February 14, 2020

Larry Fitzpatrick  
President and CEO  
Employment & Employer Services  
223 West Jackson Boulevard, Suite 1005  
Chicago, IL 60605

Re: Contract 12397 between Employment & Employer Services and the Chicago Housing Authority (CHA) for the FamilyWorks Program

Dear Mr. Fitzpatrick:

Enclosed is one (1) fully executed original of Contract 12397 between Employment & Employer Services (EES) and the Chicago Housing Authority (CHA) to provide FamilyWorks services. This is a cost reimbursement Agreement. The total amount of compensation under the Agreement for the base term is a not-to-exceed amount of $6,054,986.00.

Services are to be provided for a two (2) year base term through December 31, 2021, or until the Agreement is terminated in accordance with its terms, whichever occurs first.

Should you have any questions, please contact Sheena Aikens, Senior Procurement Specialist at 312-913-7486 or via email at saikens@thecha.org.

Sincerely,

Sheila Johnson  
Deputy Chief Procurement Officer  
Department of Procurement and Contracts

Cc: Lucas Fopma  
Amit Trivedi  
James Butler  
Contract File 12397
PROFESSIONAL SERVICES AGREEMENT

BETWEEN

EMPLOYMENT & EMPLOYER SERVICES, INC.

AND

THE CHICAGO HOUSING AUTHORITY
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PROFESSIONAL SERVICES AGREEMENT

THIS PROFESSIONAL SERVICES AGREEMENT (hereinafter, “Agreement”) is entered into as of this 30th day of December, 2019, by and between the CHICAGO HOUSING AUTHORITY (the “CHA”), a municipal corporation organized under the Illinois Housing Authority Act 310 ILCS 10/1 et seq., with offices at 60 E. Van Buren St., Chicago, Illinois and EMPLOYMENT & EMPLOYER SERVICES, INC., (the “Contractor”) an Illinois not-for-profit corporation with offices at 223 West Jackson Blvd., Chicago, Illinois 60606. CHA and Contractor are referred to collectively as the “parties.”

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 U.S.C. §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 released Request for Proposals Event No. 2717 (“RFP”) on or about July 19, 2019, to competitively procure agencies to provide CHA’s targeted services and case coordination program model (“FamilyWorks”) to CHA families; and

WHEREAS, the Contractor submitted its Proposal on or about August 22, 2019, to the CHA indicating it is ready, willing and able to provide the services as set forth in the RFP; and

WHEREAS, the CHA and the Contractor desire to enter into the Agreement for the provision of FamilyWorks targeted services and case coordination program as set forth herein.

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

ARTICLE 1. INCORPORATION OF RECITALS

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

“Contract” means the contract entered into between the CHA and the Contractor. It includes the Agreement, the General Conditions for Non-Construction Contracts (HUD Form 5370-C), the Certifications and Representations of Offerors – Non-Construction Contracts (Form HUD-5369-C), the Contractor’s Affidavit and any other exhibits which have been specifically incorporated by reference in the Agreement.
ARTICLE 2. CONTRACTOR'S DUTIES AND RESPONSIBILITIES

Section 2.01 Services to be Performed

A. Scope of Work

Contractor shall provide outreach to CHA residents and implement the FamilyWorks program model, which includes provision of targeted services to address individual resident needs with a family-centered coaching model in the designated service area(s) as reflected in the map included as Exhibit XI. Family-centered coaching focuses on the whole family and empowers the participant to take the lead to accomplish goals, while Contractor personnel provide the necessary support (hereinafter collectively referred to as the “Services”).

B. Statement of Work

The Services to be performed by the Contractor during the term of the Agreement are more fully described in the Statement of Work set forth in Exhibit I, which is attached hereto and incorporated by reference herein. Furthermore, for significant program details, the Contractor shall refer to the FamilyWorks Program Guide, which is as Exhibit X and incorporated by reference therein. In the event there is an inconsistency between the Statement of Work and the FamilyWorks Program Guide, the Statement of Work shall guide all actions.

C. Deliverables

In performing the Services, the Contractor shall prepare and/or provide the deliverables required by the Agreement along with any other required work product that may consist of documents, data, studies, reports, findings or information in any form prepared or assembled either in hard copy or electronic media (hereinafter, collectively, “Deliverables”). The CHA reserves the right to reject Deliverables which in the reasonable judgment of the CHA do not adequately represent the intended level of completion or standard of performance, do not include relevant information or data, or do not include all documents specified in this Agreement, or reasonably necessary for the purposes for which the CHA made this Agreement with the Contractor. The CHA will notify the Contractor in writing of any deficiencies the CHA may identify involving a Deliverable.

Partial or incomplete Deliverables may be accepted for review only when required for a specific purpose and when consented to in advance by the CHA. Such Deliverables may not be considered as satisfying the requirements of this Agreement and partial or incomplete Deliverables shall in no way relieve the Contractor of its commitments hereunder.

Section 2.02 Performance Standards

The Contractor shall perform all Services required under this Agreement with the degree of skill, care and diligence normally shown by an entity performing services of a scope, purpose and magnitude comparable with the nature of the Services to be provided under this Agreement. Program performance shall be measured on the outcomes set forth in the Performance Goals and Objectives, which are attached hereto as Exhibit II. Furthermore, the Contractor shall perform or cause to be performed all Services required by the Agreement in accordance with the terms and
conditions of this Agreement, in accordance with any federal, state and local laws, statutes, applicable to this Agreement, and to the satisfaction of the CHA. The Contractor must at all times act in the best interests of the CHA consistent with the professional and fiduciary obligations assumed by it in entering into this Agreement and will assure timely and satisfactory rendering and completion of its Services, including but not limited to Deliverables. Specifically, all services shall be performed in accordance with applicable professional due care standards, and in accordance with the terms and conditions of this Agreement.

The Contractor must assure that all Services which require the exercise of professional skills or judgment must be accomplished by professionals qualified and competent in the applicable discipline and appropriately licensed, if required by law. The Contractor covenants with the CHA to furnish its best professional expertise and judgment in furthering the CHA’s interests. The Contractor shall at all times use its best efforts to assure quality, timeliness, efficiency and creativity in rendering and completing the Services. The Contractor agrees that performance of the Services in a satisfactory manner shall include quick response to the CHA’s needs. Accordingly, the Contractor shall return all telephone calls and respond to all electronic mail on a timely basis within one (1) business day.

Section 2.03  Key Personnel

Larry Fitzpatrick, President and Chief Executive Officer, shall be responsible for supervising Contractor’s personnel and directing the Services to be performed during the term of the Agreement. The Contractor retains the right to substitute key personnel with reasonable cause by giving written notice to the CHA, provided that the CHA shall have the right to approve such staff changes and said approval shall not be unreasonably withheld.

Section 2.04  Non-Discrimination

Section 2.05  Section 3 and MBE/WBE/DBE Participation and Requirements

A.  **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 businesses 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 (1) or (2) 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).
v. **Section 3 Hiring**

The Section 3 Regulations provide that contractors and their subcontractors demonstrate compliance by employing Section 3 Residents as 30 percent of the aggregate number of New Hires. A contractor or subcontractor is required to hire only when a New Hire is needed to perform the work.

(a) **CHA Preferences**

The hiring efforts of the CHA’s contractors and subcontractors shall be directed to provide training and employment opportunities to Section 3 Residents in the following order of priority:
1. Residents of the housing development or developments for which the Section 3 Covered Assistance is expended;
2. Residents of other housing developments managed by the CHA;
3. CHA Housing Choice Voucher Participants;
4. Participants in HUD Youth Build Programs being carried out in the Chicago Metropolitan Area;
5. Other Section 3 Residents.

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](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.

iii. 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/](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.

**B. MBE/WBE/DBE Compliance.** Contractor agrees to comply with the CHA’s Minority and Women Disadvantaged Business Enterprise (“MBE/WBE/DBE”) requirements in accordance with the Contractor’s MBE/WBE/DBE Utilization Plan, which is attached hereto as Exhibit IV and incorporated by reference herein, and otherwise comply with the CHA’s MBE/WBE Policy (see [http://www.thecha.org/assets/1/22/Amendment_to_Special_Conditions_-_M-WBE.pdf](http://www.thecha.org/assets/1/22/Amendment_to_Special_Conditions_-_M-WBE.pdf) or the copy included in the RFP),
Documenting and Reporting. The Contractor and its subcontractors shall provide all required compliance data with respect to Contractor’s MBE/WBE/DBE efforts 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.

Section 2.06 HUD’s General Conditions for Non-Construction Contracts

HUD’s General Conditions for Non-Construction Contracts (HUD form 5370 C (1/2014)) (“General Conditions”), are attached hereto as Exhibit V and incorporated by reference as if fully set forth herein. The Contractor agrees to fully comply with the General Conditions. In the event of a conflict between the terms and conditions of the General Conditions and the terms and conditions of the Agreement, the terms and conditions of the Agreement shall control.

Section 2.07 Ownership of Work Product, Documents, Records and Reports

A. Contractor acknowledges that all Deliverables in any form including but not limited to, work papers, reports, spreadsheets, data, data-bases, documentation, training materials, drawings, photographs, film and all negatives, software, tapes and the masters thereof, prototypes, and other material, or other work product generated and assembled either in hard copy or by electronic media, pursuant to the work contracted for by the CHA hereunder (hereinafter, “Work Product”) will belong solely to the CHA and the Contractor will retain no rights therein. The Work Product is conclusively deemed by the parties as “works made for hire” within the meaning and purview of Section 101 of the United States Copyright Act, 17 U.S.C. §101 et seq. (hereinafter, “the Act”), and the CHA will be the copyright owner thereof and of all aspects, elements and components thereof in which copyright can subsist.

To the extent the Work Product does not qualify as “work made for hire,” Contractor hereby irrevocably grants, conveys, bargains, sells, assigns, transfers and delivers to the CHA, its successors and assigns, all right, title and interest in and to the copyrights and all U.S. and foreign copyright registrations, copyright applications and copyright renewals therefor, and other intangible, intellectual property embodied in or pertaining to the Work contracted for under this Agreement, free and clear of any liens, claims or other encumbrances, to the fullest extent permitted by law. Contractor will execute assignments if requested by the CHA, without additional compensation. Contractor will document all work performed for the CHA and will turn such documentation over to the CHA on completion of the Contractor’s services hereunder or earlier, if requested by the CHA. Contractor will make no use of the Work Product generated during the course of its work for the CHA during or after the term of this Agreement except to perform the work requested by the CHA.

To the extent the CHA is unable to effectively or economically use the Work Product without also using rights which are the subject of patent applications, patents, copyrights
or other statutory protection owned by Contractor, Contractor grants to the CHA, a royalty-
free, irrevocable, worldwide, nonexclusive license to make, have made, sell, use, 
reproduce, disclose, and publish such rights as necessary to fully utilize the Work Product.

In addition, Contractor agrees that it will not do anything contrary to the CHA’s ownership 
in the Work Product or which might impair the value of such ownership. Contractor agrees 
to cooperate with the CHA in executing all documentation requested by the CHA to enable 
the CHA to perfect its right in and to the Work Product.

B. All Work Product and CHA Documents provided to, or prepared or assembled by the 
Contractor in connection with the performance of the Contractor’s Services under this 
Agreement shall be the property of the CHA. The Contractor shall establish precautions 
against the destruction of all such CHA Documents and shall be responsible for any loss 
or damage to the CHA Documents while in the Contractor’s possession or use and the 
Contractor shall be responsible for restoring such CHA Documents at its sole expense. 
Except as provided above, if any CHA Documents destroyed while in the Contractor’s 
possession are not restorable, the Contractor shall be responsible for any loss suffered by 
the CHA on account of such loss or damage.

C. The Contractor shall deliver or cause to be delivered all Work Product and/or CHA 
Documents, including, but not limited to, all Deliverables prepared for the CHA under the 
Agreement, to the CHA promptly in accordance with the time limits prescribed in the 
Agreement, or if no time limit is specified, then upon reasonable demand thereof or upon 
termination or completion of the Contractor’s Services or expiration of the Agreement 
hereunder. In the event of the failure by Contractor to make such delivery, then and in that 
event, the Contractor shall pay to the CHA any damages the CHA may sustain by reason 
thereof. The Contractor shall maintain all CHA Documents not previously delivered to the 
CHA for a period of seven (7) years after final payment made in connection with the 
Agreement.

D. The Contractor shall maintain its books, records, documents, and other materials related to 
the performance of the Agreement for a period of seven (7) years following the expiration 
or termination of the Agreement and after final payment has been made and all other 
pending matters are closed, and adopt accounting procedures and practices sufficient to 
reflect properly all costs of whatever nature claimed to have been incurred or anticipated 
to be incurred for or in connection with the performance of the Contractor’s Services under 
the Agreement. The Contractor shall maintain its accounting system, books and records in 
a manner that complies with generally accepted accounting principles (“GAAP”), 
consistently applied throughout.

E. The provisions of Section 2.07 shall survive the expiration or termination of the 
Agreement.

F. The Contractor shall flow down the provisions of this Section 2.07 titled “Ownership of 
Work Product, Documents, Records and Reports” to its subcontractors at every tier.

Section 2.08 Audit Requirement

The CHA retains an irrevocable right to independently or, through a third party, audit the 
Contractor’s books and records pertaining to this Agreement and disallow any inappropriate
billings upon written notice to the Contractor. In the event of a disallowance, the Contractor shall refund the amount disallowed to the CHA.

Section 2.09   Confidentiality

The Contractor agrees that all Deliverables, reports, documents or other information prepared or assembled by, or received or encountered by the Contractor, its employees, agents and subcontractors pursuant to this Agreement are to remain confidential ("Confidential Information"). Further, the Contractor agrees that such Confidential Information shall not be made available to any individual or organization other than the CHA, HUD or courts of competent jurisdiction or administrative agencies pursuant to a subpoena without the prior written approval of the CHA. In the event the Contractor is presented with a subpoena regarding such Confidential Information, which may be in the Contractor’s possession by reason of this Agreement, the Contractor must immediately give notice to the CHA’s Chief Executive Officer and General Counsel with the understanding that the CHA will have the opportunity to contest such process by any means available to it before the Confidential Information is submitted to a court or other third party. The Contractor, however, is not obligated to withhold the delivery of such Confidential Information beyond the time ordered by the court or administrative agency, unless the subpoena or request is quashed or the time to produce is otherwise extended. The Contractor agrees that Section 2.09 of the Agreement shall survive the termination of the Agreement.

Section 2.10   Subcontracts and Assignments

Unless otherwise provided for herein, the Contractor shall not subcontract, assign otherwise delegate or otherwise transfer all or any part of its obligations under this Agreement or any part hereof without the prior written approval of the CHA. The absence of such prior written approval shall void the attempted subcontracting, assignment, delegation or transfer and shall have no legal effect on the Services or this Agreement.

The Contractor shall not transfer or assign, in whole or in part, any funds or claims due or which may become due under this Agreement without the prior written approval of the CHA. Any attempted transfer or assignments of any contract funds, either in whole or in part, or any interest therein, which shall be due or to become due to the Contractor, without the prior written approval of CHA shall be void and of no legal effect. The CHA expressly reserves the right to assign or otherwise transfer all or any part of its rights or interests hereunder.

Section 2.11   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 or HUD purposes, including, but not limited to, commercial exploitation: (a) the copyright or patent in any work developed or discovered in the performance of the Services under this Agreement, and (b) any rights of copyright or patent of which the Contractor purchases ownership with funds awarded pursuant to this Agreement for the purpose of meeting the objectives of this Agreement.

Section 2.12   Religious Activities

In connection with the Services to be provided under this Agreement, the Contractor agrees:
A. That 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; and

B. That it shall not discriminate when rendering the Services hereunder against any person on the basis of religion and shall not limit such Services or give preference to persons on the basis of religion.

Section 2.13 Drug-Free Workplace

The Contractor shall establish procedures and policies to promote a “Drug-Free Workplace.” Further, the Contractor shall notify all employees of its policy for maintaining a “Drug-Free Workplace,” and the penalties that may be imposed for drug abuse violations occurring in the workplace. Further, the Contractor shall notify the CHA if any of its employees are convicted of a criminal drug offense in the workplace no later than ten (10) days after such conviction.

Section 2.14 Force Majeure

Notwithstanding any other provision in this Agreement, the Contractor shall not be liable or held responsible for any failure to perform or for delays in performing its obligation under the Agreement, including but not limited to, the scope of services set forth hereunder which result from circumstance or causes beyond Contractor’s reasonable control, including without limitation, fire or casualty, acts of God, strikes or labor disputes, war or violence, or any lay, order or requirement of any government agency or authority.

Section 2.15 CHA Inspector General

It is the duty of the Contractor and its subcontractors to cooperate with the CHA Inspector General in any investigation or hearing undertaken. All of the Contractor’s subcontracts must include this provision and require agreement and compliance with the same.

Section 2.16 CHA Minimum Wage Requirement

In accordance with CHA’s Minimum Wage Requirements, Contractor shall (i) pay its employees no less than Thirteen Dollars per hour ($13.00/hr.) for work performed under the Contract; and shall (ii) require any subcontractors of the Contractor to pay its employees no less than Thirteen Dollars per hour ($13.00/hr) for work performed under the Contract. CHA’s Minimum Wage Requirements may be found on CHA’s website at http://www.thecha.org/assets/1/6/CHA_Minimum_Wage_Requirement.pdf.

Section 2.17 Compliance with CHA Policies

The Contractor shall comply with the applicable provisions of all CHA policies including, but not limited to:

- CHA Ethics Policy
- Social Security Number Protection Policy
- Local Transportation & Mileage Reimbursement Policy
- CHA Travel Guidelines
- General Business Expense Policy
- CHA’s Language Access Policy

ARTICLE 3. TERM OF AGREEMENT

Section 3.01 Term of Agreement

The term of this Agreement is for the period of January 1, 2020 through December 31, 2021, or until the Agreement is terminated in accordance with its terms, whichever occurs first.

Section 3.02 Contract Extension Options

The CHA, at its sole discretion, may extend this Agreement for three (3) additional one-year option periods, subject to CHA Board approval, if required. Each option term shall only be exercised at the time of the expiration of the prior contract term, and may only be exercised individually. Any extension shall be under the same terms and conditions as this original Agreement. The Agreement shall be modified to reflect the time extension in accordance with the provisions of Section 9.03 of this Agreement.

Section 3.03 Timeliness of Performance

The Contractor shall use its best efforts to provide the Services and Deliverables within the time limits required under this Agreement, or from time to time as otherwise required by the CHA. The Contractor and the CHA acknowledge that deadlines for certain Services provided for in this Agreement may be dictated by the requirements of agencies or events outside the control of the CHA and the Contractor, and the failure by the Contractor to meet deadlines may result in economic or other significant losses to the CHA. Therefore, except to the extent that the Contractor’s inability to meet its deadlines is caused by the delay due to the CHA, by acts of God or other events outside the control of the Contractor, TIME IS OF THE ESSENCE, so that failure to perform in a timely manner shall be considered a material breach of the Agreement.

ARTICLE 4. COMPENSATION AND PAYMENT

Section 4.01 Compensation

During the two-year base term of the Agreement, CHA shall pay Contractor, on a cost-reimbursement basis, an amount not-to-exceed Six Million Fifty-Four Thousand Nine Hundred Eighty-Six and 00/100 Dollars ($6,054,986.00). Contractor shall perform the Services in accordance with the FamilyWorks Program Guide (Exhibit X) and the Program Operating Budget (Exhibit VI). The Contractor agrees not to perform and waives any and all claims for payment of work, materials, expenses, resources or other claims which would result in billings beyond this amount. In no event shall the CHA be responsible for any work, costs or expenses incurred in the performance of the Services other than those set forth in the Program Operating Budget, attached hereto as Exhibit VI.

It is mutually understood and agreed by the parties that the agreed upon compensation amounts, which include all reimbursable expenses, are the only compensation provided for in this
Agreement and there will be no additional, costs, fees or other type of profit allowable or paid under this Agreement without an express written amendment to the Agreement authorizing said additional work or expenses. The Contractor acknowledges an affirmative duty to monitor its performance and billings to ensure that the scope of work is completed within the previously agreed compensation amount.

Section 4.02 Payment

Upon execution of the Agreement, CHA will make an initial advance payment ("Advance Payment") to the Contractor in the amount of $299,996.00. The Contractor shall submit monthly invoices for reimbursement of costs, as set forth in the Program Operating Budget, to CHA for approval in accordance with the CHA Resident Services Cost Reimbursement Procedures (Exhibit XII). During the final 10-month period of the initial base term year, March 2020 through December 2020, CHA shall reconcile the Advance Payment amount by reducing the compensation paid to Contractor by an amount equal to $30,000.00 until the total Advance Payment is recovered by CHA.

Upon commencement of the second base term year of this Agreement, CHA will make an advance payment ("Advance Payment") to the Contractor in the amount of $305,503.00. The Contractor shall submit monthly invoices for reimbursement of costs, as set forth in the Program Operating Budget, to CHA for in accordance with the CHA Resident Services Cost Reimbursement Procedures (Exhibit XII). During the final 10-month period of the second base term year, March 2021 through December 2021, CHA shall reconcile the Advance Payment amount by reducing the compensation paid to Contractor by an amount equal to $30,550.00 until the total Advance Payment is recovered by CHA.

In the event the Agreement is terminated pursuant to the terms of Article 7, prior to the full Advance Payment being reconciled, CHA shall be entitled to withhold any payment due to the Contractor, up to the remaining balance of the Advance Payment. If the total compensation owed to Contractor following termination is insufficient to reconcile the Advance Payment balance, the Contractor shall, within 60-days or less, repay the remaining Advance Payment balance due to the CHA. In the event the Contractor fails to repay the CHA, CHA may take all appropriate actions against the Contractor to recover any Advance Payment funds not offset through withholding payment as stated herein.

If the Program Operating Budget (Exhibit VI) includes a line item description and corresponding amount for the Summer Youth Employment ("SYEP") incentive, the Contractor shall be compensated accordingly if the goal of having 80 percent of SYEP Participants work at least 75 percent of the possible hours is achieved in accordance with the Performance Goals and Objectives (Exhibit II). Eligible Participants that obtain unsubsidized employment during SYEP shall be considered toward the SYEP successful completion goal.

Each invoice shall contain back-up information as required by CHA to support its request for cost-reimbursement, and only those costs that are set forth in the various line items of the Program Operating Budget (Exhibit VI) and that are allowable under either 48 CFR Part 31 (Cost Principles for For-Profit Organizations) or 2 CFR Part 230 (Cost Principles for Not-For-Profit Organizations), as applicable and CHA’s General Business Expense Policy, effective September 20, 2011, shall be considered for reimbursement. In the event of a conflict between any allowable line expenses in the Program Operating Budget and the provisions of 48 CFR Part 31 or 2 CFR
Part 230, as applicable, and the CHA’s General Business Expense Policy, the former shall control. The CHA shall not be required to give approval or make payments pursuant to a submitted invoice unless information required to be included with the invoice, or that has been specifically requested by the CHA, and all the reporting requirements and Deliverables as set forth in this Agreement, or other reasonable and written requests by CHA for additional information, have been met.

