and employment law matters. Respondents shall submit a proposal based on hourly fees and are encouraged to submit a flat fee proposal for all contract negotiations. Respondents may also submit proposals for other forms of fee compensation. The CHA may contract with one or more Respondents to provide legal services related to labor matters based on the demonstrated ability of the Respondents and the needs of the CHA.

EXHIBIT II

HOURLY RATE SCHEDULE OR FLAT RATE FEE

HOURLY RATE SCHEDULE OR FLAT RATE FEE

Two (2) Year Base Term

ROBBINS SCHWARTZ

GROUP F: LABOR NEGOTIATIONS AND EMPLOYMENT LAW MATTERS

Hourly Rates for CHA:

Partner: \$185.00

Associate: \$185.00

Paralegal: \$ 65.00

Flat Rate (if applicable):

HOURLY RATE SCHEDULE OR FLAT RATE FEE

Option Year 1

ROBBINS SCHWARTZ

GROUP F: LABOR NEGOTIATIONS AND EMPLOYMENT LAW MATTERS

Hourly Rates for CHA:

Partner: \$185.00

Associate: \$185.00

Paralegal: \$ 65.00

Flat Rate (if applicable):

EXHIBIT III

CHA'S OUTSIDE COUNSEL BILLING GUIDELINES

**CHICAGO HOUSING AUTHORITY'S
OUTSIDE COUNSEL BILLING GUIDELINES**
(as of 12/01/16)

The Chicago Housing Authority ("CHA") retains a broad range of outside counsel to assist and augment its legal staff. A lawyer from the Chicago Housing Authority's Office of the Chief Legal Officer ("OCLO") will be designated as your firm's point of contact when dealing with the CHA ("Designated Contact"). The CHA, through its OCLO, is responsible for making all substantive decisions in matters for which outside counsel have been engaged.

These guidelines are applicable to all law firms retained by the CHA. If there are occasions or specific matters for which some of the procedures seem inappropriate, bring your concerns or special requests to the attention of your Designated Contact. The CHA reserves the right to modify these Billing Guidelines at any time.

STAFFING AND SUPERVISION

When the CHA retains outside counsel to work on a particular matter, we expect the lawyer whom we contact to be directly and intimately involved in that matter throughout its course, unless we otherwise specifically agree. We also expect to be consulted about other lawyers before they are assigned to work on any CHA matters and will not consider time expenditures for such lawyers to be authorized absent such consultation. You may not assign additional staff to any CHA matter without prior approval from the Designated Contact.

We expect that outside counsel will avoid:

- overstaffing CHA matters;
- shifting assigned personnel except when absolutely necessary and only when approved by the Designated Contact;
- charging for learning time of newly assigned lawyers when a shift in personnel is required;
- authorizing premature or peripheral legal or factual research;
- holding nonessential internal conferences about CHA matters; and
- routinely digesting, abstracting or summarizing documents and depositions; absent specific agreement otherwise.
- handling specific tasks through persons who are either overqualified (e.g., routine document review by a senior lawyer) or under-qualified (e.g., extensive research of general principles of law by junior associates);

The resources of the CHA's OCLO should be the starting point for your projects. For instance, it may be more efficient for us to gather and review files. For certain research activities (including legal research), or for business, financial or historical information, we expect you to look to the information and experience available through the CHA as a primary source. Accordingly, significant research projects and other non-routine activities that may involve the expenditure of considerable time by your firm should be discussed with us and approved in advance.

PROTOCOL

You and the Designated Contact should work closely together. In all circumstances, it is essential that you keep the Designated Contact fully and currently informed about the status of your matters and the import of new developments. By this we mean prompt personal communications where appropriate and periodic written status reports where appropriate.

You should consult with the Designated Contact regarding the various aspects of the matters to which you are assigned so that we can jointly determine whether, for example, a particular research project is necessary, a particular deposition makes sense from an economic standpoint, or a particular document production can be completed more economically in-house.

Should you communicate directly with any CHA employees outside of the Law Department or CHA vendors, you should report all such discussions on any matter of substance to the Designated Contact on the same day the matter is discussed.

All documents that you intend to file with a court or a government agency that may potentially affect the final disposition of a case must be sent to the Designated Contact with enough lead time to allow a meaningful review. Copies of final or as-filed documents should also be sent to the Designated Contact. In addition, the Designated Contact should be provided with copies of any memorandum, whether an internal research memorandum or one filed in a court, for which the CHA is to be charged a fee.

Settlement demands and overtures must be conveyed to the Designated Contact immediately. The Designated Contact will consult with the appropriate CHA official and will authorize settlement, if appropriate. No settlement may be entered into without prior approval of the Designated Contact.

Status Reporting for Personal Injury, Other Tort, Workers Compensation, and Employment-Related Litigation

Within two weeks of the receipt of a case or an assignment, you must acknowledge the acceptance in a letter directed to the Deputy General Counsel-Litigation enclosing the executed Task Order which should list the name of the responsible partner and any other lawyers or paralegals to be assigned to the specific matter. The acknowledgment letter should outline the activities to be performed within the first ninety days and provide a preliminary budget for those activities. Within ninety days thereafter, you should complete and forward a Status Report following a format provided by your Designated Contact. Your Status Report should provide the CHA with an initial evaluation and a proposed budget for the entire matter of the case or assignment. Interim status reports in letter form should be submitted every sixty days and should briefly update the information contained in the Status Report, even if there has been no activity.

As information becomes available, you should report all significant events directly to the Designated Contact. Significant events include depositions, witness interviews and court appearances. Depositions are to be briefly summarized in letter form and should include your impression of the witness, effect upon the case or assignment, effect on the CHA's strategy and recommendations for future activities.

Legal Counsel should notify the Designated Contact of all settlement conferences or trial dates as soon as the date is set, and they should discuss whether the Designated Contact or other CHA representative should attend any settlement conferences or trials.

At least six months prior to trial, Legal Counsel must submit a detailed evaluation of liability and damages for the case, including potential settlement amounts and verdict awards. You must obtain written authority from the Designated Contact to proceed to trial. During trial, you are expected to report daily to your Designated Contact.

All correspondence, significant pleadings, acknowledgment letters, Status Reports, information and documents should be forwarded to:

Deputy General Counsel - Litigation
Chicago Housing Authority
Office of the Chief Legal Officer
60 East Van Buren, Twelfth Floor
Chicago, IL 60605

Status Reporting for Non-Litigation Matters

Within two weeks of the receipt of an assignment on a non-litigation matter, you must acknowledge acceptance in a letter directed to the Designated Contact enclosing the executed Task Order which should list the name of the responsible partner and any other lawyers or paralegals to be assigned to the specific matter. The acknowledgment letter should outline the activities to be conducted within the first ninety days and provide a preliminary budget for those activities. Within ninety days thereafter, you must provide a budget through the conclusion of the matter. Legal Counsel and the Designated Contact should agree on the most appropriate reporting procedures thereafter.

All correspondence, significant matters, acknowledgment letters, Status Reports, information and documents should be forwarded to the appropriate Designated Contact at the address below:

Chicago Housing Authority
Office of the Chief Legal Officer
60 East Van Buren, Twelfth Floor
Chicago, IL 60605

BUDGET

You will be required to provide a budget when you are retained to handle a matter. Legal fees and costs must not exceed the budgeted amount without prior approval.

The budget must specifically include the work expected to be done, the identity and the billing rate of each lawyer and paralegal assigned to the matter, and the amount of time the work is expected to take. This budget should be updated quarterly. Any variances from the proposed budget should be clearly shown. You must notify the Designated Contact if it becomes apparent that the budget is being or will be exceeded.

Unless otherwise approved in advance, the CHA will not pay charges for time spent preparing budgets or monthly bills.

EXPENSES

The CHA will reimburse your firm for out-of-pocket expenses at your firm's cost, except for certain disbursements that will not be paid unless agreed to in advance by the Designated Contact.

Messenger Services. We will reimburse you for actual charges billed to your firm for deliveries (including overnight express), but only when such expedited delivery is necessary. All decisions about modes of delivery, from hand delivery to overnight express, to electronic transmission, should be made with due regard for need, economy and good sense. We will not pay for in-house messenger services.

Local and Surface Travel. If you are required to travel more than 100 miles round trip on CHA business, we will reimburse reasonable mileage rates for the use of personal cars or the actual cost of buses or trains necessitated by the CHA's business, which are not part of your lawyers' or employees' commuting costs during regular business hours in accordance with applicable CHA policies.

Out-of-Town Travel. Any out of town travel must be approved in advance by your Designated Contact. Only in unusual circumstances will travel by more than one attorney be approved. Charges for attorney time during travel are reimbursable only if such time is actually used in performing services for the CHA. You must make travel arrangements by means that will insure that the best and most reasonable prices for air or ground transportation are obtained. We will reimburse your firm only for coach rates. We will reimburse your firm for reasonable hotel charges and for reasonable meal charges. Please see the reimbursement rates for travel expenses as listed on the attached sheet. We will not pay for personal expenses incurred in conjunction with such travel (for example, entertainment, alcohol, dry cleaning).

Experts and Consultants. The selection and retention of appraisers, experts and consultants must be coordinated with and approved by the Designated Contact. These charges must be itemized on your bill.

Other Expenses. The CHA will pay the actual cost of services such as court reporting, printing and the acquisition of specific materials if such expenses were approved in advance by the Designated Contact.

Non-Reimbursable Expenses. Unless authorized in advance by the Designated Contact, the CHA will NOT pay for the following expenses or charges:

- secretarial, clerical or word processing services (normal, temporary or overtime);
- administrative, clerical and other services such as proofreading, file creation, file organization and maintenance, "clearing conflicts," and personnel training;
- accounting services;
- photocopy expenses at more than 10 cents per page;

- facsimile charges, other than actual long distance charges associated with the transmission; local telephone expenses;
- office supplies;
- charges for business meals or refreshments (unless related to out of town travel);
- local travel expenses;
- in-house messenger services;
- costs associated with purchase or rental of equipment such as copiers, fax machines, computers, software, postal machines, etc.;
- computerized research unless approved in advance;
- normal postage;
- charges associated with preparing an invoice or resolving disputes over invoices.

LAWYER AND PARALEGAL TIME REPORTING

Minimum Charges. All professional time must be billed to the nearest one-tenth (0.1) of an hour for each activity included in a billing entry.