CHA shall make commercially reasonable efforts to make payment for Services rendered under this Agreement within thirty (30) days following receipt and approval of each invoice submitted. All invoices shall be subject to review and approval by CHA. If CHA objects to all or any portion of any invoice, it shall notify the Contractor of its objection in writing and both parties shall make every effort to settle the disputed portion of the invoice. Notwithstanding the foregoing, CHA may, at its option, pay the undisputed portion of any invoice without being deemed to have accepted the disputed portion. All disputes regarding invoices shall be handled in accordance with the provisions of Article 5 herein.

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’s Board of Commissioners, and (3) the Contractor’s satisfactory performance of this Agreement. Furthermore, in the event that no funds or insufficient funds are appropriated and budgeted or appropriated funds are rescinded by Congress in any fiscal period of the term of this Agreement for payments to be made under this Agreement, then the CHA may notify the Contractor 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.

ARTICLE 5. DISPUTES

Section 5.01 Disputes

In the event of a dispute between the CHA and the Contractor involving this Agreement, both parties will attempt to negotiate a resolution. If the parties cannot resolve the dispute through negotiation, either party shall, unless otherwise set forth herein, submit the dispute in writing to CHA’s Department of Procurement and Contracts in accordance with the provision set forth in Paragraph No. 7 of the HUD General Conditions for Non-Construction Contracts (Exhibit V).

ARTICLE 6. RISK MANAGEMENT

Section 6.01 Insurance

The Contractor agrees to comply with and meet or exceed all of CHA’s insurance requirements that are set forth in Exhibit VII, which is attached hereto and incorporated by reference herein as if fully set forth herein.
Section 6.02  Indemnification

The Contractor agrees to protect, defend, indemnify, keep save, and hold the CHA, its officers, officials, employees and agents and contractors free and harmless from and against any and all liabilities, losses, penalties, damages, settlements, environmental liability, costs, charges, professional fees, including attorney fees, or other expenses or liabilities of every kind, nature and character arising out of or relating to any and all claims, liens, demands, obligations, actions, suits, judgments or settlements, proceedings or causes of action of every kind, nature and character (collectively, “Claims”) in connection with or arising directly or indirectly out of this Agreement and/or the acts and omissions of the Contractor, its agents, employees, and subcontractors, including but not limited to, the enforcement of this indemnification provision. Without limiting the foregoing, any and all such Claims, relating to personal injury, death, damage to property, defects in material or workmanship, actual or alleged infringement of any patent, trademark, copyright or any other tangible or intangible personal or property right, or any actual or alleged violation of any applicable statute, ordinance, order, rule or regulation, or decree of any court, shall be included in the indemnity hereunder. The Contractor further agrees to investigate, handle, respond to, provide defense for and defend all suits for any and all Claims at its sole expense and agrees to bear all the costs and expenses related thereto, even if the Claims are considered groundless, false or fraudulent.

To the extent permissible by law, Contractor waives any limits on Contractor’s liability that it would otherwise have by virtue of the Workers Compensation Act or any other law or judicial decision (specifically Kotecki v. Cyclops Welding Corporation, 146 Ill.2d 155 (1991)).

The CHA shall have the right, at Contractor’s expense, to participate in the defense of any suit, without relieving the Contractor of any of its obligations under this indemnity provision. The Contractor expressly understands and agrees that the requirements set forth in this indemnity to protect, defend, indemnify, keep, save and hold the CHA free and harmless are separate from and not limited by the Contractor’s responsibility to obtain, procure and maintain insurance pursuant to any other section of this Agreement. Further, the indemnities contained in this section shall survive the expiration or termination of this Agreement.

ARTICLE 7. EVENTS OF DEFAULT, REMEDIES, TERMINATION, RIGHT TO OFFSET, SUSPENSION

Section 7.01  Events of Default Defined

Each of the following shall constitute an event of default:

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

B. The Contractor’s failure to perform any of its obligations under this Agreement including, but not limited to, the following:

1. Failure to perform the Services with sufficient personnel or with sufficient material to ensure the performance of the Services or due to a reason or circumstance within the Contractor’s control;
2. Failure to meet any of the performance standards set forth in this Agreement;

3. Failure to perform the Services in a manner reasonably satisfactory to the CHA, or inability to perform the Services satisfactorily as a result of insolvency, filing for bankruptcy or assignment for the benefit of creditors;

4. Failure to promptly re-perform within a reasonable time Services or Deliverables that were rejected as erroneous or unsatisfactory;

5. Discontinuance of the Services for reasons or circumstances not beyond the Contractor’s control;

6. Failure to comply with a material term of this Agreement, including, but not limited to, the provisions concerning compliance with HUD regulations, insurance, nondiscrimination, and CHA policies; and

7. Any other acts specifically and expressly stated in this Agreement as constituting an event of default.

C. Any change in majority ownership or majority control of the Contractor without the prior written approval of the CHA, which written approval shall not be unreasonably withheld.

D. The Contractor’s default under any other agreement it may presently have or may enter into with the CHA during this Agreement. The Contractor 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 which the Contractor fails to cure within thirty (30) calendar days after receipt of written 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) calendar days after notice, or if the Contractor has failed to commence and continue diligent efforts to cure such default within thirty (30) days, the CHA may, at its sole option, declare the Contractor in default. Whether to declare the Contractor in default is within the sole discretion of the CHA 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 the Contractor and such decision shall be final and effective upon the Contractor’s receipt of such notice pursuant to Article10. Upon the giving of such notice, the CHA may invoke any or all of the following remedies:

A. The right to terminate this Agreement as to any or all of the Services yet to be performed effective at a time specified by the CHA.
B. The right to pursue any and all remedies, legal and/or equitable, available to the CHA.

C. The right to withhold all or any part of Contractor’s compensation hereunder with respect to Services not completed in accordance with the terms hereof prior to the termination of this Agreement.

D. The right to deem Contractor non-responsible in future contracts to be awarded by the CHA.

E. The right to take over and complete the Services or any part thereof as agent for and at the cost of contractor, either directly or through others.

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 Contractor to continue to provide the Services despite one or more events of default, the Contractor 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 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 Services to be performed under it, at any time by written notice from the CHA to Contractor when the Agreement may be deemed to be no longer in the best interests of the CHA. If the CHA elects to terminate the Agreement in full, all Services to be performed hereunder shall cease effective ten (10) calendar days after the date written notice has been provided. The Contractor shall continue to render the services until the effective date of termination. No cost incurred by the Contractor after the effective date of termination shall be allowed. Subject to performance within the requisite performance standards and audits of invoices as set forth above, the CHA shall pay to Contractor on a pro-rata basis, costs incurred for Services rendered through the date of termination. This Section 7.03 is not subject to Article 5 of this Agreement.

The Contractor shall flow down the provisions of Section 7.03 in all of its contracts with its subcontractors, if any.

Section 7.04 Suspension

The CHA may at any time request that the Contractor suspend its Services, or any part thereof, by giving ten (10) days prior written notice to the Contractor or upon no notice in the event of an emergency. No costs incurred after the effective date of such suspension shall be allowed.
The Contractor shall promptly resume its performance of such Services under the same terms and conditions as stated herein upon written notice by the CHA (Department of Procurement and Contracts).

Section 7.05  No Damages for Delay

The Contractor agrees that it shall make no claims against the CHA for damages, charges, interest, additional costs or fees incurred by reason of delays or suspension of work caused by the CHA in the performance of its obligations under this Agreement. The Contractor’s sole and exclusive remedy for delays or suspension of work caused by the CHA is an extension of time equal to the duration of delay or suspension to allow the Contractor to perform its obligation under this Agreement.

Section 7.06  Right to Offset

To the extent permitted by applicable law:

A. In connection with performance under the Agreement, the CHA may offset any incremental costs and other damages the CHA incurs in any and all of the following circumstances:
   
   i. If the CHA terminates the Agreement for default or any other reason resulting from the Contractor’s performance or non-performance;
   
   ii. If the CHA exercises any of its remedies under Section 7.02 of the Agreement;
   
   iii. If the CHA has any credits due or has made any overpayments under the Agreement.

The CHA may offset these incremental costs and any other damages by use of any payment due for Services completed before the CHA terminated the Agreement or before the CHA exercised any remedies. If the amount offset is insufficient to cover those incremental costs and other damages, the Contractor shall be liable for and must promptly remit to the CHA the balance upon written demand for it. The right to offset is in addition to and not a limitation of any other remedies available to the CHA.

B. Without breaching this Agreement, the CHA may set off a portion of the compensation due under this Agreement in an amount equal to the amount of any liquidated or un-liquidated damages or claims that the CHA has against the Contractor arising out of any other agreements between the CHA and the Contractor or otherwise unrelated to this Agreement. If and when the CHA’s claims against the Contractor are finally adjudicated in a court of competent jurisdiction or otherwise resolved, the CHA will reimburse the Contractor to the extent of the amount the CHA has offset against this Agreement inconsistently with the determination or resolution.

ARTICLE 8. WARRANTIES, REPRESENTATIONS AND SPECIAL CONDITIONS

Section 8.01  Warranties, Representations and Covenants
In connection with the execution of this Agreement, the Contractor warrants and represents to CHA:

A. That it is financially solvent; and that it and each of its employees or agents of any tier are competent to perform the Services required under this Agreement; and that Contractor 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 the Contractor 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 and HUD, and that no payment, gratuity or offer of employment shall be made in connection with this Agreement by or on behalf of the Contractor to any employee of the CHA; and the Contractor 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 Contractor and its subcontractors, if any, are not in default at the time of the execution of this Agreement or deemed by the CHA’s Department of Procurement and Contracts to have, within the last five (5) years, been found to be in default on any contract awarded by the CHA.

D. 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 officials, officers, agents, or employees, has induced the Contractor to enter into this Agreement or has been relied upon by the Contractor.

E. That the Contractor has carefully examined and analyzed the provisions and requirements of this Agreement and that it understands the nature of the Services required;

F. That the Contractor acknowledges that the CHA, in its selection of the Contractor to perform the Services hereunder, materially relied upon the Contractor’s Proposal, that the Proposal was accurate at the time it was made and that no material changes in it have been nor will be made without the express consent of the CHA;

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 officials, officers, agents, or employees, has induced Contractor to enter into this Agreement or has been relied upon by Contractor.

H. That the Contractor and, to the best of its knowledge, its subcontractors are not in violation of the provisions of 18 U.S.C. § 666 (a)(2) and other Federal criminal laws applicable to public contracts funded with federal government funds, the Illinois Criminal Code, 720 ILCS 5/33E-1 et seq. (1989), as amended; and the CHA’s Ethics Policy, as amended (see http://www.thecha.org/pages/forms__documents/66.php) and during the term of the Agreement will not violate the provisions of such laws and policies.
I. That the Contractor has disclosed any and all relevant information to the CHA and the Contractor understands and agrees that any certification, affidavit or acknowledgment made under oath or failure to disclose in connection with this Agreement is made under penalty of perjury and, if false, is also cause for termination of this Agreement.

J. That the Contractor is a duly organized and validly existing corporation under the laws of the State of Illinois and has and will continue to have at all times during the term of this Agreement, all licenses necessary to render the Services required hereunder.

K. That the Contractor has the power and authority to enter into and perform all of its obligations under this Agreement, and that this Agreement, when executed will constitute the duly authorized, valid and legally binding obligation of the Contractor.

Section 8.02 Joint and Several Liability

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

Section 8.03 Business Documents and Contractor’s Affidavit

The Contractor shall provide to the CHA evidence of its authority to conduct business in the State of Illinois, including without limitation, registrations of assumed names or limited partnerships and certifications of good standing with the Office of the Secretary of the State of Illinois. The Contractor’s Affidavit, Contractor’s Certifications and Representations of Offerors – Non-Construction Contracts (HUD Form 5369-C) and Equal Opportunity Certificate are attached hereto as Exhibit VIII and incorporated by reference as if fully set forth herein. The Contractor shall at all times comply with, and be in compliance with the Contractor’s Affidavit, Contractor’s Certifications and Representations of Offerors – Non-Construction Contracts (HUD Form 5369-C) and Equal Opportunity Certificate.

Section 8.04 Conflict of Interest

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 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 or CHA employee shall be entitled to any share or part of this Agreement or to any financial benefit to arise from it.

B. The Contractor covenants that it and its employees, or sub-contractors, 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 Services hereunder. The Contractor further covenants that during the performance of this Agreement, no person having any such interest shall be employed. Contractor agrees that if the CHA determines that any of Contractor’s services for others conflict with the Services that the Contractor is to render for the CHA under this Agreement; Contractor shall terminate such other services
immediately upon request of the CHA.

C. Additionally, pursuant to the conflict of interest provisions in 2 C.F.R. §200.318 (c), 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 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 hereunder, either for himself or herself or for those whom he or she has family or business ties, during his or her tenure or for one year thereafter.


Section 8.05 Non-Liability of Public Officials

No official, employee or agent of the CHA shall be personally liable to the Contractor or the Contractor’s successor in interest for: (i) any default or breach by the CHA under this Agreement, (ii) any fee due to the Contractor or the Contractor’s successor in interest or (iii) any other obligation arising under this Agreement.

Section 8.06 Independent Contractor

The Contractor and the CHA recognize that Contractor is an independent contractor and not an employee, agent, partner, joint venturer, covenanor, or representative of the CHA and that CHA will not incur any liability as the result of Contractor’s actions. Contractor and its employees, representatives, and agents shall at all times represent and disclose that they are independent contractors of the CHA and shall not represent to any third party that they are an employee, agent, covenanor, or representative of the CHA. The CHA shall not be obligated to withhold any funds from Contractor for tax or other governmental purposes, with respect to its employees, agents, representatives or subcontractors. Contractor and its employees, representatives, and agents shall not be entitled to receive any employment benefits offered to employees of the CHA including workers’ compensation insurance coverage.

ARTICLE 9. GENERAL CONDITIONS

Section 9.01 Entire Agreement

This Agreement and the Exhibits attached hereto shall constitute the entire agreement between the parties hereto relating to the subject matter hereof and no other warranties, inducements, considerations, covenant, conditions, promises or interpretations shall be implied between the parties that are not set forth herein. In the event of a conflict between the Agreement and any Exhibits that have been incorporated by reference, the terms of the Agreement shall control.
Section 9.02 Counterparts

This Agreement may be executed in several identical counterparts, each of which shall be deemed an original and constitute one Agreement binding on the parties hereto.

Section 9.03 Amendments

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 the Contractor and by the CEO of the CHA or his/her respective designees. The CHA shall incur no liability for additional Services without a written amendment to this Agreement pursuant to this Section.

Whenever in this Agreement the Contractor is required to obtain prior written approval, the effect of any approval which may be granted pursuant to the Contractor’s request 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 granted.

Section 9.04 Compliance with All Laws and Regulations


B. The Contractor 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  Deemed Inclusion

Provisions required by law, ordinances, rules, regulations or executive orders to be included in this Agreement are deemed inserted in this Agreement whether or not they appear in the Agreement or, upon application of either party, the Agreement shall be amended to make this insertion; however, in no event shall the failure to insert the required provisions before or after the Agreement is signed prevent its enforcement.

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  Jurisdiction

This Agreement shall be governed as to performance and interpretation in accordance with the laws of the State of Illinois. The Contractor 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. The Contractor agrees that service of process on the Contractor 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 and to the office actually maintained by the Contractor, or by personal delivery on any managing partner, partners and principals of the Contractor. If the Contractor brings any action against the CHA concerning this Agreement, the action shall only be brought in those courts located within the County of Cook, State of Illinois.

Section 9.08  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 genders. 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 and thereof. 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 9.09 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 9.10 Cooperation

The Contractor 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 if it is to expire on its own terms, the Contractor shall make every effort to assure an orderly transition to another Contractor, the uninterrupted provision of Services during any transition period and shall otherwise comply with the reasonable requests and requirements of the CHA in connection with the termination or expiration of this Agreement.

Section 9.11 Waiver

Whenever under this Agreement the CHA, by a proper authority, expressly waives the Contractor’s performance in any respect or expressly waives a requirement or condition to either the CHA’s or the Contractor’s performance, the waiver so granted, 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 of a requirement or condition.


The Contractor shall flow down the following provisions of the Agreement and General Conditions to its contracts with subcontractors: Section 2.04, Section 2.05, Section 2.06, Section 2.07, Section 2.08, Section 2.09, Section 2.10, Section 2.11, Section 2.12, Section 2.13, Section 2.14, Section 2.15, Section 2.16, Section 7.03, Section 7.03, Section 7.04, and Section 9.04 of the Agreement and paragraph numbers 2, 3, 4, 5, 6, 10, 11, 12, 13, 14, 15, 16, 17, 20, 21 and 22 of the General Conditions.

ARTICLE 10. COMMUNICATION AND NOTICES

Section 10.01 Communication Between the Parties

All verbal and written communication, including required reports and submissions between the Contractor and the CHA shall be through the CHA’s Deputy Chief Resident Services Officer, 60 E. Van Buren St., 10th Floor, Chicago, IL 60605, when required. No verbal communication between the parties shall change any of the terms and conditions of this Agreement. 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 the U.S. District Court for the Northern District of Illinois.
Section 10.02 Notices

Any notices sent to the Contractor shall be mailed by certified mail, return receipt requested, postage prepaid to:

Employment & Employer Services, Inc.
223 West Jackson Blvd.
Chicago, Illinois 60606
Attention: Larry Fitzpatrick, President and CEO

Notices sent to the CHA shall be mailed by certified mail, return receipt requested, postage prepaid to:

Chicago Housing Authority
60 E. Van Buren St., 10th Floor
Chicago, Illinois 60605
Attention: Deputy Chief Resident Services Officer

Copy to:

Chicago Housing Authority
60 E. Van Buren St., 12th Floor
Chicago, Illinois 60605
Attention: Chief Legal Officer

ARTICLE 11. AUTHORITY

Section 11.01 CHA’s Authority

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

Section 11.02 Contractor’s Authority

The signature of the person signing on behalf of the Contractor has been made with complete and full authority to commit the Contractor 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 the Contractor have executed this Agreement as of the date first written above.

CHICAGO HOUSING AUTHORITY

By: [Signature]
Sheila Johnson
Deputy Chief Procurement Officer

Approved as to Form and Legality
Chicago Housing Authority
Office of the General Counsel

By: [Signature]
Cheryl J. Colston
Chief Legal Officer

EMPLOYMENT & EMPLOYER SERVICES, INC.

By: [Signature]
Print Name: [Signature]
Title: [Signature]
EXHIBIT I

STATEMENT OF WORK

The FamilyWorks program model has a primary focus of meeting the needs of individuals included on a Public Housing or Mixed Income Resident lease or Housing Choice Voucher lease validated by CHA ("Households") and is designed to address individual needs. The FamilyWorks program employs a family centered coaching model, which focuses on the needs of all Household members. The family centered coaching model empowers CHA Households to take the lead to accomplish goals, while Contractor personnel provide the necessary support. The target population priority for service delivery is described in the FamilyWorks Program Guide (Exhibit X). Services the Contractor is responsible for delivering include, but are not limited to, family coaching, computer lab management; intake; youth engagement including oversight of the Summer Youth Employment Program; senior services; clinical services; housing support including housekeeping and education services; and lease compliance assistance with the goal of maintaining lease compliance and reaching economic self-sufficiency (hereinafter collectively referred to as the "Services"). Contractor shall be responsible for providing Services to Households as described in the Agreement's Section 2.01 (A); Scope of Work. All Households that have a Family Action Plan are considered to be enrolled in the FamilyWorks program.

1. Program Framework

   a) All services shall be delivered in accordance with current CHA program guides, policies and procedures. This Statement of Work is supplemented by the FamilyWorks Program Guide (Exhibit X).

   b) The Contractor shall ensure goals established and services delivered to Households are consistent with the following service impact areas:

      i. Foster Economic Independence to help residents move forward on the path to self-sufficiency.

      ii. Increase Earning Power to help residents prepare for employment or career advancement to gain long-term earning potential. The Contractor should provide basic employment preparation services; however, Contractor must refer Household members to CHA employment programs for transitional jobs, training or direct employment placement.

      iii. Support Academic Achievement to help residents succeed throughout their academic career. Contractor must be involved in promoting early learning enrollment, out of school time programming, and college preparation activities.

      iv. Enhance Stability and Quality of Life to help Households remain out of crisis and meet their basic needs; with respect to senior residents this includes helping them to age in place if possible. Following is a list of subcategories related to this service focus area:

         1. Clinical and Wellness Services
         2. Housing Lease Compliance
         3. Relocation Services for families awaiting a Right of Return (10/1/99)
4. Senior Services

2. Assessment of Need

a) The Contractor must complete an intake (Adult and/or Senior) with CHA Households that enroll in Services. The intake should serve as a guide to assist Households to develop a Family Action Plan.

b) The Contractor must utilize CHA’s intake and assessment tools.

c) The Contractor must complete a senior home visit survey with all Household members age 62 and older at least twice annually to assess the physical condition of the unit and the senior’s physical well-being.

d) The Contractor shall work with Households to identify necessary supportive services to help achieve goals related to a CHA impact area, as needed. The Contractor may deliver supportive services, as needed, in accordance with the approved Program Operating Budget (Exhibit VI).

3. Outreach

a) The Contractor must outreach to all Households assigned to the designated service area to ensure Households are aware of upcoming initiatives, events and are engaged in Services. Special attention should be provided to Public Housing Residents.

b) The Contractor must use the CHA Client Management Tracking System to manage waitlists for Households waiting to enroll in Services should capacity be reached. The Contractor must ensure CHA Households awaiting a Right of Return are enrolled in Services at any time and are not added to a waitlist.

c) Workshops related to the core CHA Resident Services impact areas: Foster Economic Independence; Increase Earning Power, Support Academic Achievement and Enhance Stability and Quality of Life, must be offered to all CHA Households. Housekeeping education workshops must be included in Services rendered. The Contractor must collaborate with CHA to plan workshop topics.

d) Summer Youth Employment Program

Contractor will be responsible for assisting CHA with recruiting specific Household members to participate in the Summer Youth Employment Program ("SYEP") as directed. Other Contractor responsibilities include:

i. Provision of adequate program orientation, oversight and supervision for Summer Youth Employment Program participants.

ii. Assisting CHA to complete new employee forms (I-9, W-4, etc.) for Summer Youth Employment Program participants in the corresponding service area.

iii. Creation and maintenance of complete and accurate records for Summer Youth Employment Program participants.

Exhibit 1 - 2
iv. Recruitment and oversight of appropriate worksites for Summer Youth Employment Program participants.

v. Maintenance of comprehensive information on worksite placements that will include, but is not limited to, work site agreements, job titles, and documentation of participant hours worked at the work site.

4. Caseload & File Management

a) Contractor must maintain case files for all non-minor Household members that enroll in Services and have an intake. Contractor must ensure files are maintained in a uniform fashion, consistent with CHA’s standard file format, and include support documentation related to performance outcomes. All files must be in a secured environment (e.g., locked file cabinet) that ensures confidentiality of Household member information.

b) Contractor must maintain separate case files for all Household members who enroll in SYEP. SYEP case files must be returned to CHA at the end of each SYEP program year.

c) Household member Services must be documented on CHA approved forms (e.g., assessments, referrals, etc.).

d) Contractor must comply with CHA’s file and caseload transfer policies and procedures, including notification to Household members and obtaining required consent prior to transferring certain confidential information.

5. Mandatory CHA Development Office Locations and Community Office Locations

a) Contractor is responsible for rendering Services at the corresponding Mandatory CHA Development Office Location(s) based on the assigned service area and other approved Community Office Locations (See Exhibit IX). The Mandatory CHA Development Office Locations will be available at no cost to Contractor. However, Contractor is responsible for all costs associated with operations of the designated Mandatory CHA Development Office Locations (supplies, phones, utilities, etc.).

b) CHA reserves the right to add additional Mandatory CHA Development Office Locations as necessary and adjust the Contractor’s budget accordingly to reflect reasonable and allowable costs related to service locations.

c) Contractor must maintain at least one Community Office Location in the designated service area. Contractor is responsible for all costs associated with operations of approved Community Office Locations.

d) Mandatory CHA Development Office Locations will be primarily used to serve Public Housing residents, while Community Office Locations will be primarily used to serve Mixed Income Residents and HCV Participants.

6. Computer Lab (Digital Resource Center) Oversight and Management

a) Contractor must provide ongoing management and general supervision of the assigned CHA computer lab(s), at designated location(s) in accordance with the assigned service area, in accordance with current FamilyWorks program policies and procedures.
b) Contractor must ensure the assigned computer lab(s) has adequate supplies necessary to utilize the equipment to the fullest extent (e.g., printer ink, paper, general office supplies). Contractor will be responsible for purchasing and obtaining supplies.

c) Computer lab(s) must be adequately staffed with a computer lab monitor(s) as prescribed in the FamilyWorks Program Guide. Computer lab monitors should be a Public Housing resident of the CHA property where the computer lab is located or a nearby CHA property; CHA will confirm if a prospective computer lab monitor is compliant with the parameters of the lease for the unit where he or she resides. Computer lab monitor schedules are subject to CHA approval. Contractor must ensure adequate staff coverage for computer labs, in the absence of a computer lab monitor(s).

d) Contractor must adhere to universal computer lab operating policies and procedures as described in the FamilyWorks Program Guide, which include, but are not limited to, documenting and reporting incidents that occur in the computer lab(s), posting of hours and programming, coordinating services, etc.

e) Contractor must ensure a reasonable effort has been made to fix computer lab equipment that has malfunctioned. Requests for new or replacement computer lab equipment should be submitted to CHA; at CHA’s discretion computer lab equipment and software purchases will be made and CHA will be liable for the costs associated with such purchases. The CHA will be responsible for internet costs associated with the designated computer lab.

f) Contractor shall provide programming and activities that increase technology literacy and enhance other skill sets that align with CHA’s impact areas.

7. Tracking & Quality Assurance

a) Contractor must utilize CHA’s Client Management Tracking System (“CMTS”) to document Services performed (e.g., outreach and engagement, intakes and assessments, etc.).

b) Information reported by Contractor in CHA’s Client Management Tracking System must be supported by documentation in files for Households members engaged in Services. The Client Management Tracking System and files will be utilized by CHA to measure agency performance toward Anticipated Performance Goals & Objectives (Exhibit II). No other data systems or tracking methods will be considered. CHA may, at its sole discretion, determine adequate progress toward performance outcomes.

c) Contractor must utilize CHA’s Youth Tracking System to document participation in the CHA’s Summer Youth Employment Program.

d) Contractor must participate in file reviews with CHA staff as described in the FamilyWorks Program Guide.

8. Reporting

Contractor must comply with CHA’s requests for reporting to complete its monitoring and evaluation of services. This may include, but is not limited to:
a) Family Action Plan Goals;
b) Performance reports generated to track progress toward Performance Goals & Objectives;
c) Reports as required by CHA to be submitted by Contractor;
d) Monthly financial review of each invoice submitted by Contractor;
e) Quarterly reporting on leverage resources and in-kind services, and funding;
f) Quarterly inventory lists of assets purchased with CHA funding through the awarded contract;
g) Computer Lab program schedules (e.g., dates, start time, etc.);
h) Computer Lab daily program participation;
i) Computer Lab incident reports completed;
j) Computer Lab daily utilization log and demographics;
k) Summary of technical equipment issues and reported issues at the assigned computer lab(s);
l) Statistics on monthly usage of computer labs;
m) Supplies ordered and new/replacement equipment requested for the assigned computer lab(s);

n) Number of CHA Household members completing technical training at the assigned computer lab(s); and

o) A detailed inventory list of all computer lab supplies and equipment at each assigned computer lab location.

p) Contractor must adhere to the Resident Services Cost Reimbursement Procedures (Exhibit XII).

9. Collaboration & Coordination

a) Contractor must be ready, willing and able to effectively and efficiently coordinate Services to meet program goals.

b) Contractor must collaborate with CHA’s staff, working groups at CHA redevelopment sites, property managers, Local Advisory Council Presidents, Resident Service Coordination Program, Mobility Counseling Program, workforce development providers, education providers and other entities where appropriate to ensure services rendered are effectively coordinated.

c) Contractor must participate in Project Director meetings and meetings requested by CHA.

d) Contractor must ensure all Contractor personnel are familiar with and utilize existing CHA partnerships to coordinate Services for Households.
e) Contractor must ensure fidelity to the Family Centered Coaching model through appropriate and regular supervision of Contractor Personnel.

f) Contractor must ensure each approved office location is open in accordance with the hours reflected in the current FamilyWorks Program Guide.
## EXHIBIT II

### PERFORMANCE GOALS AND OBJECTIVES

<table>
<thead>
<tr>
<th>Outcome Measure</th>
<th>Base Term Year 1 Goal</th>
<th>Base Term Year 2 Goal</th>
</tr>
</thead>
<tbody>
<tr>
<td># of enrolled families in Family Coaching as Tier I (PH not working; cumulative year to date)</td>
<td>Tracking only</td>
<td>Tracking only</td>
</tr>
<tr>
<td># of enrolled families as Tier II (cumulative year to date)</td>
<td>Tracking only</td>
<td>Tracking only</td>
</tr>
<tr>
<td>Total # of families currently enrolled in Family Center Coaching services (current)</td>
<td>Tracking only</td>
<td>Tracking only</td>
</tr>
<tr>
<td>% of slots currently utilized for Family Coaching services</td>
<td>Tracking only</td>
<td>Tracking only</td>
</tr>
<tr>
<td>% of 10/1/99 families awaiting Right of Return in the service area who receive information about services and housing options available</td>
<td>100%</td>
<td>100%</td>
</tr>
<tr>
<td># of CHA youth age who participate in SYEP (work 1 or more hours)</td>
<td>600</td>
<td>600</td>
</tr>
<tr>
<td># of SYEP participants who successfully complete (80% work at least 75% of possible hours)</td>
<td>480</td>
<td>480</td>
</tr>
<tr>
<td># of SYEP participants who complete financial literacy (75% of completers earn 1 or more digital badges)</td>
<td>360</td>
<td>360</td>
</tr>
<tr>
<td>% of residents referred for lease compliance who engage with FamilyWorks and successfully resolved their lease compliance issue</td>
<td>65%</td>
<td>65%</td>
</tr>
<tr>
<td>% of youth age 0-5 with an identified need who are referred to early childhood education programs</td>
<td>85%</td>
<td>85%</td>
</tr>
<tr>
<td>% of PH youth residents 0-17 engaged in services</td>
<td>70%</td>
<td>70%</td>
</tr>
<tr>
<td>% of PH seniors age 62+ who complete a Home Visit Assessment</td>
<td>90%</td>
<td>90%</td>
</tr>
<tr>
<td># of PH youth age 0-17 in service area</td>
<td>CHA data; updated quarterly</td>
<td>CHA data; updated quarterly</td>
</tr>
<tr>
<td># of participants awaiting Right of Return in the service area</td>
<td>CHA data; updated quarterly</td>
<td>CHA data; updated quarterly</td>
</tr>
<tr>
<td># of PH families in Service Area (Family, Scattered Sites, Mixed Income)</td>
<td>CHA data; updated quarterly</td>
<td>CHA data; updated quarterly</td>
</tr>
<tr>
<td># of PH families in Service Area (Family, Scattered Sites, Mixed Income) who are Tier 1</td>
<td>CHA data; updated quarterly</td>
<td>CHA data; updated quarterly</td>
</tr>
<tr>
<td># of households enrolled in Family Coaching Services year to date</td>
<td>Tracking only</td>
<td>Tracking only</td>
</tr>
<tr>
<td># of households not enrolled in Family Coaching who connect with FamilyWorks</td>
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<td>Tracking only</td>
</tr>
<tr>
<td>% of households who participate in FamilyWorks (includes enrolled and not enrolled)</td>
<td>Tracking only</td>
<td>Tracking only</td>
</tr>
<tr>
<td># of PH youth age 0-17 engaged in FamilyWorks services (Family, Scattered Sites, Mixed Income)</td>
<td>Tracking only</td>
<td>Tracking only</td>
</tr>
<tr>
<td># of youth age 0-17 with a completed youth intake</td>
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<td>Tracking only</td>
</tr>
<tr>
<td># of youth age 6-21 completing a school performance activity</td>
<td>Tracking only</td>
<td>Tracking only</td>
</tr>
<tr>
<td># of youth age 6-24 completing a youth development activity</td>
<td>Tracking only</td>
<td>Tracking only</td>
</tr>
<tr>
<td># of youth age 16-24 completing a college preparation activity</td>
<td>Tracking only</td>
<td>Tracking only</td>
</tr>
<tr>
<td># of youth age 0-5 who have an identified need for early childhood education programs</td>
<td>Tracking only</td>
<td>Tracking only</td>
</tr>
<tr>
<td># of youth age 6-17 referred to out-of-school time programs</td>
<td>Tracking only</td>
<td>Tracking only</td>
</tr>
<tr>
<td># of lease compliance referrals that are received that engage with FamilyWorks</td>
<td>Tracking only</td>
<td>Tracking only</td>
</tr>
<tr>
<td></td>
<td>Tracking only</td>
<td>Tracking only</td>
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<tr>
<td>-----------------------------------------------------------------</td>
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<td>---------------</td>
</tr>
<tr>
<td># of individuals referred to FamilyWorks due to Safe Harbor</td>
<td></td>
<td></td>
</tr>
<tr>
<td># of individuals who have an EAP</td>
<td></td>
<td></td>
</tr>
<tr>
<td># of individuals with a referral for workforce services</td>
<td></td>
<td></td>
</tr>
<tr>
<td># of participants who complete a mental health assessment</td>
<td></td>
<td></td>
</tr>
<tr>
<td># of wellness events (including Network Nights)</td>
<td></td>
<td></td>
</tr>
<tr>
<td># of participants attending wellness events</td>
<td></td>
<td></td>
</tr>
<tr>
<td># of participants who receive a clinical intervention or crisis counseling</td>
<td></td>
<td></td>
</tr>
<tr>
<td># of participants who receive individual counseling services</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
EXHIBIT III

ILLINOIS EQUAL OPPORTUNITY CLAUSE

TITLE 44: GOVERNMENT CONTRACTS, PROCUREMENT AND PROPERTY MANAGEMENT
SUBTITLE B: SUPPLEMENTAL PROCUREMENT RULES
CHAPTER X: DEPARTMENT OF HUMAN RIGHTS
PART 750 PROCEDURES APPLICABLE TO ALL AGENCIES
SECTION 750 APPENDIX A EQUAL EMPLOYMENT OPPORTUNITY CLAUSE

Section 750 APPENDIX A Equal Employment Opportunity Clause

EQUAL EMPLOYMENT OPPORTUNITY

In the event of the contractor’s non-compliance with the provisions of this Equal Employment Opportunity Clause or the Act, the contractor may be declared ineligible for future contracts or subcontracts with the State of Illinois or any of its political subdivisions or municipal corporations, and the contract may be cancelled or voided in whole or in part, and other sanctions or penalties may be imposed or remedies invoked as provided by statute or regulation. During the performance of this contract, the contractor agrees as follows:

1) That he or she will not discriminate against any employee or applicant for employment because of race, color, religion, sex, sexual orientation, marital status, order of protection status, national origin or ancestry, citizenship status, age, physical or mental disability unrelated to ability, military status or an unfavorable discharge from military service; and, further, that he or she will examine all job classifications to determine if minority persons or women are underutilized and will take appropriate affirmative action to rectify any underutilization.

2) That, if he or she hires additional employees in order to perform this contract or any portion of this contract, he or she will determine the availability (in accordance with this Part) of minorities and women in the areas from which he or she may reasonably recruit and he or she will hire for each job classification for which employees are hired in a way that minorities and women are not underutilized.

3) That, in all solicitations or advertisements for employees placed by him or her or on his or her behalf, he or she will state that all applicants will be afforded equal opportunity without discrimination because of race, color, religion, sex, sexual orientation, marital status, order of protection status, national origin or ancestry, citizenship status, age, physical or mental disability unrelated to ability, military status or an unfavorable discharge from military service.

4) That he or she will send to each labor organization or representative of workers with which he or she has or is bound by a collective bargaining or other agreement or understanding, a notice advising the labor organization or representative of the contractor’s obligations under the Act and this Part. If any labor organization or representative fails or refuses to cooperate with the contractor in his or her efforts to comply with the Act and this Part, the contractor will promptly notify the Department and the contracting agency and will recruit employees from other sources when necessary to fulfill its obligations under the contract.
5) That he or she will submit reports as required by this Part, furnish all relevant information as may from time to time be requested by the Department or the contracting agency, and in all respects comply with the Act and this Part.

6) That he or she will permit access to all relevant books, records, accounts and work sites by personnel of the contracting agency and the Department for purposes of investigation to ascertain compliance with the Act and the Department’s Rules and Regulations.

7) That he or she will include verbatim or by reference the provisions of this clause in every subcontract awarded under which any portion of the contract obligations are undertaken or assumed, so that the provisions will be binding upon the subcontractor. In the same manner as with other provisions of this contract, the contractor will be liable for compliance with applicable provisions of this clause by subcontractors; and further it will promptly notify the contracting agency and the Department in the event any subcontractor fails or refuses to comply with the provisions. In addition, the contractor will not utilize any subcontractor declared by the Illinois Human Rights Commission to be ineligible for contracts or subcontracts with the State of Illinois or any of its political subdivisions or municipal corporations.

(Source: Amended at 35 Ill. Reg. 3695, effective February 18, 2011)
EXHIBIT IV

SECTION 3 AND MBE/WBE/DBE UTILIZATION PLANS
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: 2717/FamilyWorks

BIDDER/PROPOSER: Employment & Employer Services, Inc.

ADDRESS: 223 W Jackson Blvd - Suite 1005 Chicago IL 60606

CONTACT PERSON: Larry Fitzpatrick TITLE: President/CEO

TELEPHONE #: (312) 629-5627 FAX #: (312) 629-5630

FEIN: ETHNICITY: Caucasian GENDER: Male

CONTRACT AMOUNT: $15,661,611.00

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.)

Please see attached.

WHAT PERCENT OF SERVICES WILL BE PERFORMED BY BIDDER/PROPOSER? 99.951%

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

DOLLAR VALUE: $761,418.99 CONTRACT TERM: 01/01/2020-12/31/2025

Page 1 of 2

Waiver Request: M/W/DBE Participation Commitments

Revised 12.2016
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 foregoing 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 ___________________________ DATE: 11/04/19

Name of Affiant (Print or Type): Larry Fitzpatrick

STATE OF: Illinois COUNTY OF: Cook

ON THIS 4th DAY OF November 20 19

BEFORE ME APPEARED (NAME) Larry Fitzpatrick 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) Employment & Employer Services, Inc. to execute the affidavit and did so as his or her free act and deed.

NOTARY PUBLIC

COMMISSION EXPIRED: 5/12/2020

(Seal)

OFFICIAL SEAL

VALERIE ECHOLS
OTHER PUBLIC, STATE OF ILLINOIS
My Commission Expires May 12, 2020

BELOW FOR CHICAGO HOUSING AUTHORITY USE ONLY

REVIEW:

James Burley
Contract Compliance Specialist
DATE: 11/18/19

REVIEW:

Tiffany Johnson
Compliance Manager
DATE: 11/18/19

APPROVAL:

DATE: 11/19/19

Chief Procurement Officer
In 2020, we plan to engage with at least 11 MWDBE vendors for services and resources totaling $761,418.99 through direct costs related to carrying out the business of the FamilyWorks program and indirect costs associated with E&ES’ broader business operations at a rate of 4.893%. Of the 11 MWDBE vendors, six are new vendors we began doing business with in 2019. E&ES is committed to working with MWBE vendors. As additional services are needed, E&ES will seek MWDBE vendors to fulfill those needs.

In order to carry out the scope of the FamilyWorks program, E&ES is allocating the majority of the program budget to program staffing, space rental, and participant supports. We have made every effort to streamline costs as much as possible while ensuring the provision of excellent workforce development services for CHA residents.

The budget for the FamilyWorks program breaks down as follows:

- **Staff Salary and Benefits**: Over the term of the contract, 72% of the budget will be allocated to staffing costs. The program is focused on intensive, one-on-one work between staff and CHA families to help residents achieve their goals. In order to carry out the scope of the program, there needs to be a significant investment in staff to maintain small caseloads and provide coaching services to residents.

- **Operating Expenses**: Program operations costs comprise 8% of the total operating budget. Office space to deliver programming and related infrastructure are key in this line item of the budget. E&ES has and will continue to explore the opportunity to enter into lease agreements with M/W/DBE entities. To-date, we have not located M/W/DBE-owned office rental space for programming that is a fit in terms of size and geography for E&ES programming.

- **Materials & Supplies**: Various office supplies and other materials used to carry out the program are included in this line item, which accounts for 3% of the budget. As noted, E&ES uses Logsdon Office Supplies, an MBE, for all office supply needs company-wide.

- **Client Support**: Transit support, work-appropriate clothing, and other family supports account for a total of 5% of the budget. This is not an area of the budget are able to work in collaboration with M/W/DBE businesses given the nature of the costs (e.g. expenditures to CTA, clothing retailers, etc.).
• **Indirect Costs**: Expenses related to non-program staff and other services comprise 11% of the budget. E&ES contracts with M/W/DBE businesses for a number of company-wide services (audit, website design, printing, etc.); however, those allocations are not eligible to be counted towards compliance for this contract because we have previously reported the services as part of our compliance for other CHA-funded programs.
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: FamilyWorks Program/RFP 2717 DATE FORM SUBMITTED: November 26, 2019

PROJECT TITLE: FamilyWorks Program

PRIME CONTRACTOR NAME(S): Employment & Employer Services, Inc.

ADDRESS: 223 W. Jackson Blvd - Suite 1005, Chicago, IL 60606 TELEPHONE: (312) 629-5627

CONTACT NAME/TITLE: Larry Fitzpatrick - President/CEO

E-MAIL ADDRESS: larry.fitzpatrick@eesforjobs.com

Certification Status: MBE ______ WBE ______ DBE ______ Certified By:

Ethnicity: __________________________ Gender: __________________________

FEDERAL TAX IDENTIFICATION OR SOCIAL SECURITY NO.: __________________________

CONTRACT AMOUNT: $15,581,611.00

M/W/DBE TOTAL: $761,418.99 NON-M/W/DBE TOTAL: $14,820,192.01

M/W/DBE TOTAL PERCENTAGE: 4.93% NON-M/W/DBE PERCENTAGE: 95.07%

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.

Schedule A - M/W/DBE Utilization Plan Page 1 of 11 Revised 02.01.2019
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:

(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: 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

Larry Fitzpatrick
Print Name

November 26, 2019
Date

Schedule A – M/W/DBE Utilization Plan
Page 2 of 11
Revised 02.01.2019
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):
| 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):
II. INDIRECT PARTICIPATION

A. COMPANY NAME: Ammons Transportation
ADDRESS: 9001 S Genoa Ave, Chicago, IL 60620
CONTACT PERSON: Katrice Ammons
E-MAIL ADDRESS: info@ammonstransportation.com
ORIGINAL M/W/DBE DOLLAR VALUE: $8,125.00
% of Total Contract Value: .039%

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:
Transportation services

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):
January 2020 through December 2025

B. COMPANY NAME: An Executive Decision
ADDRESS: 1510 W Wolfram, Chicago, IL 60657
CONTACT PERSON: Kathy Tuite
E-MAIL ADDRESS: kathy@anexecutivedecision.com
ORIGINAL M/W/DBE DOLLAR VALUE: $4,707.00
% of Total Contract Value: .030%

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:
Staff service recognition awards

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):
January 2020 through December 2025

C. COMPANY NAME: Bella Dia Design
ADDRESS: 
CONTACT PERSON: Carolyn Caballero
E-MAIL ADDRESS: carolyn@belladia.com
ORIGINAL M/W/DBE DOLLAR VALUE: $83,845.00
% of Total Contract Value: .409%

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:
Website design and maintenance

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):
January 2020 through December 2025
<table>
<thead>
<tr>
<th>COMPANY NAME</th>
<th>Contact Person</th>
<th>Phone</th>
<th>E-Mail Address</th>
<th>Original M/W/DBE Dollar Value</th>
<th>% of Total Contract Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Big Kahuna Sports and Uniforms</td>
<td>3509 S Halsted St, Chicago, IL 60609</td>
<td>773-927-7969</td>
<td><a href="mailto:bigkahuna109@yahoo.com">bigkahuna109@yahoo.com</a></td>
<td>$5,375.00</td>
<td>0.035%</td>
</tr>
<tr>
<td>Logsdon Office Supply</td>
<td>Ian Brown</td>
<td>847-593-8282</td>
<td><a href="mailto:ibrown@logsdonofficesupply.com">ibrown@logsdonofficesupply.com</a></td>
<td>$390,802.00</td>
<td>2.511%</td>
</tr>
<tr>
<td>Middle Class Movers</td>
<td>Malachi Ireal</td>
<td>1-600-560-4830</td>
<td><a href="mailto:malachi@middleclassmovers.com">malachi@middleclassmovers.com</a></td>
<td>$7,370.00</td>
<td>0.947%</td>
</tr>
</tbody>
</table>

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

**WORK TO BE PERFORMED/MATERIALS SUPPLIED:**
- Big Kahuna Sports and Uniforms: Provide t-shirts for SYEP program
- Logsdon Office Supply: Office supplies
- Middle Class Movers: Moving services

**Anticipated Performance Timeframe:**
- January 2020 through December 2025
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

<table>
<thead>
<tr>
<th>COMPANY NAME</th>
<th>Address</th>
<th>Contact Person</th>
<th>Telephone</th>
<th>E-Mail Address</th>
<th>Original M/W/DBE Dollar Value</th>
<th>% of Total Contract Value</th>
<th>Amended M/W/DBE Dollar Value</th>
<th>% of Total Contract Value</th>
<th>NOTE</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>A.</strong> Mitchell &amp; Titus LLC</td>
<td>333 W Wacker Drive, Suite 2650, Chicago, IL 60606</td>
<td>Angela Allen</td>
<td>312-325-7419</td>
<td><a href="mailto:mailen@mitchelltitus.com">mailen@mitchelltitus.com</a></td>
<td>$114,500.00</td>
<td>736%</td>
<td></td>
<td></td>
<td>Amended Dollar Value only used when changes are made and approved by Compliance during a contract.</td>
</tr>
<tr>
<td>WORK TO BE PERFORMED/MATERIALS SUPPLIED:</td>
<td>Auditing services</td>
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<td></td>
<td>Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long): January 2020 through December 2025</td>
</tr>
<tr>
<td><strong>B.</strong> Paramount Events</td>
<td>1750 W Lake St, Chicago, IL 60612</td>
<td>Stephanie Vowels</td>
<td>708-880-8044</td>
<td><a href="mailto:svowels@paramounteventschicago.com">svowels@paramounteventschicago.com</a></td>
<td>$13,982.60</td>
<td>0.00%</td>
<td></td>
<td></td>
<td>Amended Dollar Value only used when changes are made and approved by Compliance during a contract.</td>
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<tr>
<td>WORK TO BE PERFORMED/MATERIALS SUPPLIED:</td>
<td>Food services</td>
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<td>Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long): January 2020 through December 2025</td>
</tr>
<tr>
<td><strong>C.</strong> Preferred Printing</td>
<td>5815 St Charles Road, Berkeley, IL 60163</td>
<td>Rosalie Joseph</td>
<td>708-547-6880</td>
<td><a href="mailto:ppmr@att.net">ppmr@att.net</a></td>
<td>$21,812.39</td>
<td>140%</td>
<td></td>
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<td>Amended Dollar Value only used when changes are made and approved by Compliance during a contract.</td>
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<tr>
<td>WORK TO BE PERFORMED/MATERIALS SUPPLIED:</td>
<td>Printing services</td>
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<td>Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long): January 2020 through December 2025</td>
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**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:** The Shred Authority
- **ADDRESS:** 4101 W 124th St, Alsip, IL 60803
- **CONTACT PERSON:** Kenneth Williams
- **TELEPHONE:** 312-642-2800
- **E-MAIL ADDRESS:** ken@ehredauthority.com
- **ORIGINAL M/W/DBE DOLLAR VALUE:** $24,000.00
- **% of Total Contract Value:** 1.54%
- **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):
January 2020 through December 2025

### E.
- **COMPANY NAME:** U.S. Messenger Services & Logistics
- **ADDRESS:**
- **CONTACT PERSON:** Ron Libman
- **TELEPHONE:**
- **E-MAIL ADDRESS:** rlibman@usmessenger.net
- **ORIGINAL M/W/DBE DOLLAR VALUE:** $108,100.00
- **% of Total Contract Value:** 7.01%
- **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:**

Messenger services

Anticipated Performance Timeframe (When will the contractor be onsite performing the work and for how long):
January 2020 through December 2025

### 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):

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Schedule A – M/W/DBE Utilization Plan  Page 7 of 11  Revised 02.01.2019
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)*

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

In 2020, we plan to engage with at least 11 MWDBE vendors for services and resources totaling $761,418.99 through direct costs related to carrying out the business of the FamilyWorks program and Indirect costs associated with E&ES’ broader business operations at a rate of 4.83%. Of the 11 MWDBE vendors, six are new vendors we began doing business with in 2019. E&ES is committed to working with MWBE vendors. As additional services are needed, E&ES will seek MWDBE vendors to fulfill those needs.