Daily Time Descriptions by Lawyer or Paralegal. The CHA will not pay for "blocked entries," namely a line item with a single time charge for multiple activities. A time charge must accompany each activity.

For example, the following is not acceptable:

10/2/00--5.00 hours--Phone conference with Hargrove re deposition; conference with client re same; prepare substantive changes to Answer; attend deposition of Hargrove.

The following is acceptable:

10/2/00--5.00 hours--Phone conference with witness Hargrove re deposition (.20); conference with client name re same (.50); prepare substantive changes to Answer (1.30); attend deposition of Hargrove (3.00).

Attendance at Meetings, Hearings, Depositions. The CHA generally will pay for only one attorney from your firm to attend depositions, meetings, or arguments. The CHA recognizes that additional people as identified in your budget may be needed for trials and major hearings. Prior approval from the Designated Counsel must be obtained if time is to be billed for more than one attorney to attend a meeting, deposition, trial or hearing. In addition to the above restrictions, we will not accept bills of a "miscellaneous" or "other" category of expenses. We will not pay charges, however designated on your invoice, attributable specially to weekend work (other than charges in the permitted categories detailed in this section), or for air conditioning, heating, office machine attendants, lighting, parking, clerical assistance, or other costs associated with the maintenance of a law office.

Legal Research. You should obtain prior approval from the Designated Contact before conducting a legal research project that is expected to exceed two (2) hours. When seeking approval, you should be prepared to address the purpose of the research; who will perform the research; whether the

research can be performed effectively by lower-level personnel; whether the firm has previously conducted research on these or similar issues; whether the lawyer has access to prior research on the same topic; and the approximate number of hours needed to complete the research. The CHA should not be charged for routine research.

Research concerning matters of common knowledge among reasonably experienced counsel in the Chicago area is considered routine. Where circumstances exist that enable you to use your data banks, the CHA should only be charged for research connected with updating previously researched materials. It is expected that paralegals or junior associates will be used for research matters, avoiding extensive research time expended by partners or senior associates. Copies of research products prepared for a CHA matter should be forwarded to the Designated Contact.

Vague Descriptions. The use of vague or generally described activities is unacceptable. Generic and general activity descriptions that lack specificity, such as the following examples, are not appropriate and will not be compensated:

- | | |
|-------------------------|--------------------------|
| . Arrangements with | . Receipt of documents |
| . Conference with | . Prepare correspondence |
| . Discussion with | . Review correspondence |
| . Meeting with | . Review case and issues |
| . Discovery | . Telephone call |
| . Work on file | . Meeting preparation |
| . Research | . Closing preparation |
| . Motion work | . Update strategy |
| . Review/draft document | . Work on project |

Billings for discussions, meetings, and telephone calls should specifically describe the parties, the subject, and the purpose. Any correspondence, pleading and other document that is prepared or reviewed must be identified and described. Any legal or factual research must identify the issue(s) researched.

Office Conferences. The CHA will not allow for non-essential intra-office conferences, and it will pay for only reasonable amounts of time expended on essential conferences on substantive matters. The CHA will not pay for intra-office conferences that are either administrative or educational in nature.

Reviewing Files. The CHA should not be charged for general, diary or status file reviews. A file review that is not precipitated by an event (such as a telephone call or receipt of correspondence) or that does not result in the creation of any tangible work product should not be billed to the CHA. The CHA will not pay for the review of a file by a party who is merely supervising the work of another law firm employee. Such supervision is considered part of the firm's overhead and is already contained in the firm's hourly rate structure. The CHA will not pay for time spent by newly assigned attorneys or paralegals to familiarize themselves with a matter on which staffing has changed while the case is in progress.

Paralegal Functions. Examples of activities that should generally be performed by paralegals are:

- preparing first drafts of basic forms and documents;
- ordering searches;
- ordering public records documents for closings;
- organizing materials;
- organizing and re-organizing files that involve case documents such as separating and cataloging responses to requests for production of documents;
- indexing file material if professional judgment with respect to categorization is required;
- preparing subpoenas for deposition, entry of appearance, substitution of counsel, routine interrogatories and requests to produce, jury trial demands, and other routine litigation documents;
- summarizing answers to interrogatories;
- preparing records requests and subpoenas;
- summarizing employment and other records;
- abstracting depositions.

Secretarial/Clerical/Administrative Functions. The CHA should be billed for work performed only by professionals (attorneys and paralegals), and it should not be charged an hourly or flat rate or fee for work that is secretarial or clerical or administrative in nature. The CIIA considers the following services to be clerical, administrative or secretarial in nature, and it should not be charged for them regardless of who performs the task:

- scheduling meetings and appointments;
- making travel arrangements;
- maintaining calendars;
- filing, organizing or reorganizing files;
- date-stamping documents;
- pick-up or delivery of documents and records;
- preparing documents for mailing or shipping;
- tabbing or indexing file materials (unless professional judgment as to the index categories must be used);
- creating and organizing binders, notebooks, folders, files, etc.;
- ordering vendor services and providing instructions to vendors;
- processing vendor bills;
- collating;
- organizing files for storage;
- updating lists;
- copying and binding documents;
- inventorying documents;
- preparing enclosure letters;
- preparing invoices and negotiating billing questions.

FORMAT OF INVOICES

All matters should be invoiced on a sixty (60) day basis, regardless if there were services provided for in a given month. Final invoices which should be submitted within thirty (30) days of the final activity. A single original invoice should be submitted to the Chief Legal Officer for review, processing and payment. Copies of invoices for reimbursable expenses should be submitted with the original invoice for professional services. Duplicate and/or copies of invoices should not be submitted to any other CHA department.

The format of the itemized statement must include the following information for each matter:

- the complete name or title of the matter as outlined in the assignment letter;
- a unique invoice number for the particular bill;
- your firm's taxpayer identification number;
- your firm's Lawson identification number;
- the name of the Designated Contact;
- the inclusive dates of the months covered by the bill;
- the name, status, hourly rate, total hours billed (not recorded), and total amount billed for each lawyer or paralegal whose rates compose the fee; and
- an itemized list of permissible disbursements and the actual or permissible charge for each disbursement.

Each 60-day invoice submitted for payment should include a cover sheet, a copy of which is attached for your convenience. You must include with your statement both time sheet or diary detail for time charges and copies of invoices or internal data compilations for all disbursements.

Only those statements submitted in accordance with the foregoing procedure will be processed. Any statement that does not contain the specified information will be returned to your firm with a request for revision and/or explanation.

The CHA has the right to examine and audit all of your firm's billings for any work charges to the CHA and all of the supporting data for those billings.

OUTSIDE LEGAL SERVICES

FIRM'S LAWSON ID # _____

(input Firm's Name and Address)

FIRM'S TAX PAYER ID # _____

CHA DESIGNATED CONTACT: _____

Invoice No: _____

Date of Invoice: _____

Re: Full caption of matter assigned, including court number if applicable
(as listed on the Task Order)

Legal services rendered and out-of-pocket expenses incurred in connection with the above-captioned matter for the period (input the two-month period):

(Name of Attorney/Partner or Associate)	\$150.00/hour 5 hours	\$ 750.00
(Name of Attorney/Partner or Associate)	\$125.00/hour 15 hours	\$ 1,875.00
(Name of Paralegal/Paralegal)	\$ 50.00/hour 3 hours	<u>\$ 150.00</u>

Total Attorneys'/Paralegals' Fees: \$ 2,775.00

Total Expenses: \$ 20.00

Invoice Total: \$ 2,795.00

Summary of Billing History to Date (including this invoice)

Total billed to date for attorneys'/paralegals' fees: \$ 2,775.00

Total billed to date for expenses: 20.00

Total amount billed to date: \$ 2,795.00

EXHIBIT IV

MBE/WBE/DBE UTILIZATION PLAN

SECTION 3 UTILIZATION PLAN

CHICAGO HOUSING AUTHORITY (CHA)

Department of Procurement and Contracts Contract Compliance Division

SCHEDULE A – M/W/DBE UTILIZATION PLAN

(To Be Completed by PRIME CONTRACTOR)

RFP/IFB/CONTRACT/PURCHASE ORDER NO: _____ DATE FORM SUBMITTED: 2/21/2020

PROJECT TITLE: RFP 2746 Legal Services

PRIME CONTRACTOR NAME(S): Robbins Schwartz Nicholas Lifton & Taylor, Ltd.

ADDRESS: 55 West Monroe Street, Suite 800, Chicago, IL 60603 TELEPHONE: (312) 332-7760

CONTACT NAME/TITLE: Frank B. Garrett III, Partner

E-MAIL ADDRESS: fgarrett@robbins-schwartz.com

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

Ethnicity: African American Gender: Male

FEDERAL TAX IDENTIFICATION OR SOCIAL SECURITY NO. : [REDACTED]

CONTRACT AMOUNT: \$ 200,000

M/W/DBE TOTAL: \$ _____ NON - M/W/DBE TOTAL: \$ _____

M/W/DBE TOTAL PERCENTAGE: _____ % NON - M/W/DBE PERCENTAGE: _____ %

PRIME M/W/DBE SELF-PERFORMER? Yes ☐ NO ☐ IF YES, SELF-PERFORMANCE AMOUNT: \$ _____ %

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

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

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

SCHEDULE A – M/W/DBE UTILIZATION PLAN

(To Be Completed by PRIME CONTRACTOR)

PLEASE NOTE:

(u). COUNTING M/W/DBE AND SECTION 3 BUSINESS CONCERN (S3BC) CREDIT: A business who is self-identified as a Section 3 Business Concern and also certified as an M/W/DBE may be used towards subcontracting goals for both the M/W/DBE and Section 3 requirements, once the initial goals for Section 3 and M/W/DBE have been satisfied separately.


Example: If the minimum M/W/DBE participation percentage requirement is 40, and the minimum Section 3 contracting participation percentage requirement is 10, and Vendor A is self-certified as a Section 3 Business Concern and also certified as M/W/DBE, and a prime elects to use Vendor A in both categories, the overall minimum total M/W/DBE and Section 3 participation percentage must be 50%; i.e. 40% M/W/DBE + 10% S3BC, in order to satisfy the contracting requirements in both categories.

(b). SECTION 3 BUSINESS CONTRACTING TIER ORDER: Prime contractors on CHA/HUD funded contracts must ensure that Section 3 Business Concerns (S3BCs) are contracted in a tier preference order as required by CHA/HUD policies and regulations. This means that S3BCs that reside at or within the project site should be considered for contracting opportunities first. It is the duty of the prime contractor to conduct appropriate outreach activities that specifically target resident owned S3BCs at the project location in a bid to find and subcontract with them.