In order to carry out the scope of the FamilyWorks program, E&ES is allocating the majority of the program budget to program staffing, space rental, and participant supports. We have made every effort to streamline costs as much as possible while ensuring the provision of excellent workforce development services for CHA residents.

The budget for the FamilyWorks program breaks down as follows:

- **Staff Salary and Benefits:** Over the term of the contract, 72% of the budget will be allocated to staffing costs. The program is focused on intensive, one-on-one work between staff and CHA families to help residents achieve their goals. In order to carry out the scope of the program, there needs to be a significant investment in staff to maintain small caseloads and provide coaching services to residents.
- **Operating Expenses:** Program operations costs comprise 8% of the total operating budget. Office space to deliver programming and related infrastructure are key in this line item of the budget. E&ES has and will continue to explore the opportunity to enter into lease agreements with M/W/DBE entities. To date, we have not located M/W/DBE-owned office rental space for programming that is a fit in terms of size and geography for E&ES programming.
- **Materials & Supplies:** Various office supplies and other materials used to carry out the program are included in this line item, which accounts for 3% of the budget. As noted, E&ES uses Logsdon Office Supplies, an MBE, for all office supply needs company-wide.
- **Client Support:** Trans’ support, work-appropriate clothing, and other family supports account for a total of 5% of the budget. This is not an area of the budget are able to work in collaboration with M/W/DBE businesses given the nature of the costs (e.g. expenditures to CTA, clothing retailers, etc.).
- **Indirect Costs:** Expenses related to non-program staff and other services comprise 11% of the budget. E&ES contracts with M/W/DBE businesses for a number of company-wide services (audit, website design, printing, etc); however, these allocations are not eligible to be counted towards compliance for this contract because we have previously reported the services as part of our compliance for other CHA-funded programs.
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) Employment & Employer Services, Inc.

AUTHORIZED OFFICER

Larry Fitzpatrick

Name

Signature

November 26, 2019

Date

NAME OF NOTARY (Print or Type) Valerie Echols

STATE OF Illinois COUNTY OF Cook ON THIS 26th DAY

November 20, 19 BEFORE ME APPEARED (NAME) Larry Fitzpatrick TO ME PERSONALLY

KNOWN WHO, BEING DULLY SWORN, DID EXECUTE THE FOREGOING AFFIDAVIT, AND DID STATE THAT HE OR SHE WAS PROPERLY AUTHORIZED BY (NAME OF COMPANY) Employment & Employer Services, Inc. TO EXECUTE THIS AFFIDAVIT AND DID SO AS HIS OR HER FREE ACT AND DEED. NOTARY PUBLIC Valerie Echols

(SEAL) COMMISSION EXPIRES: 5/12/2020

[OFFICIAL SEAL]

VALENCI ECHOLS
NOTARY PUBLIC, STATE OF ILLINOIS
My Commission Expires May 12, 2020
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.

<table>
<thead>
<tr>
<th>Type of Contract</th>
<th>Contract Amount</th>
<th>Hiring</th>
<th>Contracting</th>
<th>Other Economic Opportunities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Construction</td>
<td>All Contract Values</td>
<td>30% Of all new hires</td>
<td>10% Of total contract value subcontracted</td>
<td>See instructions</td>
</tr>
<tr>
<td>Other Contracts</td>
<td>All Contract Values</td>
<td>30% Of all new hires</td>
<td>3% Of total contract value subcontracted</td>
<td>See instructions</td>
</tr>
<tr>
<td>(Including Professional Service)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

PLEASE READ CAREFULLY AND SIGN THE ACKNOWLEDGMENT ON PAGE 4 PRIOR TO COMPLETING AND SUBMITTING SCHEDULE B
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.a 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.
• **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 Contract 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: 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:  

Signature of Principal of Contractor  
Larry Fitzpatrick  
Print Name  

11/04/2019  
Date  

Schedule B - Section 3 Utilization Plan  
Page 4 of 12  
August 2, 2018
**Part I: Hiring**

**SAMPLE HIRING CHART**

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

<table>
<thead>
<tr>
<th>(1) Job Titles</th>
<th>(2) Total Number of Employees Needed at each Job Title</th>
<th>(3) Total Number of Employees Currently Employed at each Job Title</th>
<th>(4) Total New Hires Needed for each Job Title</th>
<th>(5) Total Section 3 Hires for Each Job Title</th>
<th>(6) Anticipated Hiring Date Section 3 Hires for Each Job Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>Painters</td>
<td>10</td>
<td>8</td>
<td>2</td>
<td>0</td>
<td>n/a</td>
</tr>
<tr>
<td>Laborers</td>
<td>20</td>
<td>19</td>
<td>1</td>
<td>1</td>
<td>10/01/2017</td>
</tr>
<tr>
<td>Carpenters</td>
<td>15</td>
<td>15</td>
<td>0</td>
<td>0</td>
<td>n/a</td>
</tr>
<tr>
<td>Bricklayers</td>
<td>4</td>
<td>4</td>
<td>0</td>
<td>0</td>
<td>n/a</td>
</tr>
<tr>
<td>Sprinkler Fitter</td>
<td>3</td>
<td>3</td>
<td>0</td>
<td>0</td>
<td>n/a</td>
</tr>
<tr>
<td>Marble Mason</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>n/a</td>
</tr>
<tr>
<td>Electrician</td>
<td>6</td>
<td>5</td>
<td>1</td>
<td>0</td>
<td>n/a</td>
</tr>
<tr>
<td>Power Equipment Operator</td>
<td>2</td>
<td>2</td>
<td>0</td>
<td>0</td>
<td>n/a</td>
</tr>
<tr>
<td>Iron Worker</td>
<td>5</td>
<td>5</td>
<td>0</td>
<td>0</td>
<td>n/a</td>
</tr>
<tr>
<td>Cement Mason</td>
<td>2</td>
<td>2</td>
<td>0</td>
<td>0</td>
<td>n/a</td>
</tr>
<tr>
<td>Plumber</td>
<td>4</td>
<td>4</td>
<td>0</td>
<td>0</td>
<td>n/a</td>
</tr>
<tr>
<td>Roofer</td>
<td>10</td>
<td>10</td>
<td>0</td>
<td>0</td>
<td>n/a</td>
</tr>
<tr>
<td>Administrative Assistant</td>
<td>2</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>08/01/2017</td>
</tr>
<tr>
<td>Superintendent</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>n/a</td>
</tr>
<tr>
<td>Payroll Coordinator</td>
<td>1</td>
<td>0</td>
<td>1</td>
<td>1</td>
<td>08/01/2017</td>
</tr>
</tbody>
</table>

(7) Totals: 86 80 6 3

(8) Total New Section 3 Hires Required:
(Total of column (4) × 0.3) round up to the nearest whole number = 2

(9) Percentage of New Hires that are Section 3:
(Total of column (5) ÷ Total of column (4) × 100 = % of New Hires = 50%
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**

<table>
<thead>
<tr>
<th>Job Titles</th>
<th>(1)</th>
<th>(2)</th>
<th>(3)</th>
<th>(4)</th>
<th>(5)</th>
<th>(6)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Number of Employees Needed at each Job Title</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total Number of Employees Currently Employed at each</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Job Title</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total New Hires Needed for each Job Title</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total Section 3 Hires for Each Job Title</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Anticipated Hiring Date</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Section 3 Hires for Each Job Title</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. List the Job Titles that are needed to complete the</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>your scope of work including the entire workforce for</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>the Prime and any Subcontractors. This includes all</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Section 3 and non-Section 3 job titles.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>List how many employees are needed to complete the</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Scope of Work for each Job Title.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>List how many employees are currently employed at this</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>position.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>List how many of these positions are currently</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>open.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>List the number of Section 3 hires you will commit to</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>for each position.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>List the anticipated hiring date of Section 3 hires</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>you will commit to for each position.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- **President**: 1 employee needed, 1 currently employed, 0 new hires needed, 0 section 3 hires, 0 anticipated hiring date.
- **Vice President**: 1 employee needed, 1 currently employed, 0 new hires needed, 0 section 3 hires, 0 anticipated hiring date.
- **Program Manager**: 6 employees needed, 6 currently employed, 0 new hires needed, 0 section 3 hires, 0 anticipated hiring date.
- **Manager of Quality Assurance and Data**: 1 employee needed, 1 currently employed, 0 new hires needed, 0 section 3 hires, 0 anticipated hiring date.
- **Program Support Specialist**: 4 employees needed, 4 currently employed, 0 new hires needed, 0 section 3 hires, 0 anticipated hiring date.
- **Family Coach**: 14 employees needed, 14 currently employed, 0 new hires needed, 0 section 3 hires, 0 anticipated hiring date.
- **Community Outreach Specialist**: 5 employees needed, 5 currently employed, 0 new hires needed, 0 section 3 hires, 0 anticipated hiring date.
- **Office Operations Specialist**: 5 employees needed, 5 currently employed, 0 new hires needed, 0 section 3 hires, 0 anticipated hiring date.
- **Senior Clinician**: 1 employee needed, 1 currently employed, 0 new hires needed, 0 section 3 hires, 0 anticipated hiring date.
- **Licensed Clinician**: 2 employees needed, 2 currently employed, 0 new hires needed, 0 section 3 hires, 0 anticipated hiring date.
- **SYEP Program Coordinator**: 18 employees needed, 0 currently employed, 16 new hires needed, 6 section 3 hires, 06/15/2020 anticipated hiring date.
- **SYEP Quality Assurance Specialist**: 3 employees needed, 0 currently employed, 3 new hires needed, 1 section 3 hires, 06/15/2020 anticipated hiring date.
- **Youth Coach**: 1 employee needed, 1 currently employed, 0 new hires needed, 0 section 3 hires, 0 anticipated hiring date.
- **Education and Workforce Services Specialist**: 1 employee needed, 1 currently employed, 0 new hires needed, 0 section 3 hires, 0 anticipated hiring date.
- **Digital Resource Center Lab Monitor**: 2 employees needed, 2 currently employed, 0 new hires needed, 0 section 3 hires, 0 anticipated hiring date.

**(7) Totals:** 65 employees needed, 44 currently employed, 21 new hires needed, 7 section 3 hires.

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

**7**

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

**33%**

**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.

Schedule B - Section 3 Utilization Plan  Page 6 of 12  August 2, 2018
**CHICAGO HOUSING AUTHORITY (CHA)**  
Department of Procurement and Contracts- Compliance Division

**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.

<table>
<thead>
<tr>
<th>Total Dollar Value of Section 3 Business Concern Contracts:</th>
<th>$466,848.00</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Percentage of Section 3 Business Concern Contracts:</td>
<td>3.00 %</td>
</tr>
</tbody>
</table>

**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)*

<table>
<thead>
<tr>
<th>COMPANY NAME: Wynndalco Enterprises</th>
</tr>
</thead>
<tbody>
<tr>
<td>ADDRESS: 19081 Old LeGrange Road, Suite 106, Mokena, IL 60448</td>
</tr>
<tr>
<td>CONTACT PERSON: Deborah Oppenhauser</td>
</tr>
<tr>
<td>E-MAIL ADDRESS: <a href="mailto:d.oppenhauser@wynndalco.com">d.oppenhauser@wynndalco.com</a></td>
</tr>
<tr>
<td>ORIGINAL CONTRACT DOLLAR VALUE: $466,848.00</td>
</tr>
<tr>
<td>AMENDED CONTRACT DOLLAR VALUE:</td>
</tr>
</tbody>
</table>

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

**WORK TO BE PERFORMED/MATERIALS SUPPLIED**: Computer supplies and peripherals

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

Anticipated Start Date: January 2020  
Anticipated End Date: December 2025

<table>
<thead>
<tr>
<th>COMPANY NAME:</th>
</tr>
</thead>
<tbody>
<tr>
<td>ADDRESS:</td>
</tr>
<tr>
<td>CONTACT PERSON:</td>
</tr>
<tr>
<td>E-MAIL ADDRESS:</td>
</tr>
<tr>
<td>ORIGINAL CONTRACT DOLLAR VALUE:</td>
</tr>
<tr>
<td>AMENDED CONTRACT DOLLAR VALUE:</td>
</tr>
</tbody>
</table>

*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)*

Schedule B - Section 3 Utilization Plan  
Page 7 of 12  
August 2, 2018
## CHICAGO HOUSING AUTHORITY (CHA)
Department of Procurement and Contracts - Compliance Division

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

#### Contracts to Section 3 Business Concerns (continued)

<table>
<thead>
<tr>
<th>COMPANY NAME:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>ADDRESS:</td>
<td></td>
</tr>
<tr>
<td>CONTACT PERSON:</td>
<td>TELEPHONE:</td>
</tr>
<tr>
<td>E-MAIL ADDRESS:</td>
<td></td>
</tr>
<tr>
<td>ORIGINAL CONTRACT DOLLAR VALUE:</td>
<td></td>
</tr>
<tr>
<td>AMENDED CONTRACT DOLLAR VALUE:</td>
<td></td>
</tr>
</tbody>
</table>

**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: ______

<table>
<thead>
<tr>
<th>COMPANY NAME:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>ADDRESS:</td>
<td></td>
</tr>
<tr>
<td>CONTACT PERSON:</td>
<td>TELEPHONE:</td>
</tr>
<tr>
<td>E-MAIL ADDRESS:</td>
<td></td>
</tr>
<tr>
<td>ORIGINAL CONTRACT DOLLAR VALUE:</td>
<td></td>
</tr>
<tr>
<td>AMENDED CONTRACT DOLLAR VALUE:</td>
<td></td>
</tr>
</tbody>
</table>

**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: ______

<table>
<thead>
<tr>
<th>COMPANY NAME:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>ADDRESS:</td>
<td></td>
</tr>
<tr>
<td>CONTACT PERSON:</td>
<td>TELEPHONE:</td>
</tr>
<tr>
<td>E-MAIL ADDRESS:</td>
<td></td>
</tr>
<tr>
<td>ORIGINAL CONTRACT DOLLAR VALUE:</td>
<td></td>
</tr>
<tr>
<td>AMENDED CONTRACT DOLLAR VALUE:</td>
<td></td>
</tr>
</tbody>
</table>

**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: ______
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.

<table>
<thead>
<tr>
<th>Outreach Efforts</th>
</tr>
</thead>
<tbody>
<tr>
<td>Business Name:</td>
</tr>
<tr>
<td>Primary Contact:</td>
</tr>
<tr>
<td>Phone Number:</td>
</tr>
<tr>
<td>E-Mail Address:</td>
</tr>
<tr>
<td>Reason for not subcontracting:</td>
</tr>
</tbody>
</table>

| Business Name:   |
| Primary Contact: |
| Phone Number:    |
| E-Mail Address:  |
| Reason for not subcontracting: |
**CHICAGO HOUSING AUTHORITY (CHA)**
Department of Procurement and Contracts- Compliance Division

**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.

<table>
<thead>
<tr>
<th>Indirect Participation (subcontracting to a Section 3 business for work outside the scope)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Note: An indirect subcontractor should still submit a Schedule C to correspond with this information.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>COMPANY NAME:</th>
<th>ORIGINAL CONTRACT DOLLAR VALUE:</th>
<th>WORK TO BE PERFORMED/MATERIALS SUPPLIED:</th>
<th>Anticipated Start Date:</th>
<th>Anticipated End Date:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>COMPANY NAME:</th>
<th>ORIGINAL CONTRACT DOLLAR VALUE:</th>
<th>WORK TO BE PERFORMED/MATERIALS SUPPLIED:</th>
<th>Anticipated Start Date:</th>
<th>Anticipated End Date:</th>
</tr>
</thead>
</table>

**Mentorship Program Participation**

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

<table>
<thead>
<tr>
<th>Quantifiable Goals</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Anticipated Results</th>
</tr>
</thead>
</table>
### Training Program

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

<table>
<thead>
<tr>
<th>Quantifiable Goals</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Anticipated Results</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

### Internship Program

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

<table>
<thead>
<tr>
<th>Quantifiable Goals</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Anticipated Results</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

### Other Results-Oriented Economic Opportunities (Please Describe)

Note: Any part-time hires can be represented here.

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

<table>
<thead>
<tr>
<th>Quantifiable Goals</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Anticipated Results</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>
**CHICAGO HOUSING AUTHORITY (CHA)**

**Department of Procurement and Contracts - Compliance Division**

**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

<table>
<thead>
<tr>
<th>Hiring</th>
<th>Contracting</th>
</tr>
</thead>
<tbody>
<tr>
<td>□ 5% of total contract value (Construction) - Not to Exceed $100,000</td>
<td>□ Contributing the difference between the actual subcontracting dollar amount and the minimum subcontracting requirement - Not to Exceed $500,000</td>
</tr>
<tr>
<td>□ 1.5% of total contract value (Professional Service) - Not to Exceed $100,000</td>
<td>□ 10% of total contract value (Construction) - Not to Exceed $500,000</td>
</tr>
<tr>
<td>□ 3% (Other Contracts - including Professional Service) - Not to Exceed $500,000</td>
<td>□ 3% (Other Contracts - including Professional Service) - Not to Exceed $500,000</td>
</tr>
</tbody>
</table>

### 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** $

**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.

Employment & Employer Services, Inc.

**NAME OF PRIME CONTRACTOR (Print or Type)**

Larry Fitzpatrick

**NAME OF AUTHORIZED OFFICER (Print or Type)**

Valerie Echols

**SIGNATURE OF AUTHORIZED OFFICER**

[Signature]

**DATE**

11/04/19

**STATE OF**

Illinois, COUNTY OF Cook

**ON THIS**

4th

**DAY OF**

November 20, 19

**BEFORE ME APPEARED (NAME) Larry Fitzpatrick**

TO ME PERSONALLY KNOW 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, UNDER STAND AS HIS OR HER FREE ACT AND DEED.

**NOTARY PUBLIC:**

Valerie Echols

**COMMISSION EXPIRES:**

5/14/2020

**SEAL:**

My Commission Expires May 12, 2020

**INTERNAL CHA APPROVAL:**

**COMPLIANCE MANAGER’S SIGNATURE**

**DATE**

**SECTION 3 ADMINISTRATOR**

(Applicable when Other Economic Opportunities are proposed)

**DATE**

August 2, 2018
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: Ammons Transportation

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 subcontractors 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: African American GENDER: Male

CONTACT NAME/TITLE: Shun Ammons Jr

E-MAIL ADDRESS: info@ammonstransportation.com IFR/RFP/CONTRACT OR PO #: 2717

PROJECT TITLE: FamilyWorks DATE FORM COMPLETED:

PRIME CONTRACTOR: Employment & Employer Services, Inc. 312-829-5627

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):

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

3. Indicate the total dollar value: $ 6,125.00

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

Schedule C – Letter of intent  Page 1 of 2 Revised 08.01.2018
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):

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) CREDITS: 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 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 circumstances 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 foregoing document are true and correct, and that I am authorized on behalf of the Subcontractor to make this affidavit.

Ammons Transportation  
(NAME OF SUBCONTRACTOR/SUPPLIER - PRINT OR TYPE)

/S/ Katrice Ammons  
(SIGNATURE OF AUTHORIZED PRINCIPAL OR AGENT)  
(Date)

Katrice Ammons  
(NAME OF NOTARY - PRINT OR TYPE)

STATE OF  
COUNTY OF  
ON THIS 8 DAY OF November 2019  
BEFORE ME APPEARED (NAME)  
being duly sworn, did execute the foregoing affidavit, and did state that he or she was properly authorized by  

(Signature of Agent)  
to execute the affidavit and did so as his or her free act and deed.

NOTARY PUBLIC  
(SEAL):

COMMISSION EXPIRES: 10/31/2022

Schedule C – Letter of Intent  
Page 2 of 2
Benford Ammons
Ammons Transportation Services, Inc.
9001 South Genoa Ave.
Chicago, IL 60620

Dear Benford Ammons:

We are pleased to inform you that Ammons Transportation Services, Inc. has been recertified as a Minority-Owned Business Enterprise ("MBE") by the City of Chicago ("City"). This MBE certification is valid until 7/15/2021; however your firm’s certification must be revalidated annually. In the past the City has provided you with an annual letter confirming your certification; such letters will no longer be issued. As a consequence, we require you to be even more diligent in filing your annual No Change Affidavit 60 days before your annual anniversary date.

It is now your responsibility to check the City’s certification directory and verify your certification status. As a condition of continued certification during the five year period stated above, you must file an annual No-Change Affidavit. Your firm’s annual No Change Affidavit is due by 7/15/2017, 7/15/2018, 7/15/2019, and 7/15/2020. Please remember, you have an affirmative duty to file your No-Change Affidavit 60 days prior to the date of expiration. Failure to file your annual No-Change Affidavit may result in the suspension or rescission of your certification.

Your firm’s five year certification will expire on 7/15/2021. You have an affirmative duty to file for recertification 60 days prior to the date of the five year anniversary date. Therefore, you must file for recertification by 6/15/2021.

It is important to note that you also have an ongoing affirmative duty to notify the City of any changes in ownership or control of your firm, or any other fact affecting your firm’s eligibility for certification within 10 days of such change. These changes may include but are not limited to a change of address, change of business structure, change in ownership or ownership structure, change of business operations, gross receipts and or personal net worth that exceed the program threshold. Failure to provide the City with timely notice of such changes may result in the suspension or rescission of your certification. In addition, you may be liable for civil penalties under Chapter 1-22, "False Claims", of the Municipal Code of Chicago.

Please note – you shall be deemed to have had your certification lapse and will be ineligible to participate as an MBE if you fail to:

- File your annual No-Change Affidavit within the required time period;

121 NORTH LASALLE STREET, ROOM 806, CHICAGO ILLINOIS 60602
Ammons Transportation Services, Inc.

- Provide financial or other records requested pursuant to an audit within the required time period;
- Notify the City of any changes affecting your firm’s certification within 10 days of such change; or
- File your recertification within the required time period.

Please be reminded of your contractual obligation to cooperate with the City with respect to any reviews, audits or investigation of its contracts and affirmative action programs. We strongly encourage you to assist us in maintaining the integrity of our programs by reporting instances of fraud or abuse to the City’s Inspector General at chicagoinspectorgeneral.org, or 866-IG-TIPLINE (866-448-4754).

Be advised that if you or your firm is found to be involved in certification, bidding and/or contractual fraud or abuse, the City will pursue decertification and debarment. In addition to any other penalty imposed by law, any person who knowingly obtains, or knowingly assists another in obtaining a contract with the City by falsely representing the individual or entity, or the individual or entity assisted is guilty of a misdemeanor, punishable by incarceration in the county jail for a period not to exceed six months, or a fine of not less than $5,000 and not more than $10,000 or both.

Your firm’s name will be listed in the City’s Directory of Minority and Women-Owned Business Enterprises in the specialty area(s) of:

NAICS Code(s):
485113 - Local bus services (except mixed mode)
485310 - School bus services
485320 - Handicapped passenger transportation services
485410 - Senior citizens transportation services

Your firm’s participation on City contracts will be credited only toward Minority-Owned Business Enterprise goals in your area(s) specialty. While your participation on City contracts is not limited to your area of specialty, credit toward goals will be given only for work that is self-performed and providing a commercially useful function that is done in the approved specialty category.

Thank you for your interest in the City’s Minority and Women-Owned Business Enterprise (MBE/WBE) Program.

Sincerely,

[Signature]
Rich Butler
First Deputy Procurement Officer
RB/hw
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: An Executive Decision

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 subcontractors 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: Caucasian GENDER: Female

CONTACT NAME/TITLE: Kathy Tuite
E-MAIL ADDRESS: kathy@anexecutivedecision.com IFB/RFP/CONTRACT OR PO #: 2717

PROJECT TITLE: FamilyWorks DATE FORM COMPLETED:

PRIME CONTRACTOR: Employment & Employer Services, Inc. 312-629-5627

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:
   Employee recognition awards

3. Indicate the total dollar value: $4,707.00

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):

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 (53BC) 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 (53BCs) are considered in a tier preference order as required by CHA/HUD policies and regulations. This means that 53BCs 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 53BCs 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 foregoing document are true and correct, and that I am authorized on behalf of the Subcontractor to make this affidavit.

An Executive Decision

(NAME OF SUBCONTRACTOR/SUPPLIER - PRINT OR TYPE)

Kathy Tucker

(SIGNATURE OF AUTHORIZED PRINCIPAL OR AGENT) (DATE)

(NAME OF NOTARY - PRINT OR TYPE)

STATE OF Illinois COUNTY OF Cook ON THIS 5th DAY OF November, 2019 BEFORE ME APPEARED (NAME), being duly sworn, did execute the foregoing affidavit, and did state that he or she was properly authorized by (NAME) to execute the affidavit and did so as his or her free act and deed.

NOTARY PUBLIC: Valerie Echols (SEAL) COMMISSION EXPIRES: 5/12/2020

Schedule C - Letter of Intent

Page 2 of 2

OFFICIAL SEAL
VALERIE ECHOLS
NOTARY PUBLIC, STATE OF ILLINOIS
My Commission Expires May 12, 2020
FEB 27 2017

DEPARTMENT OF PROCUREMENT SERVICES

CITY OF CHICAGO

Kathy Tuile
An Executive Decision
1510 W. Wolfram St.
Chicago, IL 60657

Dear Kathy Tuile:

We are pleased to inform you that An Executive Decision has been recertified as a Women-Owned Business Enterprise ("WBE") by the City of Chicago ("City"). This WBE certification is valid until 02/15/2022; however your firm’s certification must be revalidated annually. In the past the City has provided you with an annual letter confirming your certification; such letters will no longer be issued. As a consequence, we require you to be even more diligent in filing your Annual No-Change Affidavit 60 days before your annual anniversary date.

It is now your responsibility to check the City’s certification directory and verify your certification status. As a condition of continued certification during the five year period stated above, you must file an annual No-Change Affidavit. Your firm’s annual No-Change Affidavit is due by 02/15/2018, 02/15/2019, 02/15/2020 and 02/15/2021. Please remember, you have an affirmative duty to file your No-Change Affidavit 60 days prior to the date of expiration. Failure to file your annual No-Change Affidavit may result in the suspension or rescission of your certification.

Your firm’s five year certification will expire on 02/15/2022. You have an affirmative duty to file for recertification 60 days prior to the date of the five year anniversary date. Therefore, you must file for recertification by 12/15/2022.

It is important to note that you also have an ongoing affirmative duty to notify the City of any changes in ownership or control of your firm, or any other fact affecting your firm’s eligibility for certification within 10 days of such change. These changes may include but are not limited to a change of address, change of business structure, change in ownership or ownership structure, change of business operations, gross receipts and or personal net worth that exceed the program threshold. Failure to provide the City with timely notice of such changes may result in the suspension or rescission of your certification. In addition, you may be liable for civil penalties under Chapter 1-22, "False Claims", of the Municipal Code of Chicago.

Please note – you shall be deemed to have had your certification lapse and will be ineligible to participate as a WBE if you fail to:

121 NORTH LASALLE STREET, ROOM 805, CHICAGO, ILLINOIS 60602
An Executive Decision

- File your annual No-Change Affidavit within the required time period;
- Provide financial or other records requested pursuant to an audit within the required time period;
- Notify the City of any changes affecting your firm’s certification within 10 days of such change; or
- File your recertification within the required time period.

Please be reminded of your contractual obligation to cooperate with the City with respect to any reviews, audits or investigation of its contracts and affirmative action programs. We strongly encourage you to assist us in maintaining the integrity of our programs by reporting instances or suspicions of fraud or abuse to the City’s Inspector General at chicagoinspectorgeneral.org, or 866-IG-TIPLINE (866-446-4754).

Be advised that if you or your firm is found to be involved in certification, bidding and/or contractual fraud or abuse, the City will pursue decertification and debarment. In addition to any other penalty imposed by law, any person who knowingly obtains, or knowingly assists another in obtaining a contract with the City by falsely representing the individual or entity, or the individual or entity assisted is guilty of a misdemeanor, punishable by incarceration in the county jail for a period not to exceed six months, or a fine of not less than $5,000 and not more than $10,000 or both.

Your firm’s name will be listed in the City’s Directory of Minority and Women-Owned Business Enterprises in the specialty area(s) of:

NAICS Code(s):
541890 Advertising Specialty (e.g., keychain, magnet, pen) Distribution Services
541890 Other Services Related to Advertising

Your firm’s participation on City contracts will be credited only toward Women-Owned Business Enterprise goals in your area(s) specialty. While your participation on City contracts is not limited to your area of specialty, credit toward goals will be given only for work that is self-performed and providing a commercially useful function that is done in the approved specialty category.

Thank you for your interest in the City’s Minority and Women-Owned Business Enterprise (MBE/WBE) Program.

Sincerely,

[Signature]

Rich Butler
First Deputy Procurement Officer

RB/kr
National Women's Business Enterprise Certification

to

Katherine Tuite DBA An Executive Decision

who has successfully met WBENC's standards as a Women's Business Enterprise (WBE).
This certification affirms the business is woman-owned, operated and controlled; and is valid through the date herein.

WBENC National WBE Certification was processed and validated by
Women's Business Development Center - Midwest, a WBENC Regional Partner Organization.

Certification Granted: March 2, 2004
Expiration Date: March 31, 2020
WBENC National Certification Number: 236551

Authorized by Ennita DiMenico, President & CEO
Women's Business Development Center - Midwest

NAICS: 424310, 541870, 541890
UNSPSC: 52102700, 52102705, 53102710, 80141500, 80141505, 80141511, 92121505
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: Bella Dia Design

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: Hispanic GENDER: Female

CONTACT NAME/TITLE: Carolyn Caballero/President

E-MAIL ADDRESS: carolyn@belladia.com IFB/RFP/CONTRACT OR PO #: 2717

PROJECT TITLE: FamilyWorks DATE FORM COMPLETED:

PRIME CONTRACTOR: Employment & Employer Services, Inc. 312-629-5627

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:
   Website design and maintenance

3. Indicate the total dollar value: $ 83,645.00

4. Terms of the agreement including but not limited to joint venture, subcontract, supplier or
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 (SBC) CREDITS: A business which 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 THE ORDER: Effective immediately, prime contractors on CHA/HUD funded contracts must ensure that Section 3 Business Concerns (SBCs) are contracted to in a preference order as required by CHA/HUD policies and regulations. This means that SBCs that reside on 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 residents owned SBCs at the project location to be able 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 circumstances 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 foregoing document are true and correct, and that I am authorized on behalf of the Subcontractor to make this affidavit.

Bella Dia Design

(NAME OF SUBCONTRACTOR/SUPPLIER - PRINT OR TYPE)

 Clawdia Smith  11/5/2019

(SIGNATURE OF AUTHORIZED PRINCIPAL OR AGENT)  (DATE)

(NAME OF NOTARY - PRINT OR TYPE)

STATE OF ILLINOIS  COUNTY OF COOK  ON THIS 5TH DAY OF NOVEMBER  2019  BEFORE ME APPEARED (NAME)  CLAWDIA SMITH, COMMISSIONER OF NOTARY PUBLIC, being duly sworn, did execute the foregoing affidavit, and did state that he or she was properly authorized by [Prime Contractor] to execute the affidavit and did so as his or her free act and deed.

NOTARY PUBLIC

COMMISSION EXPIRES: 4/16/22

EDWARD SMITH

OFFICIAL SEAL

Notary Public - State of Illinois

My Commission Expires June 16, 2022

Revised 01-01-2018

Schedule C - Letter of Intent  Page 2 of 2
March 11, 2019

Ms. Carolyn Caballero-Stith, Owner/Designer
Bella Dia d/b/a Bella Dia Designs
219 West Memorial Drive
Chicago Heights, IL 60411

Re: Annual Certification Expires: March 11, 2020

Dear Ms. Stith:

Congratulations on your continued eligibility for Certification as a Minority-owned Business Enterprise (MBE) and Woman-owned Business Enterprise (WBE) by Cook County Government. This certification is valid until March 8, 2022; however, you must re-validate your firms’ certification annually.

As a condition of continued Certification, you must file a “No Change Affidavit” within sixty (60) business days prior to the date of Annual Certification Expiration. Failure to file this Affidavit shall result in the termination of your Certification. You must notify Cook County Government’s Office of Contract Compliance of any change in ownership or control or any other matters or facts affecting your firm’s eligibility for Certification within fifteen (15) business days of such change.

Cook County Government may commence action to remove your firm as an MBE/WBE vendor if you fail to notify us of any changes of facts affecting your firm’s Certification, or if your firm otherwise fails to cooperate with the County in any inquiry or investigation. Removal of status may also be commenced if your firm is found to be involved in bidding or contractual irregularities.

Your firm’s name will be listed in Cook County’s Directory of certified firms in the following area(s) of specialty:

Marketing/Advertising: Graphic Design - Marketing Collateral, Signage and Websites

Your firm’s participation on Cook County contracts will be credited toward MBE or WBE goals in your area(s) of specialty. While your participation on Cook County contracts is not limited to your specialty, credit toward MBE or WBE goals will be given only for work performed in the specialty category.

Thank you for your continued interest in Cook County Government’s Minority, Women, Veteran, and Service-Disabled Veteran Business Enterprise Programs.

Sincerely,

Edward H. Olivieri
Contract Compliance Director

Fiscal Responsibility ▶ Innovative Leadership ◆ Transparency & Accountability ▶ Improved Services
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: Big Kahuna Sports and Uniforms

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: [Female]

CONTACT NAME/TITLE: Jennie or Peter Balsara

E-MAIL ADDRESS: bigkahuna109@yahoo.com IFB/RFP/CONTRACT OR PO #: 2717

PROJECT TITLE: FamilyWorks DATE FORM COMPLETED: 

PRIME CONTRACTOR: Employment & Employer Services, Inc. 312-629-5627

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:
   SYEP t-shirts

3. Indicate the total dollar value: $5,375.00

4. Terms of the agreement including but not limited to joint venture, subcontract, supplier or
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 DPO 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 DPO 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 foregoing document are true and correct, and that I am authorized on behalf of the Subcontractor to make this affidavit.

Big Kahuna Sports and Uniforms

(NAME OF SUBCONTRACTOR/SUPPLIER - PRINT OR TYPE)

Jeannie Salsara

(SIGNATURE OF AUTHORIZED PRINCIPAL OR AGENT) (DATE)

Wanda Hernandez

(NAME OF NOTARY - PRINT OR TYPE)

STATE OF: ILLINOIS COUNTY OF: COOK ON THIS 10 DAY OF February 2020 BEFORE ME APPEARED (NAME) Jeannie Salsara to me personally known who, being duly sworn, did execute the foregoing affidavit and did state that he or she was properly authorized by to execute the affidavit and did so as his or her free act and deed.

NOTARY PUBLIC

COMMISSION EXPIRES: 10-06-2020

Page 2 of 2

"OFFICIAL SEAL"

MARILU HERNANDEZ

Notary Public, State of Illinois
My Commission Expires 10/06/2020
OCT 11 2017

Jennie I. Balsara
Big Kahuna Sports & Uniform, Inc.
3509 S. Halsted Street
Chicago, IL 60609

Dear Jennie I. Balsara:

We are pleased to inform you that Big Kahuna Sports & Uniform, Inc. has been recertified as a Minority-Owned Business Enterprise ("MBE") and a Women-Owned Business Enterprise ("WBE") by the City of Chicago ("City"). This MBE/WBE certification is valid until 10/1/2022; however your firm’s certification must be revalidated annually. In the past the City has provided you with an annual letter confirming your certification; such letters will no longer be issued. As a consequence, we require you to be even more diligent in filing your annual No-Change Affidavit 60 days before your annual anniversary date.

It is now your responsibility to check the City’s certification directory and verify your certification status. As a condition of continued certification during the five year period stated above, you must file an annual No-Change Affidavit. Your firm’s annual No-Change Affidavit is due by 10/1/2018, 10/1/2019, 10/1/2020, and 10/1/2021. Please remember, you have an affirmative duty to file your No-Change Affidavit 60 days prior to the date of expiration. Failure to file your annual No-Change Affidavit may result in the suspension or rescission of your certification.

Your firm’s five year certification will expire on 10/1/2022. You have an affirmative duty to file for recertification 60 days prior to the date of the five year anniversary date. Therefore, you must file for recertification by 8/1/2022.

It is important to note that you also have an ongoing affirmative duty to notify the City of any changes in ownership or control of your firm, or any other fact affecting your firm’s eligibility for certification within 10 days of such change. These changes may include but are not limited to a change of address, change of business structure, change in ownership or ownership structure, change of business operations, gross receipts and or personal net worth that exceed the program threshold. Failure to provide the City with timely notice of such changes may result in the suspension or rescission of your certification. In addition, you may be liable for civil penalties under Chapter 1-22, "False Claims", of the Municipal Code of Chicago.

Please note — you shall be deemed to have had your certification lapse and will be ineligible to participate as a MBE/WBE if you fail to:

- File your annual No-Change Affidavit within the required time period;

121 NORTH LASALLE STREET, ROOM 808, CHICAGO ILLINOIS 60602
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: Logsdon Office Supply

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):

☐ More than one 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: [Redacted] ETHNICITY: African American GENDER: Male

CONTACT NAME/TITLE: Ian Brown
E-MAIL ADDRESS: ibrown@logsdonofficesupply.com IFR/RFP/CONTRACT OR PO #: 2717
PROJECT TITLE: FamilyWorks DATE FORM COMPLETED:

PRIME CONTRACTOR: Employment & Employer Services, Inc. 312-629-5627

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:
   Office supplies

3. Indicate the total dollar value: $390,802.00

4. Terms of the agreement including but not limited to joint venture, subcontract, supplier or
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 (SBBC) 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 (SBBCs) are contacted in a sub-preference order as required by CHA/HUD policies and regulations. This means that SBBCs 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 SBBCs 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 circumstances 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 foregoing document are true and correct, and that I am authorized on behalf of the Subcontractor to make this affidavit.

Logsden Office Supply

(NAME OF SUBCONTRACTOR/SUPPLIER - PRINT OR TYPE) 11/6/2019

(SIGNATURE OF AUTHORIZED PRINCIPAL OR AGENT) (DATE)

Darlene M. Gilbert

(NAME OF NOTARY - PRINT OR TYPE)

STATE OF Illinois COUNTY OF DuPage ON THIS 6th DAY OF November

20_____ BEFORE ME APPEARED (NAME) Darlene M. Gilbert to me personally known who, being duly sworn, did execute the foregoing affidavit, and did state that he or she was properly authorized by Logsden Office Supply, Inc. to execute the affidavit and did so as his or her free act and deed.

NOTARY PUBLIC: Darlene M. Gilbert (SEAL)

COMMISSION EXPIRES: 10/23/21

"OFFICIAL SEAL"
Darlene M. Gilbert
NOTARY PUBLIC, STATE OF ILLINOIS
My Commission Expires 10/23/21
DEPARTMENT OF PROCUREMENT SERVICES

CITY OF CHICAGO

OCT 9 2019

Ian Anthony Brown
Logsdon Stationers, Inc. dba Logsdon Office Supply
111 S. Fairbank St.
Addison, IL 60101-3119

Dear Mr. Brown:

The City of Chicago has reviewed your annual No Change Affidavit and supporting documentation and is pleased to inform you that your firm, Logsdon Stationers, Inc. continues to meet the Disadvantaged Business Enterprise ("DBE") certification program eligibility standards set forth in 49 CFR Part 26. Your next No Change Affidavit is due October 15, 2020.

This certification allows your firm to participate as a DBE in the Illinois Unified Certification Program (IL UCP). The participating agencies include the City of Chicago, Illinois Department of Transportation, the Chicago Transit Authority, Metra and Pace.

If there is any change in circumstances during the course of your certification period that affect your ability to meet size, disadvantaged status, ownership, or control requirements or any material change in the information provided in your initial application, you must provide written notification to this agency within thirty (30) days of the occurrence of the change. Failure to provide this information is a ground for denial of certification based on failure to cooperate pursuant to 49 CFR 26.109(c).

Your firm's name will appear in the IL UCP DBE Directory under the following category name(s):

NAICS Code(s):
423210 – Office Furniture Merchant Wholesalers
423210 – School Furniture Merchant Wholesalers
423850 – Janitorial Equipment and Supplies Merchant Wholesalers
424120 – Stationery and Office Supplies Merchant Wholesalers
453210 – Office Supplies and Stationery Stores

The Directory is used by prime contractors/consultants, as well as other agencies, to solicit participation of DBE, and ACDBE firms. The Directory can be accessed on the Internet at https://webapps.dot.illinois.gov/UCP/ExternalSearch.
Your participation on contracts will only be credited toward DBE contract goals when you perform in your firm's approved area(s) of specialty. Credit for participation in an area outside your specialty requires prior approval (verification of resources, expertise, and corresponding support documentation, etc.).

Sincerely,

Shannon E. Andrews
Chief Procurement Officer

SEA/em
DEPARTMENT OF PROCUREMENT SERVICES
CITY OF CHICAGO

JAN 8 1 2019

Ian Brown
Logsdon Stationers, Inc. dba Logsdon Office Supply
111 S. Fairbank St.
Addison, IL 60101-3119

Dear Mr. Brown:

We are pleased to inform you that Logsdon Stationers, Inc. dba Logsdon Office Supply is certified as a Minority-Owned Business Enterprise ("MBE") by the City of Chicago ("City"). This MBE certification is valid until 1/16/2024; however your firm's certification must be revalidated annually. In the past the City has provided you with an annual letter confirming your certification; such letters will no longer be issued. As a consequence, we require you to be even more diligent in filing your annual No-Change Affidavit 60 days before your annual anniversary date.

It is now your responsibility to check the City’s certification directory and verify your certification status. As a condition of continued certification during the five year period stated above, you must file an annual No-Change Affidavit. Your firm’s annual No-Change Affidavit is due by 1/15/2020, 1/15/2021, 1/15/2022, and 1/15/2023. Please remember, you have an affirmative duty to file your No-Change Affidavit 60 days prior to the date of expiration. Failure to file your annual No-Change Affidavit may result in the suspension or rescission of your certification.

Your firm’s five year certification will expire on 1/15/2024. You have an affirmative duty to file for recertification 60 days prior to the date of the five year anniversary date. Therefore, you must file for recertification by 1/15/2023.

It is important to note that you also have an ongoing affirmative duty to notify the City of any changes in ownership or control of your firm, or any other fact affecting your firm’s eligibility for certification within 10 days of such change. These changes may include but are not limited to a change of address, change of business structure, change in ownership or ownership structure, change of business operations, gross receipts and or personal net worth that exceed the program threshold. Failure to provide the City with timely notice of such changes may result in the suspension or rescission of your certification. In addition, you may be liable for civil penalties under Chapter 1-22, “False Claims”, of the Municipal Code of Chicago.

Please note – you shall be deemed to have had your certification lapse and will be ineligible to participate as a MBE if you fail to:

* File your annual No-Change Affidavit within the required time period;
* Provide financial or other records requested pursuant to an audit within the required time period;

121 NORTH LASALLE STREET, ROOM 808, CHICAGO, ILLINOIS 60602
• Notify the City of any changes affecting your firm's certification within 10 days of such change; or
• File your recertification within the required time period.

Please be reminded of your contractual obligation to cooperate with the City with respect to any reviews, audits or investigation of its contracts and affirmative action programs. We strongly encourage you to assist us in maintaining the integrity of our programs by reporting instances or suspicions of fraud or abuse to the City’s Inspector General at chicagoinspectorgeneral.org, or 866-IG-TIPLINE (866-444-8754).

Be advised that if you or your firm is found to be involved in certification, bidding and/or contractual fraud or abuse, the City will pursue decertification and debarment. In addition to any other penalty imposed by law, any person who knowingly obtains, or knowingly assists another in obtaining a contract with the City by falsely representing the individual or entity, or the individual or entity assisted is guilty of a misdemeanor, punishable by incarceration in the county jail for a period not to exceed six months, or a fine of not less than $5,000 and not more than $10,000 or both.