(c). SUBSTITUTION/REMOVAL OF SUBCONTRACTOR: A prime contractor that needs to remove or substitute a subcontractor on its approved utilization plan must submit a written request for the removal or substitution of the subcontractor concerned. Only when DPC Compliance approves such a request in writing can the removal or substitution of the subcontractor be done by the prime contractor. Under no circumstance should a prime contractor unilaterally remove or substitute a subcontractor on its CHA/HUD funded contract without prior approval by DPC Compliance.

This page (page 2) must be signed by a Principal of the Contractor. The last page (page 10) must be signed and notarized. This document is subject to change, by the CHA, at any time.

Prime Contractor Acknowledgement of M/W/D/BE Requirements:



Signature of Principal of Contractor

2/21/20

Date

Frank B. Garrett III

Print Name

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

SCHEDULE A – M/W/DBE UTILIZATION PLAN

(To Be Completed by PRIME CONTRACTOR)

I. DIRECT PARTICIPATION

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

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

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

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

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

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

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

SCHEDULE A – M/W/DBE UTILIZATION PLAN

(To Be Completed by PRIME CONTRACTOR)

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

II. INDIRECT PARTICIPATION

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

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

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

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

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

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

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

SCHEDULE A – M/W/DBE UTILIZATION PLAN

(To Be Completed by PRIME CONTRACTOR)

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

WORK TO BE PERFORMED/MATERIALS SUPPLIED:

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

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

WORK TO BE PERFORMED/MATERIALS SUPPLIED:

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

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

WORK TO BE PERFORMED/MATERIALS SUPPLIED:

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

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

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

III. NON-M/W/DBE PARTICIPATION (*Applicable to JOC vendors and other vendors that do not submit waivers of lien to CHA only*).

A. COMPANY NAME: _____
ADDRESS: _____
CONTACT PERSON: _____ TELEPHONE: () _____
E-MAIL ADDRESS: _____
ORIGINAL DOLLAR VALUE: _____ % of Total Contract Value: _____
AMENDED DOLLAR VALUE: _____ % of Total Contract Value: _____
NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.
WORK TO BE PERFORMED/MATERIALS SUPPLIED: _____
Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long): _____

B. COMPANY NAME: _____
ADDRESS: _____
CONTACT PERSON: _____ TELEPHONE: () _____
E-MAIL ADDRESS: _____
ORIGINAL DOLLAR VALUE: _____ % of Total Contract Value: _____
AMENDED DOLLAR VALUE: _____ % of Total Contract Value: _____
NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.
WORK TO BE PERFORMED/MATERIALS SUPPLIED: _____
Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long): _____

C. COMPANY NAME: _____
ADDRESS: _____
CONTACT PERSON: _____ TELEPHONE: () _____
E-MAIL ADDRESS: _____
ORIGINAL DOLLAR VALUE: _____ % of Total Contract Value: _____
AMENDED DOLLAR VALUE: _____ % of Total Contract Value: _____
NOTE: Amended Dollar Value only used when changes are made and approved by Compliance during a contract.
WORK TO BE PERFORMED/MATERIALS SUPPLIED: _____
Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long): _____

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

SCHEDULE A – M/W/DBE UTILIZATION PLAN

(To Be Completed by PRIME CONTRACTOR)

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

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

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

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

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

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

CHICAGO HOUSING AUTHORITY (CHA)

Department of Procurement and Contracts Contract Compliance Division

SCHEDULE A – M/W/DBE UTILIZATION PLAN

(To Be Completed by PRIME CONTRACTOR)

IV. M/W/DBE WAIVER REQUEST & GOOD FAITH EFFORTS (GFEs)

If a Prime Contractor cannot meet the required M/W/DBE participation requirements in whole or part, it may submit a M/W/DBE waiver request to the Chief Procurement Officer, or her/his designee for consideration. The waiver request must be submitted with a compelling good faith efforts (GFEs) documentation demonstrating the infeasibility of M/W/DBE subcontracting. This documentation must also show that the Prime Contractor has exhausted all good faith efforts for M/W/DBEs to perform under this scope of work without success. The Prime Contractor must therefore provide details of the good faith efforts it has undertaken including the types and number of outreach events it conducted for/to M/W/DBE firms, number of M/W/DBE firms contacted, mode and frequency of communications with these firms, among others in the space provided below. Talk to your Compliance Specialist if you need a list of the minimum GFEs documentation requirements. If you need more space, please attach additional document(s) to this Schedule. Additional documentation must be provided on your company's letterhead.

We have attached an alternative credit letter. Please see attached.

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

SCHEDULE A – M/W/DBE UTILIZATION PLAN

(To Be Completed by PRIME CONTRACTOR)

AFFIDAVIT OF PRIME CONTRACTOR

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

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

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

NAME OF PRIME CONTRACTOR (Print or Type) Robbins Schwartz Nicholas Lifton & Taylor, Ltd.

AUTHORIZED OFFICER

Frank B. Garrett III

Signature

Date

Name

NAME OF NOTARY (Print or Type)

Emma L. Ashurst

STATE OF

Illinois

COUNTY OF

Cook

ON THIS

21st

DAY

OF

February

20

BEFORE ME APPEARED (NAME)

Frank B. Garrett III

TO ME PERSONALLY

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

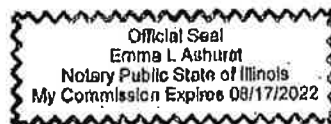
AUTHORIZED BY (NAME OF COMPANY) Robbins Schwartz Nicholas Lifton & Taylor, Ltd. TO EXECUTE THIS AFFIDAVIT AND DID

SO AS HIS OR HER FREE ACT AND DEED. NOTARY PUBLIC

Emma L. Ashurst

(SEAL) COMMISSION EXPIRES:

08/17/2022



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

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

PRIME/GENERAL CONTRACTOR'S NAME: Robbins Schwartz Nicholas Lifton & Taylor, Ltd.
RFP/IFB/RFQ/CONTRACT or PO NUMBER: _____ DATE FORM COMPLETED: 01/17/ 2020
PROJECT TITLE: RFP 2746 Legal Services
CONTACT NAME/TITLE: Frank B. Garrett III
E-MAIL ADDRESS: fgarrett@robbins-schwartz.com CONTRACT AMOUNT: \$200,000

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

Overview:

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

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

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

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

Instructions:

Part I: Hiring

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

Part II: Contracting

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

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

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

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

Part III: Other Economic Opportunities

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

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

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

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

PLEASE NOTE:

(a). COUNTING M/W/DBE AND SECTION 3 BUSINESS CONCERN (S3BC) CREDIT: A business who is self-identified as a Section 3 Business Concern and also certified as an M/W/DBE may be used towards subcontracting goals for both the M/W/DBE and Section 3 requirements, once the initial goals for Section 3 and M/W/DBE have been satisfied separately.

Example: If the minimum M/W/DBE participation percentage requirement is 40, and the minimum Section 3 contracting participation percentage requirement is 10, and Vendor A is self-certified as a Section 3 Business Concern and also certified as M/W/DBE, and a prime elects to use Vendor A in both categories, the overall minimum total M/W/DBE and Section 3 participation percentage must be 50%; i.e. 40% M/W/DBE + 10% S3BC, in order to satisfy the contracting requirements in both categories.

(b). SECTION 3 BUSINESS CONTRACTING TIER ORDER: Effective immediately, prime contractors on CHA/HUD funded contracts must ensure that Section 3 Business Concerns (S3BCs) are contracted in a tier preference order as required by CHA/HUD policies and regulations. This means that S3BCs that reside at or within the project site should be considered for contracting opportunities first. It is the duty of the prime contractor to conduct appropriate outreach activities that specifically target resident owned S3BCs at the project location in a bid to find and subcontract with them.

(c). SUBSTITUTION/REMOVAL OF SUBCONTRACTOR: A prime contractor that needs to remove or substitute a subcontractor on its approved utilization plan must submit a written request for the removal or substitution of the subcontractor concerned. Only when DPC Compliance approves such a request in writing can the removal or substitution of the subcontractor be done by the prime contractor. Under no circumstance should a prime contractor unilaterally remove or substitute a subcontractor on its CHA/HUD funded contract without prior approval by DPC Compliance.

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

Prime Contractor Acknowledgement of Section 3 Requirements:

Frank B. Garrett III
Signature of Principal of Contractor
Frank B. Garrett III
Print Name

11/17/2020
Date

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

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

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

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

(1) Job Titles	(2) Total Number of Employees Needed at each Job Title	(3) Total Number of Employees Currently Employed at each Job Title	(4) Total New Hires Needed for each Job Title	(5) Total Section 3 Hires for Each Job Title	(6) Anticipated Hiring Date Section 3 Hires for Each Job Title
<i>List the Job Titles that are needed to complete your scope of work including the entire workforce for the Prime and any Subcontractors. This includes all Section 3 and non-Section 3 job titles.</i>	<i>List how many employees are needed to complete the Scope of Work for each Job Title.</i>	<i>List how many employees are currently employed at this position.</i>	<i>List how many of these positions are currently open.</i>	<i>List the number of Section 3 hires you will commit to for each position.</i>	<i>List the anticipated hiring date of Section 3 hires you will commit to for each position.</i>
Attorneys	6	45	0	0	N/A
Paralegals	1	3	0	0	N/A
Legal Assistants	1	8	0	0	N/A
(7) Totals:	8	56	0	0	

(8) Total New Section 3 Hires Required:
(Total of column (4) x 0.3) round up to the nearest whole number 0

(9) Percentage of New Hires that are Section 3:
(Total of column (5) ÷ Total of column (4)) x 100= % of New Hires 0%

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

CHICAGO HOUSING AUTHORITY (CHA)
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SCHEDULE B - SECTION 3 UTILIZATION PLAN
(To Be Completed by Prime Contractor)

Part II: CONTRACTING

Table II: Contracting Commitments

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

Total Dollar Value of Section 3 Business Concern Contracts:	\$0
Total Percentage of Section 3 Business Concern Contracts:	N/A %

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

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

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

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

Contracts to Section 3 Business Concerns (continued)

COMPANY NAME: _____

ADDRESS: _____

CONTACT PERSON: _____ TELEPHONE: _____

E-MAIL ADDRESS: _____

ORIGINAL CONTRACT DOLLAR VALUE: _____

AMENDED CONTRACT DOLLAR VALUE: _____

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

WORK TO BE PERFORMED/MATERIALS SUPPLIED: _____

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

Anticipated Start Date: _____ Anticipated End Date: _____

COMPANY NAME: _____

ADDRESS: _____

CONTACT PERSON: _____ TELEPHONE: _____

E-MAIL ADDRESS: _____

ORIGINAL CONTRACT DOLLAR VALUE: _____

AMENDED CONTRACT DOLLAR VALUE: _____

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

WORK TO BE PERFORMED/MATERIALS SUPPLIED: _____

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

Anticipated Start Date: _____ Anticipated End Date: _____

COMPANY NAME: _____

ADDRESS: _____

CONTACT PERSON: _____ TELEPHONE: _____

E-MAIL ADDRESS: _____

ORIGINAL CONTRACT DOLLAR VALUE: _____

AMENDED CONTRACT DOLLAR VALUE: _____

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

WORK TO BE PERFORMED/MATERIALS SUPPLIED: _____

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

Anticipated Start Date: _____ Anticipated End Date: _____

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

Table II.b: Contracting Shortfall

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

--

Table II.c: Outreach Efforts

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

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

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

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

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

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

Indirect Participation (subcontracting to a Section 3 business for work outside the scope)

Note: An indirect subcontractor should still submit a Schedule C to correspond with this information.