Your firm’s name will be listed in the City’s Directory of Minority and Women-Owned Business Enterprises in the specialty area(s) of:

NAICS Code(s):
423210- Office and School Furniture Merchant Wholesalers
423850- Janitorial Equipment and Supplies Merchant Wholesalers
424120- Stationery and Office Supplies Merchant Wholesalers
453210- Office Supplies and Stationery Stores

Your firm’s participation on City contracts will be credited only toward MBE goals in your area(s) of specialty. While your participation on City contracts is not limited to your area of specialty, credit toward goals will be given only for work that is self-performed and providing a commercially useful function that is done in the approved specialty category.

Thank you for your interest in the City's Minority, Women, Veteran-Owned Business Enterprise and Business Enterprise Owned or Operated by People with Disabilities (MBE/WBE/VBE/BEPD) Program.

Sincerely,

Shannon E. Andrews
Chief Procurement Officer

SEA/fn
May 6, 2019

IAN BROWN
Logsdon Stationers, Inc. DBA Logsdon Office Supply
111 S. Fairbank St.
Addison, IL 60101

Dear Business Owner:

Re: NCA Certification Approval Minority Business Enterprise (MBE)
Certification Term Expires: July 19, 2020

Congratulations! After reviewing the No-Change Affidavit (NCA) information you supplied, we are pleased to inform you that your firm has been granted continued certification under the Business Enterprise Program (BEP) for Minorities, Females and Persons with Disabilities.

This certification is in effect with the State of Illinois until the date specified above as long as you continue to submit annual No-Change Affidavits and are found to still meet the requirements of the Program.

Your firm’s name will appear in the State’s Directory as a certified vendor with the BEP in the specialty area(s) of:

NIGP 42089: SCHOOLROOM FURNITURE; PLASTIC, POLYPROPYLENE, FIBERGLASS TYPE: CABINETS, CHAIRS, DESKS, ETC., INCLUDING STACKING TYPES
NIGP 42509: FURNITURE: OFFICE
NIGP 42503: BOOKCASES AND BOOKSHELVES, METAL AND WOOD
NIGP 42554: MODULAR PANEL SYSTEMS, WITH METAL CONNECTING MECHANISM
NIGP 61500: OFFICE SUPPLIES, GENERAL
NIGP 62050: PENCILS, LEAD; INCLUDING PENCIL LEADS AND PENCIL LENGTHENERS

Also, please be advised that this certification does not guarantee that you will receive a State contract. Please visit the Vendor Registration page on www.opportunities.illinois.gov and be sure to register with each of the Procurement Bulletins listed so that you are notified of upcoming solicitations in your NIGP codes. Certification with the Business Enterprise Program does not ensure you receive notifications; you must also register with the Procurement Bulletins.

Thank you for your participation in the BEP. We welcome your participation and wish you continued success.

Sincerely,

Carlos Gutierrez
Certification Manager
Business Enterprise Program
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: Middle Class Movers

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: [Redacted]  
ETHNICITY: African-American  
GENDER: Female

CONTACT NAME/TITLE: Brassie Israel / President

E-MAIL ADDRESS: brassie@middleclassmovers.com

PROJECT TITLE: FamilyWorks

PROJECT NUMBER: FFB/RFP/CONTRACT OR PO #: 2717

DATE FORM COMPLETED: ________________________

PRIME CONTRACTOR: Employment & Employer Services, Inc.  312-629-5527

[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:

Moving services

3. Indicate the total dollar value: $7,370.00

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):

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 (S3BC) 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 foregoing document are true and correct, and that I am authorized on behalf of the Subcontractor to make this affidavit.

Middle Class Movers

(NAME OF SUBCONTRACTOR/SUPPLIER - PRINT OR TYPE)
Brassie Jone

(SIGNATURE OF AUTHORIZED PRINCIPAL OR AGENT) 10-28-19
Donna Wilson

(NAME OF NOTARY - PRINT OR TYPE)

STATE OF ILLINOIS COUNTY OF COOK ON THIS 28 DAY OF oct 2019 BEFORE ME APPEARED (NAME) Brassie Jone PERSONAL KNOWING to me personally known who, being duly sworn, did execute the foregoing affidavit, and did state that he or she was properly authorized by to execute the affidavit and did so as his or her free act and deed.

NOTARY PUBLIC Donna Nelson (SEAL):
COMMISION EXPIRES: 10/13/2021

Schedule C – Letter of Intent Page 2 of 2 Revised 06.01.2018
DEPARTMENT OF PROCUREMENT SERVICES
CITY OF CHICAGO

JUN 18 2018

Brassie Chambers
Middle Class Movers, Inc.
1755 W. 79th Street
Chicago, IL 60620

Dear Brassie Chambers:

We are pleased to inform you that Middle Class Movers, Inc. has been certified as a Minority-Owned Business Enterprise ("MBE") and Women-Owned Business Enterprise ("WBE") by the City of Chicago ("City"). This (MBE/WBE) certification is valid until 6/1/2023; however your firm’s certification must be revalidated annually. In the past the City has provided you with an annual letter confirming your certification; such letters will no longer be issued. As a consequence, we require you to be even more diligent in filing your annual No-Change Affidavit 60 days before your annual anniversary date.

It is now your responsibility to check the City’s certification directory and verify your certification status. As a condition of continued certification during the five year period stated above, you must file an annual No-Change Affidavit. Your firm’s annual No-Change Affidavit is due by 6/1/2019, 6/1/2020, 6/1/2021, and 6/1/2022. Please remember, you have an affirmative duty to file your No-Change Affidavit 60 days prior to the date of expiration. Failure to file your annual No-Change Affidavit may result in the suspension or rescission of your certification.

Your firm’s five year certification will expire on 6/1/2023. You have an affirmative duty to file for recertification 60 days prior to the date of the five year anniversary date. Therefore, you must file for recertification by 4/1/2023.

It is important to note that you also have an ongoing affirmative duty to notify the City of any changes in ownership or control of your firm, or any other fact affecting your firm’s eligibility for certification within 10 days of such change. These changes may include but are not limited to a change of address, change of business structure, change in ownership or ownership structure, change of business operations, gross receipts and or personal net worth that exceed the program threshold. Failure to provide the City with timely notice of such changes may result in the suspension or rescission of your certification. In addition, you may be liable for civil penalties under Chapter 1-22, "False Claims", of the Municipal Code of Chicago.

Please note – you shall be deemed to have had your certification lapse and will be ineligible to participate as a (MBE/WBE) if you fail to:

- File your annual No-Change Affidavit within the required time period;

121 NORTH LASALLE STREET, ROOM 808, CHICAGO ILLINOIS 60602
Provide financial or other records requested pursuant to an audit within the required time period;
Notify the City of any changes affecting your firm’s certification within 10 days of such change; or
File your recertification within the required time period.

Please be reminded of your contractual obligation to cooperate with the City with respect to any reviews, audits or investigation of its contracts and affirmative action programs. We strongly encourage you to assist us in maintaining the integrity of our programs by reporting instances or suspicions of fraud or abuse to the City’s Inspector General at chicagoinspectorgeneral.org, or 866-IG-TIPLINE (866-448-4754).

Be advised that if you or your firm is found to be involved in certification, bidding and/or contractual fraud or abuse, the City will pursue decertification and debarment. In addition to any other penalty imposed by law, any person who knowingly obtains, or knowingly assists another in obtaining a contract with the City by falsely representing the individual or entity, or the individual or entity assisted is guilty of a misdemeanor, punishable by incarceration in the county jail for a period not to exceed six months, or a fine of not less than $5,000 and not more than $10,000 or both.

Your firm’s name will be listed in the City’s Directory of Minority and Women-Owned Business Enterprises in the specialty area(s) of:

NAICS Code(s):
484210 - Used Household and Office Goods Moving

Your firm’s participation on City contracts will be credited only toward Minority-Owned Business Enterprise and/or Women-Owned Business Enterprise goals in your area(s) specialty. While your participation on City contracts is not limited to your area of specialty, credit toward goals will be given only for work that is self-performed and providing a commercially useful function that is done in the approved specialty category.

Thank you for your interest in the City’s Minority, Women-Owned Business Enterprise, Veteran-Owned Business Enterprise and Business Enterprise Owned or Operated by People with Disabilities (MBE/WBE/VBE/BEPD) Program.

Sincerely,

[Signature]

Rich Butler
First/Deputy Procurement Officer
RB/1
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: Mitchell & Titus, LLP

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: African American, GENDER: Female/Male

CONTACT NAME/TITLE: Angela Allen, Executive Director

E-MAIL ADDRESS: aallen@mitchelltitus.com, IFB/RFP/CONTRACT OR PO #: 2717

PROJECT TITLE: FamilyWorks, DATE FORM COMPLETED:

PRIME CONTRACTOR: Employment & Employer Services, Inc. 312-629-5627

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:
   Auditing services

3. Indicate the total dollar value: $114,600.00

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

Schedule C - Letter of Intent
Page 1 of 2
Revised 03.01.2018
purchase order agreements on the above-referenced contract (timeframe and other subcontract details):

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 (S3BCC) 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 (S3BCCs) are contracted in a tier preference order as required by CHA/HUD policies and regulations. This means that S3BCCs 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 S3BCCs 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 circumstances 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 foregoing document are true and correct, and that I am authorized on behalf of the Subcontractor to make this affidavit.

Mitchell & Titus, LLP

(NAME OF SUBCONTRACTOR/SUPPLIER - PRINT OR TYPE)

(SIGNED NAME OF AUTHORIZED PRINCIPAL OR AGENT) (DATE)

(MARY C. BERTRAM)

(NAME OF NOTARY - PRINT OR TYPE)

STATE OF ILLINOIS COUNTY OF COOK ON THIS 6TH DAY OF NOVEMBER 2018 BEFORE ME APPEARED (NAME) WITNESS OF THIS WRITING and me personally known who, being duly sworn, did execute the foregoing affidavit, and did state that he or she was properly authorized by (MARTIN & TITUS) to execute the affidavit and did so as his or her free act and deed.

NOTARY PUBLIC: MARY C. BERTRAM (SEAL): OFFICIAL SEAL EXPiring 12/30/19
COMMISSION EXPIRES: 12/30/19

Schedule C – Letter of Intent
December 4, 2019

Anthony Kendell  
Chairman & CEO  
MITCHELL & TITUS, LLP  
80 Pine Street, 32nd Floor  
New York, NY 10005

Dear Mr. Kendell:

As a certified Minority Business Enterprise (MBE) of the National Minority Supplier Development Council (NMSDC), the Chicago Minority Supplier Development Council, Inc. (ChicagoMSDC) is bound to honor all affiliate certifications by any of the NMSDC councils nationwide.

It is therefore acknowledged that: MITCHELL & TITUS, LLP having been certified by: NEW YORK & NEW JERSEY MINORITY SUPPLIER DEVELOPMENT COUNCIL, as a Bona Fide MBE is recognized as such by ChicagoMSDC.

This Certification subscription is valid only within the following commodity/services area:

PROFESSIONAL SERVICES FIRM PROVIDING ASSURANCE, TAX, TRANSACTION SUPPORT AND BUSINESS ADVISORY SERVICES. AUDITING, ACCOUNTING, ASSURANCE, TRANSACTION SUPPORT, TAX AND INFORMATION SYSTEMS, MANAGEMENT CONSULTING SERVICES AND BUSINESS ADVISORY SERVICES

All NMSDC affiliated certification are, however, subject to an annual review by the prospective NMSDC chapters. Thus, the Certification status of the above mentioned MBE is to change from year to year.

This certification subscription is effective through: December 4, 2020

Sincerely,

Gloria A. Blake  
Certification Specialist
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: Paramount Events

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: Stephanie Vowels
E-MAIL ADDRESS: svowels@paramounteventschicago.com IFB/RFP/CONTRACT OR PO #: 2717
PROJECT TITLE: FamilyWorks DATE FORM COMPLETED: _______________
PRIME CONTRACTOR: Employment & Employer Services, Inc. 312-629-5627

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:
   Food services

3. Indicate the total dollar value: $13,982.60

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

Schedule C - Letter of Intent
Page 1 of 2
Revised 08.01.2018
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 (SBCS) CREDIT: A business that 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 (SBCs) are contracted in a tier preference order as required by CHA/HUD policies and regulations. This means that SBCs 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 SBCs at the project location in a bid to find 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 foregoing document are true and correct, and that I am authorized on behalf of the Subcontractor to make this affidavit.

Paramount Events

(NAME OF SUBCONTRACTOR/SUPPLIER - PRINT OR TYPE) 11/15/19

(SIGNATURE OF AUTHORIZED PRINCIPAL OR AGENT) (DATE) 11/15/19

JUDITH E. GOFRON

(NAME OF NOTARY - PRINT OR TYPE)

STATE OF ILLINOIS COUNTY OF COOK ON THIS 15 DAY OF NOVEMBER

2019 BEFORE ME APPEARED (NAME) KAYAN TAYLOR being duly sworn, did execute the foregoing affidavit, and did state that he or she was properly authorized by to execute the affidavit and did so as his or her free act and deed.

NOTARY PUBLIC: JUDITH E. GOFRON

COMMISSION EXPIRES: 01/14/21

Schedule C - Letter of Intent
Certified Profile

Business & Contact Information

BUSINESS NAME
Behind the Scenes Chicago LLC, dba Paramount Events

OWNER
Jody Pyfe

ADDRESS
1763 W Lake Street
Chicago, IL 60612

PHONE
773-640-8044

EMAIL
jpyfe@theparamountscoutschicago.com

Certification Information

CERTIFYING AGENCY
City of Chicago

CERTIFICATION TYPE
WBE - Women Business Enterprise

CERTIFICATION DATE
11/19/2018

RENEWAL DATE
11/15/2019

EXPIRATION DATE
11/15/2023

CERTIFIED BUSINESS DESCRIPTION
Catering Services

Commodity Codes

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>NAICS 722320</td>
<td>Catering services, social</td>
</tr>
</tbody>
</table>

Additional Information

WARD
27

COMMUNITY AREA
28 Near West Side
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: Preferred Printing

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 subcontractors 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: Female

CONTACT NAME/TITLE: Rosalie Joseph/Owner

E-MAIL ADDRESS: ppgr@att.net  IFB/RFP/CONTRACT OR PO #: 2717

PROJECT TITLE: FamilyWorks  DATE FORM COMPLETED: 312-629-5627

PRIME CONTRACTOR: Employment & Employer Services, Inc.  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):  

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

3. Indicate the total dollar value: $21,812.39

4. Terms of the agreement including but not limited to joint venture, subcontract, supplier or
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 (SBC) 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 (SBCs) are contracted in a tier preference order as required by CHA/HUD policies and regulations. This means that SBCs 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 SBCs 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 circumstances 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 foregoing document are true and correct, and that I am authorized on behalf of the Subcontractor to make this affidavit.

Preferred Printing

(NAME OF SUBCONTRACTOR/SUPPLIER - PRINT OR TYPE)

(NAME OF AUTHORIZED PRINCIPAL OR AGENT)

(SIGNATURE OF AUTHORIZED PRINCIPAL OR AGENT)

(DATE)

Tena M. Brown

(NAME OF NOTARY - PRINT OR TYPE)

STATE OF ILLINOIS COUNTY OF COOK ON THIS 12th DAY OF NOVEMBER 2019 BEFORE ME APPEARED (NAME) ROSALEE J. SHERFON TO ME PERSONALLY KNOWN WHO, BEING DUTY SWORN, DID EXECUTE THE FOREGOING AFFIDAVIT, AND DID STATE THAT HE OR SHE WAS PROPERLY AUTHORIZED BY (SUBCONTRACTOR) TO EXECUTE THE AFFIDAVIT AND DID SO AS HIS OR HER FREE ACT AND DEED.

NOTARY PUBLIC:

COMMISSION EXPIRES:

(SEAL):

OFFICIAL SEAL

TENA M. BROWN

NOTARY PUBLIC - STATE OF ILLINOIS

MY COMMISSION EXPIRES 01/01/2020

Schedule C - Letter of Intent
Certified Profile

Business & Contact Information

**Preferred Printing & Graphics Co., Inc.**

- **Owner**: Rosalie Joseph
- **Address**: 5815 St. Charles Rd., Berksley, IL 60163-1681
- **Phone**: 708-547-6889
- **Fax**: 708-547-6897
- **Email**: nancyfatt.net

Certification Information

- **Certifying Agency**: City of Chicago
- **Certification Type**: WBE - Women Business Enterprise
- **Certification Date**: 8/29/2019
- **Renewal Date**: 8/15/2020
- **Expiration Date**: 8/15/2024
- **Certified Business Description**:
  - NAICS 561491 Commercial Printing (except Screen and Books)
  - NAICS 561439 Business Service Centers (except Private Mail Centers)
  - NAICS 561439 Copy Shops (except Combined with Printing Services)

Commodity Codes

<table>
<thead>
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<th>Code</th>
<th>Description</th>
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</thead>
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<tr>
<td>NAICS 323111</td>
<td>Commercial Printing (except Screen and Books)</td>
</tr>
<tr>
<td>NAICS 561439</td>
<td>Business Service Centers (except private mail centers)</td>
</tr>
<tr>
<td>NAICS 561439</td>
<td>Copy Shops (except combined with printing services)</td>
</tr>
</tbody>
</table>

Additional Information
M/W/DBE or SECTION 3 BUSINESS CONCERN NAME: The Shred Authority

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: [Redacted] ETHNICITY: African American GENDER: Male

CONTACT NAME/TITLE: Kenneth Williams, President

E-MAIL ADDRESS: ke@shredauthority.com IFB/RFP/CONTRACT OR PD #: 2717

PROJECT TITLE: FamilyWorks DATE FORM COMPLETED:

PRIME CONTRACTOR: Employment & Employer Services, Inc. 312-629-5627

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 (SSBC) contractors/subcontractors, the owner or employee of the SSBC 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):

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

   B. Indicate the total dollar value: $24,000.00

   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):

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). CONTRACTING M/W/DBE AND SECTION 3 BUSINESS CONCERN (SBC) 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 TIME ORDER: Effective immediately, prime contractors on CHA/HUD funded contracts must ensure that Section 3 Business Concerns (SBCs) are contracted to in the preference order as required by CHA/HUD policies and regulations. This means that SBCs 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 SBCs at the project location to 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 circumstances 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 foregoing document are true and correct, and that I am authorized on behalf of the Subcontractor to make this affidavit.

The Shred Authority

(NAME OF SUBCONTRACTOR/SUPPLIER - PRINT OR TYPE)

Ken Williams

(SIGNATURE OF AUTHORIZED PRINCIPAL OR AGENT)

Amanda C. Crawford

(DATE)

(NAME OF NOTARY - PRINT OR TYPE)

STATE OF: Illinois COUNTY OF Cook ON THIS 24 DAY OF NOV 2019 BEFORE ME APPEARED (NAME) Ken Williams 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 Shred Authority
to execute the affidavit and did so as his or her free act and deed.

NOTARY PUBLIC: Amanda C. Crawford (SEAL)

COMMISSION EXPIRES: May 10, 2021

Schedule C - Letter of Intent Page 2 of 2
Kenneth R. Williams  
Renard Limited, LLC d/b/a The Shred Authority  
4101 West 124th Place  
Alsip, IL 60803

Dear Mr. Williams:

We are pleased to inform you that Renard Limited, LLC d/b/a The Shred Authority has been recertified as a Minority-Owned Business Enterprise ("MBE") by the City of Chicago ("City"). This MBE certification is valid until 2/15/2024; however, your firm's certification must be revalidated annually. In the past the City has provided you with an annual letter confirming your certification; such letters will no longer be issued. As a consequence, we require you to be even more diligent in filing your annual No-Change Affidavit 60 days before your annual anniversary date.

It is now your responsibility to check the City's certification directory and verify your certification status. As a condition of continued certification during the five-year period stated above, you must file an annual No-Change Affidavit. Your firm's annual No-Change Affidavit is due by 2/15/2020, 2/15/2021, 2/15/2022, and 2/15/2023. Please remember, you have an affirmative duty to file your No-Change Affidavit 60 days prior to the date of expiration. Failure to file your annual No-Change Affidavit may result in the suspension or rescission of your certification.

Your firm's five-year certification will expire on 2/15/2024. You have an affirmative duty to file for recertification 60 days prior to the date of the five-year anniversary date. Therefore, you must file for recertification by 12/15/2023.

It is important to note that you also have an ongoing affirmative duty to notify the City of any changes in ownership or control of your firm, or any other fact affecting your firm's eligibility for certification within 10 days of such change. These changes may include but are not limited to a change of address, change of business structure, change in ownership or ownership structure, change of business operations, gross receipts and or personal net worth that exceed the program threshold. Failure to provide the City with timely notice of such changes may result in the suspension or rescission of your certification. In addition, you may be liable for civil penalties under Chapter 1-22, "False Claims", of the Municipal Code of Chicago.

Please note – you shall be deemed to have had your certification lapse and will be ineligible to participate as a MBE if you fail to:

- File your annual No-Change Affidavit within the required time period;
- Provide financial or other records requested pursuant to an audit within the required time period;
- Notify the City of any changes affecting your firm's certification within 10 days of such change; or
- File your recertification within the required time period.

Please be reminded of your contractual obligation to cooperate with the City with respect to any reviews, audits or investigation of its contracts and affirmative action programs. We strongly encourage you to assist us in maintaining the integrity of our programs by reporting instances or suspicions of fraud or abuse to the City's Inspector General at chicagonavigatorgeneral.org, or 866-IG-TIPLINE (866-446-4754).

Be advised that if you or your firm is found to be involved in certification, bidding and/or contractual fraud or abuse, the City will pursue decertification and debarment. In addition to any other penalty imposed by law, any person who knowingly obtains, or knowingly assists another in obtaining a contract with the City by falsely representing the individual or entity, or the individual or entity assisted is guilty of a misdemeanor, punishable by incarceration in the county jail for a period not to exceed six months, or a fine of not less than $5,000 and not more than $10,000 or both.

Your firm's name will be listed in the City's Directory of Minority and Women-Owned Business Enterprises in the specialty area(s) of:

NAICS Code(s):
561990 - Document shredding services
493190 - Document storage and warehousing

Your firm's participation on City contracts will be credited only toward MBE goals in your area(s) specialty. While your participation on City contracts is not limited to your area of specialty, credit toward goals will be given only for work that is self-performed and providing a commercially useful function that is done in the approved specialty category.

Thank you for your interest in the City’s Minority, Women-Owned Business Enterprise, Veteran-Owned Business Enterprise and Business Enterprise Owned or Operated by People with Disabilities (MBE/WBE/VBE/BEPD) Program.

Sincerely,

Shannon E. Andrews
Chief Procurement Officer

SEA/sl
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: U.S. Messenger Services & Logistics

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: Hispanic GENDER: Male

CONTACT NAME/TITLE: Ron Libman

E-MAIL ADDRESS: rlibman@usmessenger.net

IFB/RFP/CONTRACT OR PO #: 2717

PROJECT TITLE: FamilyWorks

DATE FORM COMPLETED: ____________

PRIME CONTRACTOR: Employment & Employer Services, Inc. 312-629-5627

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 (SBBC) contractors/subcontractors, the owner or employee of the SBBC 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 [X]

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

__________________________________________________________________________________________________________________________________________________

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

   Messenger services

   ____________________________________________________________________________

3. Indicate the total dollar value: $109,100.00

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

Schedule C – Letter of Intent

Page 1 of 2

Revised 08.01.2018
purchase order agreements on the above-referenced contract (timeframe and other subcontract details):

S. 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 (SBRC) 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 (SBRCs) are contracted in a tier preference order as required by CHA/HUD policies and regulations. This means that SBRCs 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 SBRCs as 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 circumstances 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 foregoing document are true and correct, and that I am authorized on behalf of the Subcontractor to make this affidavit.

U.S. Messenger Services & Logistics

(NAME OF SUBCONTRACTOR/SUPPLIER - PRINT OR TYPE)

(SIGNATURE OF AUTHORIZED PRINCIPAL OR AGENT) (DATE)

(Cynthia Duncan - Tinley)

(NAME OF NOTARY - PRINT OR TYPE)

(State of Illinois) COUNTY OF DuPage ON THIS 5 DAY OF November 2019 BEFORE ME APPEARED (NAME) being duly sworn, did execute the foregoing affidavit, and did state that he or she was properly authorized by

to execute the affidavit and did so as his or her free act and deed.

(NOTARY PUBLIC)

(COMMISSION EXPIRES: 11/1/22)

Schedule C - Letter of Intent
U.S. MESSENGER & LOGISTICS, INC.
dba USM LOGISTICS

THIS CERTIFIES THAT

U.S. MESSENGER & LOGISTICS, INC.

dba USM LOGISTICS

* Nationally certified by the CHICAGO MINORITY SUPPLIER DEVELOPMENT COUNCIL

* NAICS Code(s): 492210; 494110; 541914; 484510; 491212; 493180; 491112

* Description of their products/services as defined by the North American Industry Classification System (NAICS)

* Certificate Number: CH02533

* Issued Date: 09/20/2019

* Expiration Date: 09/20/2020

By using your password (NMSDC issued only), authorized users may log into NMSDC Central to view the entire profile: http://nmsdc.org

Sheila C. Morgan
Adherence Tickle

* MBE certified by an Affiliate of the National Minority Supplier Development Council, Inc.

NATIONAL MINORITY SUPPLIER DEVELOPMENT COUNCIL
Certification Term Expires: March 20, 2020

Mr. Frank Gonzales
US Messenger & Logistics, Inc. DRA USM Logistics, US Messenger
7790 QUINCY STREET
WILLOWBROOK, IL 60527

Re: Minority Business Enterprise (MBE)

Dear Frank Gonzales:

Congratulations! After reviewing the information that you supplied, we are pleased to inform you that your firm has been granted certification as a Minority Business Enterprise (MBE) under the Business Enterprise Program (BEP) for Minorities, Females, and Persons with Disabilities.

This certification is in effect with the State of Illinois until the date specified above. Please note that you have been granted certification under the Recognition Application because you are certified with one of our partner organizations and, as such, must re-certify each year.

At least 15 days prior to the anniversary date of your certification, you will be notified by BEP through email to update your certification as a condition of continued certification. It is your responsibility to ensure that the contact email address listed in the system is accurate and up to date and that the email account is checked regularly so that you do not miss any important notifications. In addition, should any changes occur in ownership and/or control of the business, in the business’ certification status with the partner organization, or other changes affecting the firm’s operations, you are required to notify BEP within two weeks. Failure to notify our office of changes will result in decertification of your firm.

Your firm’s name will appear in the State’s Directory as a certified vendor with the Business Enterprise Program in the specialty area(s) of:

NIGP 91832: CONSULTING SERVICES (NOT OTHERWISE CLASSIFIED)
NIGP 96286: TRANSPORTATION OF GOODS, SHIPPING AND HANDLING, AND OTHER FREIGHT SERVICES

Your firm will only show up in the database of BEP-certified vendors under the NIGP codes listed above, so PLEASE REVIEW THE LIST CAREFULLY TO ENSURE THAT ALL RELEVANT NIGP CODES ARE INCLUDED.

Also, please be advised that this certification does not guarantee you will receive a State contract. Please visit the Vendor Registration page on www.opportunities.illinois.gov and be sure to register with each of the Procurement Bulletins listed so that you are notified of upcoming solicitations in your NIGP codes. Certification with the Business Enterprise Program does not ensure you receive notifications; you must also register with the Procurement Bulletins.

Thank you for your participation in the Business Enterprise Program. We welcome your participation and wish you continued success.

Sincerely,
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: Wynndalco Enterprises

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: Hispanic ☐ GENDER: Male ☐

CONTACT NAME/TITLE: David R Andelcio, CEO

E-MAIL ADDRESS: d.andelcio@wynndalco.com

IFB/RFP/CONTRACT OR PO #: 2717

PROJECT TITLE: FamilyWorks

DATE FORM COMPLETED:

PRIME CONTRACTOR: Employment & Employer Services, Inc. 312-629-5627

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:
   Computer supplier and other peripherals

3. Indicate the total dollar value: $486,846.00

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

Schedule C — Letter of Intent
Page 1 of 2

Revised 08.01.2018
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):

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 (SBRC) 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 (SBRCs) are contracted in a tier preference order as required by CHA/HUD policies and regulations. This means that SBRCs 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 SBRCs 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 circumstances 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 foregoing document are true and correct, and that I am authorized on behalf of the Subcontractor to make this affidavit.

Wynndalco Enterprises

(NAME OF SUBCONTRACTOR/SUPPLIER - PRINT OR TYPE)

(SIGNATURE OF AUTHORIZED PRINCIPAL OR AGENT) 11/5/19

(NAME OF NOTARY - PRINT OR TYPE)

STATE OF ILLINOIS COUNTY OF COOK ON THIS 5th DAY OF NOVEMBER 2019 BEFORE ME APPEARED (NAME) DAVID E ANDBERG, being duly sworn, did execute the foregoing affidavit, and did state that he or she was properly authorized by

to execute the affidavit and did so as his or her free act and deed.

NOTARY PUBLIC: _______________________________ (SEAL): _______________________________

COMMISSION EXPIRES: 9/26/2020

Schedule C - Letter of Intent Page 2 of 2

Revised 06.01.2018
DEPARTMENT OF PROCUREMENT SERVICES
CITY OF CHICAGO

MAY 26 2016

David Ricardo Andaico
Wynndalco Enterprises, LLC
400 North Michigan Avenue, Suite S500
Chicago, IL 60611

Dear David Ricardo Andaico:

We are pleased to inform you that Wynndalco Enterprises, LLC has been recertified as a Minority-Owned Business Enterprise ("MBE") by the City of Chicago ("City"). This MBE certification is valid until 6/15/2021; however, your firm's certification must be revalidated annually. In the past, the City has provided you with an annual letter confirming your certification; such letters will no longer be issued. As a consequence, we require you to be even more diligent in filing your annual No-Change Affidavit 60 days before your annual anniversary date.

It is now your responsibility to check the City's certification directory and verify your certification status. As a condition of continued certification during the five-year period stated above, you must file an annual No-Change Affidavit. Your firm's annual No-Change Affidavit is due by 5/15/2017, 5/15/2018, 5/15/2019, and 5/15/2020. Please remember, you have an affirmative duty to file your No-Change Affidavit 60 days prior to the date of expiration. Failure to file your annual No-Change Affidavit may result in the suspension or rescission of your certification.

Your firm's five-year certification will expire on 5/15/2021. You have an affirmative duty to file for recertification 60 days prior to the date of the five-year anniversary date. Therefore, you must file for recertification by 3/15/2021.

It is important to note that you also have an ongoing affirmative duty to notify the City of any changes in ownership or control of your firm, or any other fact affecting your firm's eligibility for certification within 10 days of such change. These changes may include, but are not limited to, a change of address, change of business structure, change in ownership or ownership structure, change of business operations, gross receipts and or personal net worth that exceed the program threshold. Failure to provide the City with timely notice of such changes may result in the suspension or rescission of your certification. In addition, you may be liable for civil penalties under Chapter 1-22, "False Claims", of the Municipal Code of Chicago.

Please note – you shall be deemed to have had your certification lapse and will be ineligible to participate as a MBE if you fail to:

- File your annual No-Change Affidavit within the required time period;

121 NORTH LASALLE STREET, ROOM 806, CHICAGO ILLINOIS 60602
- Provide financial or other records requested pursuant to an audit within the required time period;
- Notify the City of any changes affecting your firm’s certification within 10 days of such change; or
- File your recertification within the required time period.

Please be reminded of your contractual obligation to cooperate with the City with respect to any reviews, audits or investigation of its contracts and affirmative action programs. We strongly encourage you to assist us in maintaining the integrity of our programs by reporting instances or suspicions of fraud or abuse to the City’s Inspector General at chicagoinspectorgeneral.org, or 866-IG-TIPLINE (866-448-4754).

Be advised that if you or your firm is found to be involved in certification, bidding and/or contractual fraud or abuse, the City will pursue decertification and debarment. In addition to any other penalty imposed by law, any person who knowingly obtains, or knowingly assists another in obtaining a contract with the City by falsely representing the individual or entity, or the individual or entity assisted is guilty of a misdemeanor, punishable by incarceration in the county jail for a period not to exceed six months, or a fine of not less than $5,000 and not more than $10,000 or both.

Your firm’s name will be listed in the City’s Directory of Minority and Women-Owned Business Enterprises in the specialty area(s) of:

NAICS Code(s):  
541511 - Custom Computer Programming Services  
541614 - Process, Physical Distribution, and Logistics Consulting Services  
541614 - Logistics management consulting services  
811212 - Computer equipment repair and maintenance services without retailing new computers  
238210 - Computer and network cable installation  
541330 - Engineering Services  
541690 - Other Scientific and Technical Consulting Services  
811420 - Computer Training  
493110 - General Warehousing and Storage  
541512 - Computer Systems Design Services

Your firm’s participation on City contracts will be credited only toward Minority-Owned Business Enterprise goals in your area(s) specialty. While your participation on City contracts is not limited to your area of specialty, credit toward goals will be given only for work that is self-performed and providing a commercially useful function that is done in the approved specialty category.

Thank you for your interest in the City’s Minority and Women-Owned Business Enterprise (MBE/WBE) Program.

Sincerely,

Rich Butler  
First Deputy Procurement Officer  
RB/gd
EXHIBIT V

GENERAL CONDITIONS FOR NON-CONSTRUCTION CONTRACTS
HUD FORM 5370-C (1/2014)
General Conditions for Non-Construction Contracts

Section I – (With or without Maintenance Work)

Applicability. This form HUD-5370-C 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 I - Clauses for All Non-Construction Contracts greater than $100,000

1. Definitions

The following definitions are applicable to this contract:
(a) “Authority or Housing Authority (HA)” means the Housing Authority.
(b) “Contract” means the contract entered into between the Authority and the Contractor. It includes the contract form, the Certifications and Representations, these contract clauses, and the scope of work. It includes all formal changes to any of these documents by addendum, Change Order, or other modification.
(c) “Contractor” means the person or other entity entering into the contract with the Authority to perform all of the work required under the contract.
(d) “Day” means calendar days, unless otherwise stated.
(e) “HUD” means the Secretary of Housing and Urban development, his delegates, successors, and assigns, and the officers and employees of the United States Department of Housing and Urban Development acting for and on behalf of the Secretary.

2. Changes

(a) The HA may at any time, by written order, and without notice to the sureties, if any, make changes within the general scope of this contract in the services to be performed or supplies to be delivered.
(b) If any such change causes an increase or decrease in the hourly rate, the not-to-exceed amount of the contract, or the time required for performance of any part of the work under this contract, whether or not changed by the order, or otherwise affects the conditions of this contract, the HA shall make an equitable adjustment in the not-to-exceed amount, the hourly rate, the delivery schedule, or other affected terms, and shall modify the contract accordingly.
(c) The Contractor must assert its right to an equitable adjustment under this clause within 30 days from the date of receipt of the written order. However, if the HA decides that the facts justify it, the HA may receive and act upon a proposal submitted before final payment of the contract.
(d) Failure to agree to any adjustment shall be a dispute under clause Disputes, herein. However, nothing in this clause shall excuse the Contractor from proceeding with the contract as changed.
(e) No services for which an additional cost or fee will be charged by the Contractor shall be furnished without the prior written consent of the HA.

3. Termination for Convenience and Default

(a) The HA may terminate this contract in whole, or from time to time in part, for the HA’s convenience or the failure of the Contractor to fulfill the contract obligations (default). The HA shall terminate by delivering to the Contractor a written Notice of Termination specifying the nature, extent, and effective date of the termination. Upon receipt of the notice, the Contractor shall: (i) immediately discontinue all services affected (unless the notice directs otherwise); and (ii) deliver to the HA all information, reports, papers, and other materials accumulated or generated in performing this contract, whether completed or in process.
(b) If the termination is for the convenience of the HA, the HA shall be liable only for payment for services rendered before the effective date of the termination.
(c) If the termination is due to the failure of the Contractor to fulfill its obligations under the contract (default), the HA may (i) require the Contractor to deliver to it, in the manner and to the extent directed by the HA, any work as described in subparagraph (a)(ii) above, and compensation be determined in accordance with the Changes clause, paragraph 2, above; (ii) take over the work and prosecute the same to completion by contract or otherwise, and the Contractor shall be liable for any additional cost incurred by the HA; (iii) withhold any payments to the Contractor, for the purpose of off-set or partial payment, as the case may be, of amounts owed to the HA by the Contractor.
(d) If, after termination for failure to fulfill contract obligations (default), it is determined that the Contractor had not failed, the termination shall be deemed to have been effected for the convenience of the HA, and the Contractor shall be entitled to payment as described in paragraph (b) above.
(e) Any disputes with regard to this clause are expressly made subject to the terms of clause titled Disputes herein.

4. Examination and Retention of Contractor’s Records

(a) The HA, HUD, or Comptroller General of the United States, or any of their duly authorized representatives shall, until 3 years after final payment under this contract, have access to and the right to examine any of the Contractor’s directly pertinent books, documents, papers, or other records involving transactions related to this contract for the purpose of making audit, examination, excerpts, and transcriptions.
(b) The Contractor agrees to include in first-tier subcontracts under this contract a clause substantially the same as paragraph (a) above. "Subcontract," as used in this clause, excludes purchase orders not exceeding $10,000.

(c) The periods of access and examination in paragraphs (a) and (b) above for records relating to: appeals under the clause titled Disputes; litigation or settlement of claims arising from the performance of this contract; or, (iii) costs and expenses of this contract to which the HA, HUD, or Comptroller General or any of their duly authorized representatives has taken exception shall continue until disposition of such appeals, litigation, claims, or exceptions.

5. Rights in Data (Ownership and Proprietary Interest)

The HA shall have exclusive ownership of, all proprietary interest in, and the right to full and exclusive possession of all information, materials and documents discovered or produced by Contractor pursuant to the terms of this Contract, including but not limited to reports, memoranda or letters concerning the research and reporting tasks of this Contract.

6. Energy Efficiency

The contractor shall comply with all mandatory standards and policies relating to energy efficiency which are contained in the energy conservation plan issued in compliance with the Energy Policy and Conservation Act (Pub.L. 94-163) for the State in which the work under this contract is performed.

7. Disputes

(a) All disputes arising under or relating to this contract, except for disputes arising under clauses contained in Section III, Labor Standards Provisions, including any claims for damages for the alleged breach thereof of which are not disposed of by agreement, shall be resolved under this clause.

(b) All claims by the Contractor shall be made in writing and submitted to the HA. A claim by the HA against the Contractor shall be subject to a written decision by the HA.

(c) The HA shall, with reasonable promptness, but in no event in no more than 60 days, render a decision concerning any claim hereunder. Unless the Contractor, within 30 days after receipt of the HA's decision, shall notify the HA in writing that it takes exception to such decision, the decision shall be final and conclusive.

(d) Provided the Contractor has (i) given the notice within the time stated in paragraph (c) above, and (ii) excepted its claim relating to such decision from the final release, and (iii) brought suit against the HA not later than one year after receipt of final payment, or if final payment has not been made, not later than one year after the Contractor has had a reasonable time to respond to a written request by the HA that it submit a final voucher and release, whichever is earlier, then the HA's decision shall not be final or conclusive, but the dispute shall be determined on the merits by a court of competent jurisdiction.

(e) The Contractor shall proceed diligently with performance of this contract, pending final resolution of any request for relief, claim, appeal, or action arising under the contract, and comply with any decision of the HA.

8. Contract Termination; Debarment

A breach of these Contract clauses may be grounds for termination of the Contract and for debarment or denial of participation in HUD programs as a Contractor and a subcontractor as provided in 24 CFR Part 24.

9. Assignment of Contract

The Contractor shall not assign or transfer any interest in this contract; except that claims for monies due or to become due from the HA under the contract may be assigned to a bank, trust company, or other financial institution. If the Contractor is a partnership, this contract shall inure to the benefit of the surviving or remaining member(s) of such partnership approved by the HA.

10. Certificate and Release

Prior to final payment under this contract, or prior to settlement upon termination of this contract, and as a condition precedent thereto, the Contractor shall execute and deliver to the HA a certificate and release, in a form acceptable to the HA, of all claims against the HA by the Contractor under and by virtue of this contract, other than such claims, if any, as may be specifically excepted by the Contractor in stated amounts set forth therein.

11. Organizational Conflicts of Interest

(a) The Contractor warrants that to the best of its knowledge and belief and except as otherwise disclosed, it does not have any organizational conflict of interest which is defined as a situation in which the nature of work under this contract and a contractor's organizational, financial, contractual or other interests are such that:
(i) Award of the contract may result in an unfair competitive advantage; or
(ii) The Contractor's objectivity in performing the contract work may be impaired.

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

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

(d) The terms of this clause shall be included in all subcontracts and consulting agreements wherein the work to be performed is similar to the service provided by the prime Contractor. The Contractor shall include in such subcontracts and consulting agreements any necessary provisions to eliminate or neutralize conflicts of interest.

12. Inspection and Acceptance

(a) The HA has the right to review, require correction, if necessary, and accept the work products produced by the Contractor. Such review(s) shall be carried out within 30 days so as not to impede the work of the Contractor. Any
product of work shall be deemed accepted as submitted if the HA does not issue written comments and/or required corrections within 30 days from the date of receipt of such product from the Contractor.

(b) The Contractor shall make any required corrections promptly at no additional charge and return a revised copy of the product to the HA within 7 days of notification or a later date if extended by the HA.

(c) Failure by the Contractor to proceed with reasonable promptness to make necessary corrections shall be a default. If the Contractor's submission of corrected work remains unacceptable, the HA may terminate this contract (or the task order involved) or reduce the contract price or cost to reflect the reduced value of services received.

13. Interest of Members of Congress

No member of or delegate to the Congress of the United States of America or Resident Commissioner shall be admitted to any share or part of this contract or to any benefit to arise there from, but this provision shall not be construed to extend to this contract if made with a corporation for its general benefit.

14. Interest of Members, Officers, or Employees and Former Members, Officers, or Employees

No member, officer, or employee of the HA, no member of the governing body of the locality in which the project is situated, no member of the governing body in which the HA was activated, and no other public official of such locality or localities who exercises any functions or responsibilities with respect to the project, shall, during his or her tenure, or for one year thereafter, have any interest, direct or indirect, in this contract or the proceeds thereof.

15. Limitation on Payments to Influence Certain Federal Transactions

(a) Definitions. As used in this clause:

"Agency", as defined in 5 U.S.C. 552(f), includes Federal executive departments and agencies as well as independent regulatory commissions and Government corporations, as defined in 31 U.S.C. 9101(1).

"Covered Federal Action" means any of the following Federal actions:

- The awarding of any Federal contract;
- The making of any Federal grant;
- The making of any Federal loan;
- The entering into of any cooperative agreement; and,
- The extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

Covered Federal action does not include receiving from an agency a commitment providing for the United States to incur or guarantee a loan.

"Indian tribe" and "tribal organization" have the meaning provided in section 4 of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450B). Alaskan Natives are included under the definitions of Indian tribes in that Act.

"Influencing or attempting to influence" means making, with the intent to influence, any communication or appearance before 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 any covered Federal action.

"Local government" means a unit of government in a State and, if chartered, established, or otherwise recognized by a State for the performance of a governmental duty, including a local public authority, a special district, an intrastate district, a council of governments, a sponsor group representative organization, and any other instrumentality of a local government.

"Officer or employee of an agency" includes the following individuals who are employed by an agency:

(i) An individual who is appointed to a position in the Government under title 5, U.S.C., including a position under a temporary appointment;

(ii) A member of the uniformed services as defined in section 202, title 18, U.S.C.;

(iii) A special Government employee as defined in section 202, title 18, U.S.C.; and,

(iv) An individual who is a member of a Federal advisory committee, as defined by the Federal Advisory Committee Act, title 5, appendix 2.

"Person" means an individual, corporation, company, association, authority, firm, partnership, society, State, and local government, regardless of whether such entity is operated for profit or not for profit. This term excludes an Indian tribe, tribal organization, or other Indian organization with respect to expenditures specifically permitted by other Federal law.

"Recipient" includes all contractors, subcontractors at any tier, and subgrantees at any tier of the recipient of funds received in connection with a Federal contract, grant, loan, or cooperative agreement. The term excludes an Indian tribe, tribal organization, or any other Indian organization with respect to expenditures specifically permitted by other Federal law.

"Regularly employed means, with respect to an officer or employee of a person requesting or receiving a Federal contract, grant, loan, or cooperative agreement, an officer or employee who is employed by such person for at least 130 working days within one year immediately preceding the date of submission that initiates agency consideration of such person for receipt of such contract, grant, loan, or cooperative agreement. An officer or employee who is employed by such person for less than 130 working days within one year immediately preceding the date of submission that initiates agency consideration of such person shall be considered to be regularly employed as soon as he or she is employed by such person for 130 working days.

"State" means a State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, a territory or possession of the United States, an agency or instrumentality of a State, and a multi-State, regional, or interstate entity having governmental duties and powers.

(b) Prohibition.

(i) Section 1352 of title 31, U.S.C. provides in part that no appropriated funds may be expended by the recipient of a Federal contract, grant, loan, or cooperative agreement to pay 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 any of the following covered Federal actions: the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(ii) The prohibition does not apply as follows:
(1) Agency and legislative liaison by Own Employees.
   (a) The prohibition on the use of appropriated funds, in paragraph (i) of this section, does not apply in the case of a payment of reasonable compensation made to an officer or employee of a person requesting or receiving a Federal contract, grant, loan, or cooperative agreement, if the payment is for agency and legislative activities not directly related to a covered Federal action.
   (b) For purposes of paragraph (b)(i)(1)(a) of this clause, providing any information specifically requested by an agency or Congress is permitted at any time.
   (c) The following agency and legislative liaison activities are permitted at any time only where they are not related to a specific solicitation for any covered Federal action:
      (1) Discussing with an agency (including individual demonstrations) the qualities and characteristics of the person's products or services, conditions or terms of sale, and service capabilities; and,
      (2) Technical discussions and other activities regarding the application or adaptation of the person's products or services for an agency's use.
   (d) The following agency and legislative liaison activities are permitted where they are prior to formal solicitation of any covered Federal action:
      (1) Providing any information not specifically requested but necessary for an agency to make an informed decision about initiation of a covered Federal action;
      (2) Technical discussions regarding the preparation of an unsolicited proposal prior to its official submission; and
      (3) Capability presentations by persons seeking awards from an agency pursuant to the provisions of the Small Business Act, as amended by Public Law 95-507 and other subsequent amendments.
   (e) Only those activities expressly authorized by subdivision (b)(i)(1)(a) of this clause are permitted under this clause.