COMPANY NAME: _____

ORIGINAL CONTRACT DOLLAR VALUE: _____

WORK TO BE PERFORMED/MATERIALS SUPPLIED: _____

Anticipated Start Date: _____ Anticipated End Date: _____

COMPANY NAME: _____

ORIGINAL CONTRACT DOLLAR VALUE: _____

WORK TO BE PERFORMED/MATERIALS SUPPLIED: _____

Anticipated Start Date: _____ Anticipated End Date: _____

Mentorship Program Participation

Describe in detail the work that will be performed by the Section 3 Resident or Business Concern

Quantifiable Goals

Anticipated Results

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

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

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

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

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

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

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

Contribution to Section 3 Fund

(this is the total of all hiring and contracting contributions identified in the Section 3 Fund chart above).

Dollar Value of Contribution: \$6,000.00, which is 3% of \$200,000.00

How will I contribute the funds? ☒ CHA can deduct portions from each of my purchase orders

By signing below, the Contractor hereby agrees to comply with the Section 3 requirements indicated above. To the extent that the completion of this form is contingent upon future information, for example price negotiations, request for specific services, etc., the undersigned hereby affirms and agrees to fully adhere to the CHA Section 3 Policy. Furthermore, the undersigned acknowledges and affirms responsibility for completion and submission of this form at the time the bid or proposal is due.

Robbins Schwartz Nicholas Lifton & Taylor, Ltd.

NAME OF PRIME CONTRACTOR (Print or Type)

Frank B. Garrett III

Frank B. Garrett III 2-21-2020
SIGNATURE OF AUTHORIZED OFFICER (DATE)

NAME OF AUTHORIZED OFFICER (Print or Type)

Emma L. Ashurst

NAME OF NOTARY (Print or Type)

STATE OF Illinois COUNTY OF Cook County ON THIS 21 DAY OF

February 20 20 BEFORE ME APPEARED (NAME) Frank B. Garrett III
TO ME PERSONALLY KNOWN WHO, BEING DULY SWORN, DID EXECUTE THE FOREGOING AFFIDAVIT, AND DID STATE THAT HE OR SHE WAS PROPERLY AUTHORIZED BY THE PRIME CONTRACTOR TO EXECUTE THIS AFFIDAVIT AND DID SO AS HIS OR HER FREE ACT AND DEED.

NOTARY PUBLIC: Emma L. Ashurst (SEAL):

COMMISSION EXPIRES: 08/17/2022

Emma L. Ashurst
Notary Public State of Illinois
My Commission Expires 08/17/2022

Sign Here

INTERNAL CHA APPROVAL:

COMPLIANCE MANAGER'S SIGNATURE

DATE

INTERNAL CHA APPROVAL:

SECTION 3 ADMINISTRATOR

DATE

(Applicable when Other Economic Opportunities are proposed)

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

SCHEDULE C

Letter of Intent M/W/DBE and/or Section 3 Business Concern
Subcontractors, Suppliers, Consultants
(To Be Completed by Subcontractor and/or Self-Performing Prime Contractor)

M/W/DBE or SECTION 3 BUSINESS CONCERN NAME: N/A

M/W/DBE Certification Status: MBE ☐ WBE ☐ DBE ☐ Section 3 Business Concern: Yes ☐ NO ☒

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

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

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

FEIN: _____ ETHNICITY: _____ GENDER: _____

CONTACT NAME/TITLE: Frank B. Garrett III

E-MAIL ADDRESS: fgarrett@robbins-schwartz.com IFB/RFP/CONTRACT OR PO #: RFP 2746

PROJECT TITLE: RFP 2746 Legal Services DATE FORM COMPLETED: 01/17/2020

PRIME CONTRACTOR: Robbins Schwartz Nicholas Lifton & Taylor, Ltd. 312-332-7760
(NAME) (TELEPHONE NUMBER)

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

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

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

N/A

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

N/A

3. Indicate the total dollar value: \$ N/A

4. Terms of the agreement including but not limited to joint venture, subcontract, supplier or

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

SCHEDULE C

Letter of Intent M/W/DBE and/or Section 3 Business Concern
Subcontractors, Suppliers, Consultants
(To Be Completed by Subcontractor and/or Self-Performing Prime Contractor)

purchase order agreements on the above-referenced contract (timeframe and other subcontract details):

N/A

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

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

PLEASE NOTE:

(a). COUNTING M/W/DBE AND SECTION 3 BUSINESS CONCERN (S3BC) CREDIT: A business who is self-identified as a Section 3 Business Concern and also certified as an M/W/DBE may be used towards subcontracting goals for both the M/W/DBE and Section 3 requirements, once the initial goals for Section 3 and M/W/DBE have been satisfied separately.

(b). SECTION 3 BUSINESS CONTRACTING TIER ORDER: Effective immediately, prime contractors on CHA/HUD funded contracts must ensure that Section 3 Business Concerns (S3BCs) are contracted in a tier preference order as required by CHA/HUD policies and regulations. This means that S3BCs that reside at or within the project site should be considered for contracting opportunities first. It is the duty of the prime contractor to conduct appropriate outreach activities that specifically target resident owned S3BCs at the project location in a bid to find and subcontract with them.

(c). SUBSTITUTION/REMOVAL OF SUBCONTRACTOR: A prime contractor that needs to remove or substitute a subcontractor on its approved utilization plan must submit a written request for the removal or substitution of the subcontractor concerned. Only when DPC Compliance approves such a request in writing can the removal or substitution of the subcontractor be done by the prime contractor. Under no circumstance should a prime contractor unilaterally remove or substitute a subcontractor on its CHA/HUD funded contract without prior approval by DPC Compliance.

AFFIDAVIT

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

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

(NAME OF SUBCONTRACTOR/SUPPLIER - PRINT OR TYPE)

Frank B. Garrett III 1/17/2020
(SIGNATURE OF AUTHORIZED PRINCIPAL OR AGENT) (DATE)

Susan L. Monroe
(NAME OF NOTARY - PRINT OR TYPE)

STATE OF Illinois COUNTY OF Cook ON THIS 17th DAY OF January
2020 BEFORE ME APPEARED (NAME) Frank B. Garrett III to me personally known who,
being duly sworn, did execute the foregoing affidavit, and did state that he or she was properly authorized by
Robbins Schwartz to execute the affidavit and did so as his or her free act and deed.

NOTARY PUBLIC: Susan L. Monroe
COMMISSION EXPIRES: 12/28/2023

SEAL: OFFICIAL SEAL
SUSAN L. MONROE
NOTARY PUBLIC, STATE OF ILLINOIS
MY COMMISSION EXPIRES 12/28/2023

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

WAIVER REQUEST: M/W/DBE PARTICIPATION COMMITMENTS

IFB/RFP/CONTRACT or PURCHASE ORDER NO. TITLE: 2746

BIDDER/PROPOSER: Robbins Schwartz

ADDRESS 55 W. Monroe St, Ste 800 Chicago IL 60603
Street City State Zip

CONTACT PERSON: Frank B. Garrett III TITLE: Partner

TELEPHONE #: () 312-332-7760 FAX #: () 312-332-7768

FEIN: [REDACTED] ETHNICITY: African-American GENDER: Male

CONTRACT AMOUNT: \$

Please select whether this is a Full or Partial Waiver Request:

Full M/W/DBE Waiver ☒

Partial M/W/DBE Waiver ☐

PLEASE STATE REASON FOR WAIVER REQUEST:

(Please note: This must be a detailed account of why you are unable to meet the requirements of the contract. Any incomplete or inconclusive requests will be returned to the vendor. If more room is needed than what is provided below, please attach a clearly printed document to this waiver request.)

Our law firm is not a M/W/DBE certified firm, but we are continually working towards that goal. We currently have 8 equity partners who own the firm. Of the firm's 8 owners, one is African-American and 2 are women. As such are M/W/DBE percentage is 37.50%. We have a number of minority and women attorneys in the firm many who are on track for partnership.

WHAT PERCENT OF SERVICES WILL BE PERFORMED BY BIDDER/PROPOSER? 100 %

IF LESS THAN 100%, WHAT SERVICES WILL BE PERFORMED BY SOMEONE OTHER THAN BIDDER/PROPOSER?

DOLLAR VALUE: \$ CONTRACT TERM:

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

WAIVER REQUEST: M/W/DBE PARTICIPATION COMMITMENTS

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

Signature of Authorized Principal or Agent Frank B. Garrett III DATE: 9-16-19

Name of Affiant (Print or Type): Frank B. Garrett III

STATE OF Illinois COUNTY OF COOK

ON THIS 16th DAY OF September 2019

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

NOTARY PUBLIC

(SEAL)



COMMISSION EXPIRED: 12/08/2019

BELOW FOR CHICAGO HOUSING AUTHORITY USE ONLY

REVIEW:

REVIEW:

Contract Compliance Specialist

Compliance Manager

DATE: _____

DATE: _____

APPROVAL:

Chief Procurement Officer

DATE: _____

Robbins Schwartz

SEVEN HUNDRED SEVENTEEN FIFTH AVENUE, SUITE 2000 NEW YORK, NY 10017-1574

FRANK B. GARRETT III
fgarrett@robbins-schwartz.com

December 30, 2019

VIA EMAIL

Sheena M. Aikens
Senior Procurement Specialist
Chicago Housing Authority
60 E. Van Buren, 12th Floor
Chicago, IL 60605
saikens@thecha.org

Re: Waiver of M/W/DBE Participation Commitments

Dear Ms. Aikens:

Attached please find Robbins-Schwartz previously submitted request for a waiver of the Chicago Housing Authority's (CHA) M/W/DBE participation commitments with minor revisions that have been made to this form. While Robbins-Schwartz may not meet CHA's current commitments, I can assure you that Robbins-Schwartz is committed to diversity. Of our 44 attorneys, 3 are African-American and 17 are women. We continue to take efforts to increase these numbers.

In response to the specific questions in your letter be advised as follows:

1. Will a minority/woman attorney be the billing partner for the legal services contract with CHA.

Answer: I (an African-American) will be the billing partner for the legal services contract with CHA. A team of attorneys will be used by me to service CHA's needs and that team will be primarily minority and/or women.

2. What is the percentage of ownership interests of your firm by such minority/women attorney (if applicable).

Answer: 37.50%

3. If the percentage of ownership of the minority/women attorney is the minimum for your firm, is the minority/women attorney the only owner at that level.

Answer: Of the current eight (8) owners of the firm, 3 are minority or women attorneys.

4. Describe any significant leadership roles and decision making authority of the minority/women attorney within your firm.

Answer: Along with me, two women equity partners are involved in the firm's management. We have an equal vote in the firm's operations including hiring and contracting of work. I lead the firm's Labor and Employment Practice Group and co-chair the firm's Marketing Committee.

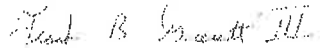
Robbins Schwartz

Ms. Sheena M. Aikens
December 30, 2019
Page 2

We look forward to working with CHA and are confident in Robbins-Schwartz's ability to provide excellent legal services. Feel free to contact me if you have additional questions.

Very truly yours,

ROBBINS SCHWARTZ



By: Frank B. Garrett III

FBG/rmc

EXHIBIT V

CONTRACTOR'S AFFIDAVIT

CHICAGO HOUSING AUTHORITY
Department of Procurement & Contracts

CONTRACTOR'S AFFIDAVIT

Bidder/Proposer Name: Robbins Schwartz
Bidder/Proposer Address: 55 W. Monroe St, Ste 800
Chicago, IL 60603

IFB/RFP NUMBER:

Federal Employee I.D. #: [REDACTED] Social Security #:

Instructions:

FOR USE WITH ALL CONTRACTS. Every Contractor submitting a bid/proposal to the Chicago Housing Authority ("CHA") must complete this Contractor's Affidavit. Special attention should be paid to those Sections which require the Contractor to provide certain information to the CHA. The Contractor should complete this Contractor's Affidavit by signing and notarizing Section XIV. Please note that in the event the Contractor is a joint venture, the joint venture and each of the joint venture partners must submit a separate and completed Contractor's Affidavit. In the event the Contractor is unable to certify to any of the statements contained herein, the Contractor must contact the Department of Procurement and Contracts of the CHA and provide a detailed factual explanation of the circumstances leading to the Contractor's inability to so certify.

The undersigned Frank B. Garrett as Partner
(Name) (Title)
and on behalf of Robbins Schwartz ("Contractor") having been duly
(Business Name)

sworn under oath certifies that:

I. **DISCLOSURE OF OWNERSHIP INTERESTS**

All bidders/proposers/contractors shall provide the following information with their bid/proposal/contract. Complete all blanks by entering the requested information or if the question is not applicable, answer with "NA". If the answer is none, please answer "none".

Bidder/Proposer is a:	<input checked="checked" type="checkbox"/>	Corporation	<input type="checkbox"/>	Sole Proprietor
(Check One)	<input type="checkbox"/>	Partnership	<input type="checkbox"/>	Not-for-Profit Corporation
	<input type="checkbox"/>	Joint Venture	<input type="checkbox"/>	Other

CHICAGO HOUSING AUTHORITY
Department of Procurement & Contracts

CONTRACTOR'S AFFIDAVIT

Average Annual Sales – Last 3 years: \$14.7m

Current Net Worth: _____ Date Business Started 1/1/1970

SECTION 1. FOR PROFIT CORPORATIONS

- a. Incorporated in the State of Illinois
- b. Authorized to do business in the State of Illinois YES ☒ NO ☐
- c. Names of all officers of corporation (or Attach List): Names of all directors of corporation (or Attach List):

NAME (Print/Type)	Title (Print/Type)	Name (Print/Type)	Title (Print/Type)
<u>Joseph J. Perkosi</u>	<u>Partner</u>	<u>Laura M. Sinars</u>	<u>Partner</u>
<u>Frank B. Garrett</u>	<u>Partner</u>	<u>Caroline A. Roselli</u>	<u>Partner</u>
<u>Philip H. Gerner</u>	<u>Partner</u>	<u>Todd K. Hayden</u>	<u>Partner</u>
<u>Robert E. Riley</u>	<u>Partner</u>	<u>Kenneth M. Florey</u>	<u>Partner</u>

- d. If the corporation has fewer than 100 shareholders, indicate here or attach a list of names and addresses of all shareholders and the percentage interest of each.

NAME (PRINT/Type)	Address	Ownership Interest
<u>See attached</u>	_____	_____ %
_____	_____	_____ %
_____	_____	_____ %
_____	_____	_____ %

- e. Is the corporation owned partially or completely by one or more other Corporations?
YES ☒ NO ☐
- f. If the corporation has 100 or more shareholders, indicate here or attach a list of names and addresses of all shareholders owning shares equal to or in excess of 10%
n/a

**ROBBINS SCHWARTZ NICHOLAS LIFTON & TAYLOR, LTD.
Shareholders**

**Philip H. Gerner III – 13.333% Ownership
1535 Spencer Ave
Wilmette, IL 60091**

**Joseph J. Perkoski – 13.333% Ownership
728 Lincoln Street
Evanston, IL 60201**

**Robert E. Riley – 13.333% Ownership
2801 Manor Drive
Northbrook, IL 60062**

**Caroline A. Roselli – 6.667% Ownership
1726 Washington Ave
Wilmette, IL 60091**

**Kenneth M. Florey – 13.333% Ownership
41 S Chase Ave
Lombard, IL 60148**

**Frank B. Garrett III – 13.333% Ownership
592 Beaconsfield Ave
Naperville, IL 60565**

**Todd K. Hayden – 13.333% Ownership
10527 Shilling Rd
Frankfort, IL 60423**

**Laura M. Sinars – 13.333% Ownership
441 Colfax Ave
Clarendon Hills, IL 60514**

CHICAGO HOUSING AUTHORITY
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CONTRACTOR'S AFFIDAVIT

of the proportionate ownership of the corporation and indicate the percentage interest of each.

NAME (PRINT/Type)	Address	Ownership Interest
N/A		%
		%
		%
		%

NOTE: Generally, with corporations having 100 or more shareholders where no shareholder owns 10% of the shares, the requirements of this Section 1 would be satisfied by the bidder/proposer enclosing, with its bid/proposal, a copy of the corporation's latest published annual report and/or Form 10-K if the information is contained therein.

SECTION 2. PARTNERSHIP

If the bidder/proposer is a partnership, indicate the name of each partner (or attach list) and the percentage of interest of each therein.

NAME OF PARTNERS (Print/Type)	PERCENTAGE INTEREST
N/A	%
	%
	%
	%

SECTION 3. SOLE PROPRIETORSHIPS

- a. The bidder/proposer is a sole proprietor and is not acting in any representative capacity in behalf of any beneficiary: YES [] NO []
If NO, complete items b. and c. of this Section 3.
- b. If the sole proprietorship is held by an agent(s) or a nominee (s), indicate the principal(s) for whom the agent or nominee holds such interest.

**CHICAGO HOUSING AUTHORITY
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CONTRACTOR'S AFFIDAVIT

Name(s) of Principal(s) (Print/Type)

N/A

- c. If the interest of a spouse or any other party is constructively controlled by another person or legal entity, state the name and address of such person or entity possessing such control and the relationship under which such control is being or may be exercised:

N/A

SECTION 4. NOT-FOR-PROFIT CORPORATIONS

- a. Incorporated in the State of N/A.
- b. Authorized to do business in the State of Illinois Y E S [] NO []
- c. Names of all officers of corporation (or Attach List): Names of all directors of corporation (or Attach List):

NAME (Print/Type)	Title (Print/Type)	Name (Print/Type)	Title (Print/Type)
-------------------	--------------------	-------------------	--------------------

N/A			

NOTE: The General Counsel may require any such additional information from any entity to achieve full disclosure relevant to the Contract. Further, any material change in the information required above must be provided by supplementing this statement at any time up to the time the Director of Procurement and Contracts takes action on the Contract or other action required of the General Counsel.

CHICAGO HOUSING AUTHORITY
Department of Procurement & Contracts

CONTRACTOR'S AFFIDAVIT

II. CONTRACTOR CERTIFICATION

A. CONTRACTOR'S ANTI-COLLUSIVE AFFIDAVIT

1. The Contractor or any subcontractor to be used in the performance of this contract, or any affiliated entity of the Contractor or any such subcontractor, or any responsible official thereof, or any other official, agent or employee of the Contractor, any such subcontractor or any such affiliated entity, acting pursuant to the direction or authorization of a responsible official thereof has not, during a period of three (3) years prior to the date of execution of this Contractor's Affidavit or if a subcontractor or subcontractor's affiliated entity during a period of three (3) years prior to the date of award of the subcontract:
 - a. Violated any of the provisions of 18 U.S.C. §666 (a) (2) and 720 ILCS 5/33E-1 et seq.
 - b. Bribed or attempted to bribe, or been convicted of bribery or attempting to bribe a public officer or employee of the CHA, the State of Illinois, any agency of the federal government or any state or local government in the United States (if an officer or employee, in that officer's or employee's official capacity); or
 - c. Agreed or colluded, or been convicted of an agreement or collusion among bidders or prospective bidders in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
 - d. Made an admission of guilt of such conduct described in 1(a) and (b) above which is a matter of record but has not been prosecuted for such conduct.
2. The Contractor or any agent, partner, employee or officer of the Contractor is not barred from contracting with any unit of Federal, state or local government as a result of engaging in or being convicted of bid-rigging in violation of the Illinois Criminal Code, 720 ILCS 5/33e-3, or any similar offense of any state of the United States which contains the same elements as the offense of bid-rigging during a period of five (5) years prior to the date of submittal of this bid, proposal or response.
3. The Contractor or any agent, partner, employee, or officer of the Contractor is not barred from contracting with any unit of state or local government as a result of engaging in or being convicted of bid-rotating in violation of the Illinois Criminal Code, 720 ILCS 5/33E-

CHICAGO HOUSING AUTHORITY
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CONTRACTOR'S AFFIDAVIT

- 4, or any similar offense of any state of the United States which contains the same elements as the offense of bid-rotating.
4. Additionally, that the undersigned is the party making the foregoing proposal or bid, that such bid or proposal is genuine and not collusive, and that said bidder/proposer has not colluded, conspired, connived or agreed, directly or indirectly with any proposer or person, to put in a sham proposal or to refrain from proposing, 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 price of affiant or of any other proposer, to fix overhead, profit or cost element of said proposal price, or that of any other proposer and has not secured any advantage against the Chicago Housing Authority or any person interested in the proposed contract, nor has said proposer participated with any person or business entity in any collusive scheme to rotate proposals, provide any bribes, kickbacks to CHA employees in violation of any of the provisions of 18 U.S.C. §666 (a) (1) and 720 ILCS 5/33E-1 et seq; or engage in bid rigging; that proposer is not barred from bidding on the subject contract as a result of a violation of either Section 33-E-3 or 33-E-4 of the Illinois Criminal Code, 720 ILCS 5/33E-1 et seq; and that all statements on said proposal are true. Under penalties of perjury as provided by law pursuant to Section 1-109 of the Code of Civil Procedure, the undersigned certifies that the statements set forth in this Contractor's Affidavit are true and correct.
5. The Contractor, its agent, officers or employees have not directly or indirectly solicited non-public information from a CHA officer or employee; entered into any agreement, participated in any collusion, or otherwise taken any action in restraint of free competitive bidding in connection with this proposal in violation of Illinois Criminal Code, 720 ILCS 5/33E-1 et seq. Failure to submit this statement as part of the bid/proposal will make the bid non-responsive and not eligible for award consideration.

B. SUBCONTRACTOR'S ANTI-COLLUSION AFFIDAVIT

1. The Contractor has obtained from all subcontractors to be used in performance of this contract, known by the Contractor at this time, certifications in form and substance equal to Sub-Section A of Section II of this affidavit.
2. The Contractor will, prior to using any subcontractor(s), obtain from such all subcontractor(s) to be used in the performance of this contract, but not yet known by the Contractor at this time certification in form and substance equal to the certification Subsection A of Section II of this Affidavit. The Contractor shall not, without the prior written permission of the CHA, use any of such subcontractors in the performance of this contract if the Contractor, based on such certifications or any other information known or obtained by Contractor, becomes aware of such subcontractor, subcontractor's

CHICAGO HOUSING AUTHORITY
Department of Procurement & Contracts

CONTRACTOR'S AFFIDAVIT

affiliated entity or any agent, employee or officer of such subcontractor or subcontractor's affiliated entity having engaged in or been convicted of any of the conduct described in Section II (A) hereof.

3. The Contractor will maintain on file for the duration of the contract all certifications required by Section II for any subcontractors to be used in the performance of this contract and will make such certifications promptly available to the CHA upon request.
4. The Contractor will not, without the prior written consent of the CHA, use as subcontractors any individual, firm, partnership, corporation, joint venture or other entity from whom the Contractor is unable to obtain a certification in form and substance equal to the certification.
5. Contractor hereby agrees, if the CHA so demands, to terminate its subcontract with any subcontractor, if such Contractor or subcontractor was ineligible at the time that the subcontract was entered into for award of such subcontract under the State of Illinois Criminal Code 720 ILCS 5/33e-1 eq seq. as amended. The Contractor shall insert adequate provisions in all subcontracts to allow it to terminate such subcontracts as required by this Section II.

Notes 1-4 For Section II. Contractor's Certification

1. Business entities are affiliated if, directly or indirectly, one controls or has the power to control the other, or if a third person control or has the power to control both entities. Indicia of control include without limitation: interlocking management or ownership identity of interests among family members; shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity using substantially the same management, ownership or principals as the ineligible entity.
2. No corporation shall be barred from contracting with any unit of State or local government as a result of a conviction, under either Section 33E-3 or Section 33E-4 of Article 33 of the State of Illinois Criminal Code of 1961, as amended, of any employee or agent of such corporation if this employee so convicted is no longer employed by the corporation and: (1) it has been finally indicated not guilty or (2) if it demonstrate to the governmental entity with which it seeks to contract and that entity finds that the commission of the offense was neither authorized, requested, commanded, nor performed by a director, officer or a high managerial agent in behalf of the corporation as provided in paragraph (2) of subsection (a) of Section 5-4 of the State of Illinois Criminal Code.

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3. For purposes of Section II (A) of this certification, a person commits the offense of and engages in bid-rigging when he knowingly agrees with any person who is, or but for such agreement should be, a competitor of such person concerning any bid submitted or not submitted by such person or another to a unit of State or local government when with the intent that the bid submitted or not submitted will result in the award of a contract to such person or another and he either (1) provides such person or receives from another information concerning the price or other material term or terms of the bid which would otherwise not be disclosed to a competitor in an independent non-collusive submission of bids or (2) submits a bid that is of such a price or other material term or terms that he does not intend the bid to be accepted (See, 720 ILCS 5/33E-3).
4. For purpose of Section II (A) of this certification, a person commits the offense of and engages in bid rotating when, pursuant to any collusive scheme or agreement with another, he engages in a pattern over time (which, for the purposes hereof, shall include at least 3 contract bids within a period of ten years, the most recent of which occurs after January 1, 1989) of submitting sealed bids to units of State or local government with the intent that the award of such bids rotates, or is distributed among, persons or business entities which submit bids on a substantial number of the same contract (See, 720 ILCS 5/33E-4).

III. STATE TAX DELINQUENCIES

In completing this Section III, authorized signatory must initial on the line next to the appropriate subsection.

1. FBG Contractor is not delinquent in the payment of any tax administered by the Illinois Department of Revenue or, if delinquent, Contractor is contesting such delinquency in accordance with the procedures established by the appropriate Revenue Act, its liability for the tax or amount of the tax.
 2. FBG Contractor has entered into an agreement with the Illinois Department of Revenue for the payment of all such taxes that are due and is in compliance with such agreement.
 3. FBG Contractor is delinquent in the payment of any tax administered by the Department of Revenue and is not covered under any of the situations described in subsections 1 and 2 of this Section III, above 1.
1. 65 ILCS 5/11 - 42.1 - 1 provides that a municipality may not enter into a contract or agreement with an individual or other entity that is delinquent in the payment of any tax

CHICAGO HOUSING AUTHORITY
Department of Procurement & Contracts

CONTRACTOR'S AFFIDAVIT

administered by the Illinois Department of Revenue unless the contracting party is contesting, in accordance with the procedures established by the appropriate Revenue Act its liability for the tax or the amount of the tax or unless the contracting party has entered into an agreement to pay the tax and is in compliance with the Agreement. Notwithstanding the above, the CHA may enter into the contract if the CHA's Operating Officer determines that:

- 1) the contract is for goods or services vital to the public health, safety, or welfare; and
- 2) the CHA is unable to acquire the goods or services at a comparable price and of comparable quality from other sources.

IV. PUNISHMENT

A Contractor or subcontractor who makes a false statement, material to Section II (A) and (B) of this certification commits a 3 class felony. 720 ILCS 5/33e-11(B). Making a false statement concerning Section III of this certification is a Class A misdemeanor, voids the Contractor and allows the CHA to recover all amounts paid to the Contractor under the contract in a civil action. 65 ILCS 5/11-42.1-1.

V. CERTIFICATION REGARDING SUSPENSION AND DISBARMENT

- A. The Contractor certifies to the best of its knowledge and belief, that it, its' principles and any subcontractors used in the performance of this contract:
1. Meet the Agency requirements and have not violated the City or Sister Agency policy, codes, state, federal, and or local laws, rules or regulations and have not been subject to any debarment, suspension, or other disciplinary action by any government agency. Additionally, if any time the contractor becomes aware of such information, it must immediately disclose it to the Agency.
 2. Are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from covered transactions by any Federal, state or local government or agency;
 3. Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for: the commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, Local) transaction or contract under a public transaction; a violation of Federal or State antitrust statutes; or the commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property

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4. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or Local) with commission of any of the offense enumerated in Section II (A) (1) above; and
 5. Have not within a three-year period preceding this Agreement had one or more public transactions (Federal, State or Local) terminated for cause or default.
- B. If the Contractor is unable to certify to any of the statements in this certification, the Contractor shall attach a detailed factual explanation to this certification.
- C. If any subcontractors are to be used in the performance of this Contract, the Contractor shall cause such subcontractors to certify as to paragraph of this Certification. In the event that any subcontractor is unable to certify to any of the statements in this certification, such subcontractor shall attach a detailed factual explanation to this certification.

VI. EPA CONTRACTOR LISTING

- A. Bidder/Proposer/Contractor shall comply with all applicable standards, orders and/or requirements established by and/or pursuant to:
1. The Clean Air Act (42 U.S.C. 4701 et. seq.), as amended;
 2. The Clean Water Act (33 U.S.C. 1251 et. seq.), as amended;
 3. The Solid Waste Disposal Act as amended by the Resources Conservation and Recovery Act (RCA) of 1976 (42 U.S.C. 6901, et. seq.), as amended;
 4. The Toxic Substances Control Act (TSCA) (15 U.S.C. 2601 et. seq.), as amended;
 5. Occupational Safety and Health Administration (OSHA) regulations, and any amendments thereto;
 6. The Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) (42 U.S.C. 9601 et. seq.), as amended;
 7. Illinois Environmental Protection Agency regulations, as amended;

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8. Illinois Department of Labor regulations, as amended;
9. City of Chicago Ordinances, as amended;
- B. Bidder/Proposer/Contractor shall not use any facility on the Environmental Protection Agency's ("EPA") List of Violating Facilities in the performance of this Contract for the duration of time that the facility remains on the List.
- C. Bidder/Proposer/Contractor shall immediately notify HUD which has awarded funds for this project if a facility it intends to use in the performance of this Contract is on the EPA's List of Violating Facilities or knows that it has been recommended to be placed on the List of Violating Facilities.
- D. Furthermore, Bidder/Proposer/Contractor shall, in the performance of this Contract, comply with all requirements of the Clean Air Act ("CAA"), 42 U.S.C. §7401-7642 and the Clean Water Act ("CWA"), 33 U.S.C. §1251-1387, including the requirements of Section 114 of the CAA and Section 308 of the CWA, and all other applicable clean air standards and clean water standards.

VII. CERTIFICATION OF RESTRICTION ON LOBBYING

THE CONTRACTOR CERTIFIES THAT:

- A. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, entering into any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal Contract, grant, loan or cooperative agreement.
- B. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this Federal contract, grant, loan or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

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- C. The undersigned shall require that the language of this certification to be included in the award documents for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-contractors shall certify and disclose accordingly.
- D. This certification is a material representation of fact upon which reliance is placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31 U.S.C. §1352.

Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 or more than \$100,000 for each such failure.

VIII. CERTIFICATION OF NONSEGREGATED FACILITIES

As used in this Affidavit, the term "subcontract" includes the term "purchase order" and all other agreements effectuating purchase of supplies or services. If this Affidavit is submitted as part of a bid or proposal, the term "Contractor" shall be deemed to refer to the Bidder or proposer, or subcontractor or supplier. This Affidavit shall be renewed annually. Notwithstanding the foregoing, the certifications made herein shall remain applicable until completion of all nonexempt contracts/subcontracts awarded while this Affidavit is in effect. The undersigned Contractor certifies the following to the CHA

- A. **REPORTS:** Within thirty (30) days after CHA award to the Contractor of any contract/subcontract and prior to each March 31 thereafter during the performance of work under said subcontract, the Contractor shall file Standard Form 100, entitle "Equal Employment Opportunity Employer Information Report EEO" in accordance with instructions contained therein, unless the Contractor has either filed such report within 12 months preceding the date of the award or is not otherwise required by law or regulation to file such a report.
- 6. **PRIOR REPORTS:** If the Contractor has participated in a previous contract or subcontract subject to Equal Opportunity Clause (41 C.F.R. Sec 60-1.4(a) (1) through (7), or the clause originally contained in Section 301 of Executive Order No. 10925, or the clause contained in Section 201 of the Executive Order No. submission of all required compliance reports, signed by proposed subcontractors, prior to awarding subcontracts not exempt from the Equal Opportunity Clause.

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CERTIFICATION OF NONSEGREGATED FACILITIES: The Contractor certifies that it does not and will not maintain or provide for its employees any segregated facilities at any of its establishments, and that it does not and will not permit its employees to perform their services at any location, under its control, where segregated facilities are maintained. The Contractor agrees that a breach of this certification is a violation of the Equal Opportunity Clause in the IFB or RFP. As used in this certification, the term "segregated facilities" means waiting room, waiting area, rest rooms and wash rooms, restaurants and other eating areas, time clocks, locker rooms and other storage or dressing areas, parking lots, drinking fountains, recreation or entertainment areas, transportation, and housing facilities provided for employees which are segregated by explicit directive or are in fact segregated on the basis of race, color, religion, or national origin, because of habit, local custom or otherwise. The Contractor further agrees that (except where it has obtained identical certifications from proposed subcontractors for specific time periods) it will obtain identical certifications from proposed subcontractors prior to the award of Contracts exceeding \$10,000 which are not exempt from the provisions of the Equal Opportunity Clause; that the CHA will retain such certifications in its files; and that it will forward the following notice to such proposed subcontractors (except where the proposed subcontractors have submitted identical certifications for specific time periods):

NOTICE TO PROSPECTIVE SUBCONTRACTORS OF REQUIREMENT FOR CERTIFICATIONS OF NONSEGREGATED FACILITIES. A certification of Non-segregated Facilities, as required by Section 60-1.8 of Title 41 of the Code of Federal Regulations, must be submitted prior to the award of a subcontract exceeding \$10,000 which is not exempt from the provisions of the Equal Opportunity Clause. (Note: The penalty for making false statement in offers is prescribed in 18 U.S.C. 1001).

7. The Contractor certifies that it is not currently in receipt of any outstanding letters of deficiencies, show cause, probable cause, or other such notification of non-compliance with EEO regulations.

NOTE: THE PENALTY FOR MAKING FALSE STATEMENTS IN BIDS/PROPOSALS IS PRESCRIBED IN 18 U.S.C. 1001.

IX. EQUAL EMPLOYMENT OPPORTUNITY

The Equal Employment Opportunity Regulations of the Secretary of Labor (41 CFR Part 60) require that each prospective contractor or proposed subcontractor submit the following information with his bid, or at the outset of negotiations.

- A. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause?

Yes _____ No X

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- B. If answer to 1, is yes, have you filed with the Joint Reporting Committee, the Director of OFCC, any Federal agency, or the former President's Committee on Equal Employment Opportunity, all reports due under the applicable filing requirements of these organizations?

Yes _____ No _____

X. DAVIS - BACON CERTIFICATION

- A. By the submission of this Affidavit, the Contractor hereby certifies that neither it nor any person or firm who has an interest in the Contractor's firm is a person or firm ineligible to be awarded contracts by the United States Government or the CHA by virtue of Section 3(a) of the Davis-Bacon Act (29 CFR 5.12 (a) (1)).
- B. No part of the Contract resulting from this solicitation shall be subcontracted to any person or firm ineligible to be awarded Contracts by the United States Government or the CHA by virtue of Section 3 (a) of the Davis-Bacon Act (29 CFR 5.12 (A) (1)).
- C. Furthermore, the Contractor hereby certifies that the information contained in this Affidavit and representation, are accurate, complete and current. The penalty for making false statements is prescribed in the U.S. Criminal Code, 18 U.S.C. 1001.

XI. SECTION 3 CERTIFICATION

For all contracts where Section 3 is applicable, the Contractor hereby agrees to comply with all the provisions of Section 3 as set forth in 24 CFR 135.1 et seq and CHA Resolutions implementing Section 3 requirements. The Prime Contractor will submit a Schedule B-Section 3 Utilization Plan to identify employment, subcontracting, and other economic opportunities for CHA residents and low- and very low-income Chicago area residents during the term of the contract between the Prime Contractor and CHA.

XII. INCORPORATION INTO CONTRACT AND COMPLIANCE

The above certifications set forth in this Contractor's Affidavit shall become part of Contract No. 2746 and incorporated by reference as if fully set forth therein. Further, the Contractor shall comply with these certifications during the term of the Contract.

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XIII. ETHICS POLICY

The Contractor hereby certifies that it shall comply with all the applicable provisions of the CHA's Ethics Policy adopted by the CHA Board on June 2004, 95-HUD-5 especially Sections 19 through 25 thereof. The Contractor further certifies that it has received and read a copy of the CHA's Ethics Policy.

Under penalty of perjury, I certify that I am authorized to execute this Contractor's Affidavit on behalf of the Contractor set forth on page 1, that I have personal knowledge of all the certifications made herein and that the same are true.

Frank B. Garrett III

Signature of President or Authorized Officer

Frank B. Garrett III

Name of President or Authorized Officer

Partner

Title

312-332-7760

Telephone Number

State of Illinois)

County of COOK)

Signed and sworn to before me this 16th day of September, 20 19
by

Frank B. Garrett III (Name) as partner

(Title) of Robbins Schwartz (Contractor)

Notary Public Signature

Neomi E. Pallarez



EXHIBIT VI

CHICAGO HOUSING AUTHORITY

(Firm's Name and Address)

Assignment Date:

Contract No.:

Contract Date:

Contract Period:

Task Order Amt.:

Area of Law:

TASK ORDER NO. 1

Pursuant to the Chicago Housing Authority contract referred to above and the requirements of the U.S. Department of Housing and Urban Development, the matter in which the above firm represents the Chicago Housing Authority under this contract is listed below:

(Full caption of the case/matter)

(Description of matter/services)

Approved Rates Not to Exceed:

01/01/17-12/31/18: \$ /hour-partners; \$ /hour-associates; \$ /hour-paralegals

Attorneys/Paralegals Assigned to Matter Consistent with Billing Guidelines (Please print):

_____ (Name)	_____ (Title)	_____ (Name)	_____ (Title)
_____ (Name)	_____ (Title)	_____ (Name)	_____ (Title)
_____ (Name)	_____ (Title)	_____ (Name)	_____ (Title)

ACCEPTED:

(FIRM'S NAME)

CHICAGO HOUSING AUTHORITY

By: _____

By: _____

Title: _____

Cheryl J. Colston
Title: Chief Legal Officer

Date: _____

Date: _____

EXHIBIT VII

**GENERAL CONDITIONS FOR NON-CONSTRUCTION CONTRACT
(Form HUD-5370-C)**

General Conditions for Non-Construction Contracts

Section II – (With Maintenance Work) Office of Labor Relations

U.S. Department of Housing and Urban Development

Office of Public and Indian Housing

OMB Approval No. 2577-0157 (exp. 01/31/2014)

Public Reporting Burden for this collection of information is estimated to average 0.08 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Reports Management Officer, Office of Information Policies and Systems, U.S. Department of Housing and Urban Development, Washington, D.C. 20410-3600; and to the Office of Management and Budget, Paperwork Reduction Project (2577-0157), Washington, D.C. 20503. Do not send this completed form to either of these addressees.

Applicability. This form HUD-5370C has 2 Sections. These Sections must be inserted into non-construction contracts as described below:

- 1) Non-construction contracts (*without* maintenance) greater than \$100,000 - use Section I;
- 2) Maintenance contracts (including nonroutine maintenance as defined at 24 CFR 968.105) greater than \$2,000 but not more than \$100,000 - use Section II; and
- 3) Maintenance contracts (including nonroutine maintenance), greater than \$100,000 – use Sections I and II.

~~Section II – Labor Standard Provisions for all Maintenance~~ Contracts greater than \$2,000

1. Minimum Wages

- (a) All maintenance laborers and mechanics employed under this Contract in the operation of the project(s) shall be paid unconditionally and not less often than semi-monthly, and without subsequent deduction (except as otherwise provided by law or regulations), the full amount of wages due at time of payment computed at rates not less than those contained in the wage determination of the Secretary of Housing and Urban Development which is attached hereto and made a part hereof. Such laborers and mechanics shall be paid the appropriate wage rate on the wage determination for the classification of work actually performed, without regard to skill. Laborers or mechanics performing work in more than one classification may be compensated at the rate specified for each classification for the time actually worked therein; provided, that the employer's payroll records accurately set forth the time spent in each classification in which work is performed. The wage determination, including any additional classifications and wage rates approved by HUD under subparagraph 1(b), shall be posted at all times by the Contractor and its subcontractors at the site of the work in a prominent and accessible place where it can be easily seen by the workers.
- (b) (i) Any class of laborers or mechanics which is not listed in the wage determination and which is to be employed under the Contract shall be classified in conformance with the wage determination. HUD shall approve an additional classification and wage rate only when the following criteria have been met:
 - (1) The work to be performed by the classification required is not performed by a classification in the wage determination;
 - (2) The classification is utilized in the area by the industry; and
 - (3) The proposed wage rate bears a reasonable relationship to the wage rates contained in the wage determination.
- (ii) The wage rate determined pursuant to this paragraph shall be paid to all workers performing work in the classification under this Contract from the first day on which work is performed in the classification.

2. Withholding of funds

The Contracting Officer, upon his/her own action or upon request of HUD, shall withhold or cause to be withheld from the Contractor under this Contract or any other contract subject to HUD-determined wage rates, with the same prime Contractor, so much of the accrued payments or advances as may be considered necessary to pay laborers and mechanics employed by the Contractor or any subcontractor the full amount of wages required by this clause. In the event of failure to pay any laborer or mechanic employed under this Contract all or part of the wages required under this Contract, the Contracting Officer or HUD may, after written notice to the Contractor, take such action as may be necessary to cause the suspension of any further payment or advance until such violations have ceased. The Public Housing Agency or HUD may, after written notice to the Contractor, disburse such amounts withheld for and on account of the Contractor or subcontractor to the respective employees to whom they are due.

3. Records

- (a) The Contractor and each subcontractor shall make and maintain for three (3) years from the completion of the work records containing the following for each laborer and mechanic:
 - (i) Name, address and Social Security Number;
 - (ii) Correct work classification or classifications;
 - (iii) Hourly rate or rates of monetary wages paid;
 - (iv) Rate or rates of any fringe benefits provided;
 - (v) Number of daily and weekly hours worked;
 - (vi) Gross wages earned;
 - (vii) Any deductions made; and
 - (viii) Actual wages paid.
- (b) The Contractor and each subcontractor shall make the records required under paragraph 3(a) available for inspection, copying, or transcription by authorized representatives of HUD or the HA and shall permit such representatives to interview employees during working hours on the job. If the Contractor or any subcontractor fails to make the required records available, HUD or its designee may, after written notice to the Contractor, take such action as may be necessary to cause the suspension of any further payment, advance or guarantee of funds.

4. Apprentices and Trainees

- (a) Apprentices and trainees will be permitted to work at less than the predetermined rate for the work they perform when they are employed pursuant to and individually registered in:
 - ① A bona fide apprenticeship program registered with the U.S. Department of Labor, Employment and Training Administration (ETA), Office of

- Apprenticeship Training, Employer and Labor Services (OATELS), or with a state apprenticeship agency recognized by OATELS, or if a person is employed in his/her first 90 days of probationary employment as an apprentice in such an apprenticeship program, who is not individually registered in the program, but who has been certified by OATELS or a state apprenticeship agency (where appropriate) to be eligible for probationary employment as an apprentice;
- (ii) A trainee program which has received prior approval, evidenced by formal certification by the U.S. Department of Labor, ETA; or
 - (iii) A training/trainee program that has received prior approval by HUD.
- (b) Each apprentice or trainee must be paid at not less than the rate specified in the registered or approved program for the apprentice's/trainee's level of progress, expressed as a percentage of the journeyman hourly rate specified in the applicable wage determination. Apprentices and trainees shall be paid fringe benefits in accordance with the provisions of the registered or approved program. If the program does not specify fringe benefits, apprentices/trainees must be paid the full amount of fringe benefits listed on the wage determination for the applicable classification.
 - (c) The allowable ratio of apprentices or trainees to journeyman on the job site in any craft classification shall not be greater than the ratio permitted to the employer as to the entire work force under the approved program.
 - (d) Any worker employed at an apprentice or trainee wage rate who is not registered in an approved program, and any apprentice or trainee performing work on the job site in excess of the ratio permitted under the approved program, shall be paid not less than the applicable wage rate on the wage determination for the classification of work actually performed.
 - (e) In the event OATELS, a state apprenticeship agency recognized by OATELS or ETA, or HUD, withdraws approval of an apprenticeship or trainee program, the employer will no longer be permitted to utilize apprentices/trainees at less than the applicable predetermined rate for the work performed until an acceptable program is approved.

5. Disputes concerning labor standards

- (a) Disputes arising out of the labor standards provisions contained in Section II of this form HUD-5370-C, other than those in Paragraph 6, shall be subject to the following procedures. Disputes within the meaning of this paragraph include disputes between the Contractor (or any of its subcontractors) and the HA, or HUD, or the employees or their representatives, concerning payment of prevailing wage rates or proper classification. The procedures in this section may be initiated upon HUD's own motion, upon referral of the HA, or upon request of the Contractor or subcontractor(s).
- ① A Contractor and/or subcontractor or other interested party desiring reconsideration of findings of violation by the HA or HUD relating to the payment of straight-time prevailing wages or classification of work shall request such reconsideration by letter postmarked within 30 calendar days of the date of notice of findings issued by the HA or HUD. The request shall set forth those findings that are in dispute and the

reasons, including any affirmative defenses, with respect to the violations. The request shall be directed to the appropriate HA or HUD official in accordance with instructions contained in the notice of findings or, if the notice does not specify to whom a request should be made, to the Regional Labor Relations Officer (HUD).

- (ii) The HA or HUD official shall, within 60 days (unless otherwise indicated in the notice of findings) after receipt of a timely request for reconsideration, issue a written decision on the findings of violation. The written decision on reconsideration shall contain instructions that any appeal of the decision shall be addressed to the Regional Labor Relations Officer by letter postmarked within 30 calendar days after the date of the decision. In the event that the Regional Labor Relations Officer was the deciding official on reconsideration, the appeal shall be directed to the Director, Office of Labor Relations (HUD). Any appeal must set forth the aspects of the decision that are in dispute and the reasons, including any affirmative defenses, with respect to the violations.
- (iii) The Regional Labor Relations Officer shall, within 60 days (unless otherwise indicated in the decision on reconsideration) after receipt of a timely appeal, issue a written decision on the findings. A decision of the Regional Labor Relations Officer may be appealed to the Director, Office of Labor Relations, by letter postmarked within 30 days of the Regional Labor Relations Officer's decision. Any appeal to the Director must set forth the aspects of the prior decision(s) that are in dispute and the reasons. The decision of the Director, Office of Labor Relations, shall be final.

- (b) Disputes arising out of the labor standards provisions of paragraph 6 shall not be subject to paragraph 5(a) of this form HUD-5370C. Such disputes shall be resolved in accordance with the procedures of the U.S. Department of Labor set forth in 29 CFR Parts 5, 6 and 7. Disputes within the meaning of this paragraph 5(b) include disputes between the Contractor (or any of its subcontractors) and the HA, HUD, the U.S. Department of Labor, or the employees or their representatives.

6. Contract Work Hours and Safety Standards Act

The provisions of this paragraph 6 are applicable only where the amount of the prime contract exceeds \$100,000. As used in this paragraph, the terms "laborers" and "mechanics" includes watchmen and guards.

- (a) **Overtime requirements.** No Contractor or subcontractor contracting for any part of the Contract work which may require or involve the employment of laborers or mechanics shall require or permit any such laborer or mechanic in any workweek in which he or she is employed on such work to work in excess of 40 hours in such workweek unless such laborer or mechanic receives compensation at a rate not less than one and one-half times the basic rate of pay for all hours worked in excess of 40 hours in such workweek.
- (b) **Violation; liability for unpaid wages; liquidated damages.** In the event of any violation of the provisions set forth in paragraph 6(a), the Contractor and any

subcontractor responsible therefor shall be liable for the unpaid wages. In addition, such Contractor and subcontractor shall be liable to the United States (in the case of work done under contract for the District of Columbia or a territory, to the District or to such territory), for liquidated damages. Such liquidated damages shall be computed with respect to each individual laborer or mechanic, including watchmen and guards, employed in violation of the provisions set forth in paragraph (a) of this clause, in the sum of \$10 for each calendar day on which such individual was required or permitted to work in excess of the standard workweek of 40 hours without payment of the overtime wages required by provisions set forth in paragraph (a) of this clause.

(c) **Withholding for unpaid wages and liquidated damages.**

HUD or its designee shall upon its own action or upon written request of an authorized representative of the U.S. Department of Labor withhold or cause to be withheld, from any moneys payable on account of work performed by the Contractor or subcontractor under any such Contract or any federal contract with the same prime Contractor, or any other federally-assisted contract subject to the Contract Work Hours and Safety Standards Act, which is held by the same prime Contractor such sums as may be determined to be necessary to satisfy any liabilities of such Contractor or subcontractor for unpaid wages and liquidated damages as provided in the provisions set forth in paragraph (b) of this clause.

7. Subcontracts

The Contractor or subcontractor shall insert in any subcontracts all the provisions contained in this Section II and also a clause requiring the subcontractors to include these provisions in any lower tier subcontracts. The prime Contractor shall be responsible for the compliance by any subcontractor or lower tier subcontractor with all the provisions contained in these clauses.

8. Non-Federal Prevailing Wage Rates

Any prevailing wage rate (including basic hourly rate and any fringe benefits), determined under state law to be prevailing, with respect to any employee in any trade or position employed under the Contract, is inapplicable to the contract and shall not be enforced against the Contractor or any subcontractor, with respect to employees engaged under the contract whenever such non-Federal prevailing wage rate, exclusive of any fringe benefits, exceeds the applicable wage rate determined by the Secretary of HUD to be prevailing in the locality with respect to such trade or position.