(2) Professional and technical services.
   (a) The prohibition on the use of appropriated funds, in subparagraph (b)(i) of this clause, does not apply in the case of
      (i) A payment of reasonable compensation made to an officer or employee of a person requesting or receiving a covered Federal action or an extension, continuation, renewal, amendment, or modification of a covered Federal action, if payment is for professional or technical services rendered directly in the preparation, submission, or negotiation of any bid, proposal, or application for that Federal action or for meeting requirements imposed by or pursuant to law as a condition for receiving that Federal action.
      (ii) Any reasonable payment to a person, other than an officer or employee of a person requesting or receiving a covered Federal action or an extension, continuation, renewal, amendment, or modification of a covered Federal action if the payment is for professional or technical services rendered directly in the preparation, submission, or negotiation of any bid, proposal, or application for that Federal action or for meeting requirements imposed by or pursuant to law as a condition for receiving that Federal action. Persons other than officers or employees of a person requesting or receiving a covered Federal action include consultants and trade associations.
   (b) For purposes of subdivision (b)(ii)(2)(a) of clause, "professional and technical services" shall be limited to advice and analysis directly applying any professional or technical discipline.
   (c) Requirements imposed by or pursuant to law as a condition for receiving a covered Federal award include those required by law or regulation, or reasonably expected to be required by law or regulation, and any other requirements in the actual award documents.
   (d) Only those services expressly authorized by subdivisions (b)(ii)(2)(a)(i) and (ii) of this section are permitted under this clause.
   (iii) Selling activities by independent sales representatives.
   (c) The prohibition on the use of appropriated funds, in subparagraph (b)(i) of this clause, does not apply to the following selling activities before an agency by independent sales representatives, provided such activities are prior to formal solicitation by an agency and are specifically limited to the merits of the matter:
      (i) Discussing with an agency (including individual demonstration) the qualities and characteristics of the person's products or services, conditions or terms of sale, and service capabilities; and
      (ii) Technical discussions and other activities regarding the application or adaptation of the person's products or services for an agency's use.
   (d) Agreement. In accepting any contract, grant, cooperative agreement, or loan resulting from this solicitation, the person submitting the offer agrees not to make any payment prohibited by this clause.
   (e) Penalties. Any person who makes an expenditure prohibited under paragraph (b) of this clause shall be subject to civil penalties as provided for by 31 U.S.C. 1352.
      An imposition of a civil penalty does not prevent the Government from seeking any other remedy that may be applicable.
   (f) Cost Allowability. Nothing in this clause is to be interpreted to make allowable or reasonable any costs which would be unallowable or unreasonable in accordance with Part 31 of the Federal Acquisition Regulation (FAR), or OMB Circulars dealing with cost allowability for recipients of assistance agreements. Conversely, costs made specifically unallowable by the requirements in this clause will not be made allowable under any of the provisions of FAR Part 31 or the relevant OMB Circulars.
16. Equal Employment Opportunity

During the performance of this contract, the Contractor agrees as follows:
(a) The Contractor shall not discriminate against any employee or applicant for employment because of race, color, religion, sex, or national origin.
(b) The Contractor shall take affirmative action to ensure that applicants are employed, and that employees are treated during employment without regard to their race, color, religion, sex, or national origin. Such action shall include, but not be limited to (1) employment; (2) upgrading; (3) demotion; (4) transfer; (5) recruitment or recruitment advertising; (6) layoff or termination; (7) rates of pay or other forms of compensation; and (8) selection for training, including apprenticeship.
(c) The Contractor shall post in conspicuous places available to employees and applicants for employment the notices to be provided by the Contracting Officer that explain this clause.
(d) The Contractor shall, in all solicitations or advertisements for employment by or on behalf of the Contractor, state that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex, or national origin.
(e) The Contractor shall send, to each labor union or representative of workers with which it has a collective bargaining agreement or other contract or understanding, the notice to be provided by the Contracting Officer advising the labor union or workers' representative of the Contractor's commitments under this clause, and post copies of the notice in conspicuous places available to employees and applicants for employment.
(f) The Contractor shall comply with Executive Order 11246, as amended, and the rules, regulations, and orders of the Secretary of Labor.
(g) The Contractor shall furnish all information and reports required by Executive Order 11246, as amended and by rules, regulations, and orders of the Secretary of Labor, or pursuant thereto. The Contractor shall permit access to its books, records, and accounts by the Secretary of Labor for purposes of investigation to ascertain compliance with such rules, regulations, and orders.
(h) In the event of a determination that the Contractor is not in compliance with this clause or any rule, regulation, or order of the Secretary of Labor, this contract may be canceled, terminated, or suspended in whole or in part, and the Contractor may be declared ineligible for further Government contracts, or federally assisted construction contracts under the procedures authorized in Executive Order 11246, as amended. In addition, sanctions may be imposed and remedies invoked against the Contractor as provided in Executive Order 11246, as amended, the rules, regulations, and orders of the Secretary of Labor, or as otherwise provided by law.
(i) The Contractor shall include the terms and conditions of this clause in every subcontract or purchase order unless exempted by the rules, regulations, or orders of the Secretary of Labor issued under Executive Order 11246, as amended, so that these terms and conditions will be binding upon each subcontractor or vendor. The Contractor shall take such action with respect to any subcontractor or purchase order as the Secretary of Housing and Urban Development or the Secretary of Labor may direct as a means of enforcing such provisions, including sanctions for noncompliance; provided that if the Contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction, the Contractor may request the United States to enter into the litigation to protect the interests of the United States.

17. Dissemination or Disclosure of Information

No information or material shall be disseminated or disclosed to the general public, the news media, or any person or organization without prior express written approval by the HA.

18. Contractor's Status

It is understood that the Contractor is an independent contractor and is not to be considered an employee of the HA, or assume any right, privilege or duties of an employee, and shall save harmless the HA and its employees from claims, suits, actions and costs of every description resulting from the Contractor's activities on behalf of the HA in connection with this Agreement.

19. Other Contractors

HA may undertake or award other contracts for additional work at or near the site(s) of the work under this contract. The contractor shall fully cooperate with the other contractors and with HA and HUD employees and shall carefully adapt scheduling and performing the work under this contract to accommodate the additional work, lessening any direction that may be provided by the Contracting Officer. The contractor shall not commit or permit any act that will interfere with the performance of work by any other contractor or HA employee.

20. Liens

The Contractor is prohibited from placing a lien on HA's property. This prohibition shall apply to all subcontractors.

21. Training and Employment Opportunities for Residents in the Project Area (Section 3, HUD Act of 1968; 24 CFR 135)

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

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

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

(d) The contractor agrees to include this section 3 clause in every subcontract subject to compliance with regulations in 24 CFR Part 135, and agrees to take appropriate action, as provided in an applicable provision of the subcontract or in this section 3 clause, upon 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.

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

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

22. Procurement of Recovered Materials

(a) In accordance with Section 6002 of the Solid Waste Disposal Act, as amended by the Resource Conservation and Recovery Act, the Contractor shall procure items designated in guidelines of the Environmental Protection Agency (EPA) at 40 CFR Part 247 that contain the highest percentage of recovered materials practicable, consistent with maintaining a satisfactory level of competition. The Contractor shall procure items designated in the EPA guidelines that contain the highest percentage of recovered materials practicable unless the Contractor determines that such items: (1) are not reasonably available in a reasonable period of time; (2) fail to meet reasonable performance standards, which shall be determined on the basis of the guidelines of the National Institute of Standards and Technology, if applicable to the item; or (3) are only available at an unreasonable price.

(b) Paragraph (a) of this clause shall apply to items purchased under this contract where: (1) the Contractor purchases in excess of $10,000 of the item under this contract; or (2) during the preceding Federal fiscal year, the Contractor: (i) purchased any amount of the items for use under a contract that was funded with Federal appropriations and was with a Federal agency or a State agency or agency of a political subdivision of a State; and (ii) purchased a total of in excess of $10,000 of the item both under and outside that contract.
## EXHIBIT VI

**PROGRAM OPERATING BUDGET**

**BASE TERM YEAR 1**

<table>
<thead>
<tr>
<th>Cost Category</th>
<th>Amount</th>
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<tbody>
<tr>
<td><strong>Personnel</strong></td>
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<tr>
<td>President</td>
<td>$48,075.00</td>
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<td>$63,960.00</td>
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<tr>
<td>Program Manager</td>
<td>$293,986.00</td>
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<td>Digital Resource Center Lab Monitor</td>
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<td>SUTA/FUTA Taxes</td>
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Exhibit VI - 1
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<td>Supportive Services</td>
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<td>Supportive Services</td>
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## BASE TERM YEAR 2

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<td>SUTA/FUTA Taxes</td>
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Exhibit VI - 3
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<td>Supportive Services</td>
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<td>Supportive Services</td>
<td>$15,042.00</td>
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<td><strong>Subtotal Client Support</strong></td>
<td><strong>$156,820.00</strong></td>
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<tr>
<td>Professional &amp; Technical</td>
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</tr>
<tr>
<td>Addus Homecare</td>
<td>$5,865.00</td>
</tr>
<tr>
<td>Chicago Compass</td>
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<td>Incentive Dollars</td>
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<td>Summer Youth Employment Pgm</td>
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<tr>
<td><strong>Subtotal Incentive Dollars</strong></td>
<td><strong>$37,500.00</strong></td>
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<tr>
<td><strong>Total Budget</strong></td>
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</tr>
</tbody>
</table>
EXHIBIT VII

INSURANCE REQUIREMENTS

Insurance

Prior to the commencement of this Agreement, the Contractor agrees to procure and maintain at all times during the term of this Agreement, the types of insurance specified below in order to protect the CHA from the acts, omissions and negligence of the Contractor, its officers, officials, subcontractors, joint ventures, partners, agents or employees. The insurance carriers used by the Contractor must be authorized to conduct business in the State of Illinois and shall have a BEST Rating of not less than an “A”. The insurance provided shall cover all operations under the Agreement, whether performed by the Contractor or by its subcontractor, joint ventures, partners, agents, officers or employees.

A. Required Insurance Coverage

1. Workers Compensation and Occupational Disease Insurance

Workers Compensation and Occupational Disease Insurance in accordance with the laws of the State of Illinois (Statutory) Coverage A, and Employer’s Liability, Coverage B, in an amount of not less than $500,000/$500,000/$500,000.

2. Commercial/General Liability Insurance written on an occurrence form (Primary and Excess Liability)

Commercial/General Liability Insurance provided is to have limits of not less than One Million Dollars ($1,000,000) per occurrence with an Aggregate of not less than Two Million Dollars ($2,000,000) (i.e. $1,000,000/$2,000,000). In addition to the stipulations outlined above, the insurance policy is to include coverage for Contractual Liability, Products-Completed Operations, Personal & Advertising Injury and will also cover injury to Consultants agents, subcontractors, invitees and guests and their personal property. The CHA is to be endorsed as an additional insured on the Consultants policy and such insurance will be endorsed as primary and non-contributory with any other insurance available to the CHA.

3. Automobile Liability Insurance

When any motor vehicles (owned, non-owned and hired) are used in connection with the Services to be performed, the Contractor shall provide Comprehensive Automobile Liability Insurance with limits of not less than One Million Dollars ($1,000,000) per occurrence CSL, for bodily injury and property damage. The CHA is to be endorsed as an additional insured on the Contractor’s policy and such insurance will be endorsed as primary and non-contributory with any other insurance available to the CHA.

4. Professional Liability

Whenever any architects, engineers, construction managers, property managers or other professionals perform work in connection with this Agreement, Professional Liability Insurance covering acts, errors, or omissions shall be maintained with limits
of not less than Two Million Dollars ($2,000,000) per occurrence. When policies are renewed or replaced, the policy retroactive date must coincide with, or precede, the start of Services under the Contract. A claims-made policy which is not renewed or replaced must have an extended reporting period of two (2) years.

5. Excess Liability

Excess liability coverage, if applicable, is to follow form of the Primary Insurance requirements outlined above.

B. Related Requirements

The Contractor shall furnish the CHA, Department of Procurement and Contracts, 60 E. Van Buren, 13th Floor., Chicago, Illinois 60605, original Certificates of Insurance evidencing the required coverage to be in force on the Effective Date of the Contract. In addition, copies of the endorsement(s) adding the CHA to Contractor’s policy as an additional insured are required. The required documentation must be received prior to the Contractor commencing work under this Agreement. Renewal Certificates of Insurance, or such similar evidence, is to be received by the Procurement and Contracts Department prior to expiration or renewal date occurring during the term of this Agreement or extensions thereof. At the CHA’s option, non-compliance will result in (1) all payments due the Contractor being withheld until the Contractor has complied with the Agreement; or (2) the Contractor will be assessed Five Hundred Dollars ($500.00) for every day of non-compliance; or (3) the Contractor will be immediately removed from the premises and the Agreement will be terminated for default. The receipt of any certificates does not constitute agreement by the CHA that the insurance requirements in the Agreement have been fully met or that the insurance policies indicated on the certificate comply with all Agreement requirements. The insurance policies shall provide for thirty (30) days prior written notice to be given to the CHA in the event coverage is substantially changed, canceled or non-renewed.

THE REQUIRED DOCUMENTATION MUST BE RECEIVED PRIOR TO THE CONTRACTOR COMMENCING WORK AT THE DESIGNATED CHA LOCATION.

If any of the required insurance is underwritten on a claims made basis, the retroactive date shall be prior to or coincident with the date of the Agreement and the Certificate of Insurance shall state the coverage is “claims made” and also the Retroactive Date. The Contractor shall maintain coverage for the duration of the Agreement. Any extended reporting period premium (tail coverage) shall be paid by the Contractor. The Contractor shall provide to the CHA, annually, a certified copy of the insurance policies obtained pursuant hereto. It is further agreed that the Contractor shall provide the CHA a thirty (30) day notice in the event of the occurrence of any of the following conditions: aggregate erosion in advance of the Retroactive Date, cancellation and/or non renewal.

The Contractor shall require all subcontractors to carry the insurance required herein or the Contractor 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 above.

The Contractor expressly understands and agrees that any insurance or self-insurance programs maintained by the CHA shall apply in excess of and will not contribute with insurance provided by the Contractor under the Agreement.

Exhibit VII - 2
EXHIBIT VIII

CONTRACTOR’S AFFIDAVIT AND CONTRACTOR’S CERTIFICATIONS, REPRESENTATIONS OF OFFERORS – NON-CONSTRUCTION CONTRACTS (HUD FORM 5369-C) AND EQUAL OPPORTUNITY COMPLIANCE CERTIFICATE
Certifications and Representations of Offerors
Non-Construction Contract

Public reporting burden for this collection of information is estimated to average 5 minutes 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.

This form includes clauses required by OMB's common rule on bidding/offering procedures, implemented by HUD in 24 CFR 85.36, and those requirements set forth in Executive Order 11295 for small, minority, women-owned businesses, and certifications for independent price determination, and conflict of interest. The form is required for nonconstruction contracts awarded by Housing Agencies (HAs). The form is used by bidders/offerees to certify to the HA's Contracting Officer for contract compliance. If the form were not used, HAs would be unable to enforce their contracts. Responses to the collection of information are required to obtain a benefit or to retain a benefit. The information requested does not lend itself to confidentiality.

1. Contingent Fee Representation and Agreement
(a) The bidder/offeree represents and certifies as part of its bid/off offer that, except for full-time bona fide employees working solely for the bidder/offeree, the bidder/offeree:

   (1) [  ] has, [ X ] has not employed or retained any person or company to solicit or obtain this contract; and

   (2) [  ] has, [ X ] has not paid or agreed to pay to any person or company employed or retained to solicit or obtain this contract any commission, percentage, brokerage, or other fee contingent upon or resulting from the award of this contract.

(b) If the answer to either (a)(1) or (a)(2) above is affirmative, the bidder/offeree shall make an immediate and full written disclosure to the PHA Contracting Officer.

(c) Any misrepresentation by the bidder/offeree shall give the PHA the right to (1) terminate the resultant contract; (2) at its discretion, to deduct from contract payments the amount of any commission, percentage, brokerage, or other contingent fee; or (3) take other remedy pursuant to the contract.

2. Small, Minority, Women-Owned Business Concern Representation
The bidder/offeree represents and certifies as part of its bid/off offer that it:

(a) [  ] is, [ X ] is not a small business concern. “Small business concern,” as used in this provision, means a concern, including its affiliates, that is independently owned and operated, not dominated in the field of operation in which it is bidding, and qualified as a small business under the criteria and size standards in 13 CFR 121.

(b) [  ] is, [ X ] is not a women-owned small business concern. “Women-owned,” as used in this provision, means a small business that is at least 51 percent owned by a woman or women who are U.S. citizens and who also control and operate the business.

(c) [  ] is, [ X ] is not a minority enterprise, which, pursuant to Executive Order 11625, as defined as a business which is at least 51 percent owned by one or more minority group members or, in the case of a publicly owned business, at least 51 percent of its voting stock is owned by one or more minority group members, and whose management and daily operations are controlled by one or more such individuals.

For the purpose of this definition, minority group members are:

[ ] Black Americans  [ ] Asian Pacific Americans
[ ] Hispanic Americans  [ ] Asian Indian Americans
[ ] Native Americans  [ ] Hasidic Jewish Americans

3. Certificate of Independent Price Determination
(a) The bidder/offeree certifies that—

   (1) The prices in this bid/off offer have been arrived at independently, without, for the purpose of restricting competition, any consultation, communication, or agreement with any other bidder/offeree or competitor relating to (i) those prices, (ii) the intention to submit a bid/offer, or (iii) the methods or factors used to calculate the prices offered;

   (2) The prices in this bid/off offer have not been and will not be knowingly disclosed by the bidder/offeree, directly or indirectly, to any other bidder/offeree or competitor before bid opening (in the case of a sealed bid solicitation) or contract award (in the case of a negotiated solicitation) unless otherwise required by law; and

   (3) No attempt has been made or will be made by the bidder/offeree to induce any other concern to submit or not to submit a bid/offer for the purpose of restricting competition.

(b) Each signature on the bid/offer is considered to be a certification by the signatory that the signatory:

   (1) Is the person in the bidder/offeree’s organization responsible for determining the prices being offered in this bid or proposal, and that the signatory has not participated and will not participate in any action contrary to subparagraphs (a)(1) through (a)(3) above; or

   (2) (i) Has been authorized, in writing, to act as agent for the following principals in certifying that those principals have not participated, and will not participate in any action contrary to subparagraphs (a)(1) through (a)(3) above (insert full name of person(s) in the bidder/offeree’s organization responsible for determining the prices offered in this bid or proposal, and the title of his or her position in the bidder/offeree’s organization);

      (ii) As an authorized agent, does certify that the principals named in subdivision (b)(2)(i) above have not participated, and will not participate, in any action contrary to subparagraphs (a)(1) through (a)(3) above; and
(iii) As an agent, has not personally participated, and will not participate in any action contrary to subparagraphs (a)(1) through (a)(3) above.

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

4. Organizational Conflicts of Interest Certification

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

(i) Award of the contract may result in an unfair competitive advantage;

(ii) The Contractor's objectivity in performing the contract work may be impaired; or

(iii) That the Contractor has disclosed all relevant information and requested the HA to make a determination with respect to this Contract.

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

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

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

5. Authorized Negotiators (RFPs only)

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

6. Conflict of Interest

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

7. Offeror's Signature

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

____________________________
Signature & Date:

08/09/2019

____________________________
Typed or Printed Name:

Lawrence Fitzpatrick

____________________________
Title:

President & CEO

____________________________
Official Seal

Valerie Echols
Notary Public, State of Illinois
My Commission Expires May 12, 2020

8/9/19
EXHIBIT X

FAMILYWORKS PROGRAM GUIDE

Exhibit X
2020 CHA FAMILYWORKS
PROGRAM GUIDE

**Foster Economic Independence**
Help residents move forward on the path to self-sufficiency.

**Support Academic Achievement**
Help youth and adults succeed throughout their academic career.

**Increase Earning Power**
Help those able to work begin or advance a career to gain long-term earning potential.

**Enhance Stability and Quality of Life**
Help families remain out of crisis and meet their basic needs; for seniors, help them age in place as long as possible.
Introduction

The FamilyWorks Program Guide serves as a resource about program requirements to assist CHA’s contracted FamilyWorks Providers (Providers) to achieve the performance outcomes outlined in their contracts. It also expands on the contract scope of work, providing additional detail and guidance. If there are any discrepancies between the contract scope of work and the Program Guide, the contract or issued Advisory will supersede.

The Program Guide covers the period of January 1, 2020 through December 31, 2020. CHA reserves the right to revise and/or modify the Program Guide as needed or submit Advisories that may add to or eliminate aspects of this guide. Notification of any revisions made to the Program Guide will be communicated to Providers in writing via an Advisory and will identify an effective date of revision.

*Questions regarding information contained in the Program Guide should be directed to CHA’s Program Specialists.*
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**Description of Model**

FamilyWorks follows a 2GEN philosophy of coaching families. The principles of a 2GEN model is to place children and families at the center of services to: measure and account for outcomes for both children and their parent(s); engage and amplify the voices of families; ensure equity, foster innovation and evidence together; and to align and link systems and funding streams. In using this approach, FamilyWorks demonstrates these Values and Principles:

<table>
<thead>
<tr>
<th>FAMILY-CENTERED VALUES</th>
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<tbody>
<tr>
<td><strong>Full Family Focus</strong></td>
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<tr>
<td><strong>Family Led</strong></td>
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<tr>
<td><strong>Respect</strong></td>
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<tr>
<td><strong>Strength-based</strong></td>
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<tr>
<td><strong>Race Equity and Inclusion</strong></td>
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<thead>
<tr>
<th>FAMILY-CENTERED PRINCIPLES</th>
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<tr>
<td><strong>Fluidity of Approach</strong></td>
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<tr>
<td><strong>Transparent</strong></td>
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<td><strong>Peer-based</strong></td>
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<tr>
<td><strong>Choice</strong></td>
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<tr>
<td><strong>Responsiveness</strong></td>
</tr>
</tbody>
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1 The Prosperity Agenda. A toolkit to transform proactive & engage families.
Description of Target Population
Each of the five (5) FamilyWorks Service Areas (Service Areas) must maintain capacity to enroll 600 families in Family Coaching at any time. Individuals residing in public housing (Family, Scattered Site and Mixed Income properties) who are not meeting a work requirement are “Tier 1” and must be considered the highest priority. Tier 1 participants referred by CHA Property Management firms must be enrolled in Family Coaching services regardless of capacity.

Housing Choice Voucher (HCV) participants are also eligible for Family Coaching services and should be made aware of services available through FamilyWorks. HCV participants may also be eligible for certain FamilyWorks initiatives such as the Summer Youth Employment Program and other summer youth opportunities.

CHA Households residing in Project Based Voucher (PBV) family properties are eligible for service referrals but should not receive targeted outreach and should not be enrolled in Family Coaching services. PBV properties designated as Supportive or Senior housing are not eligible for FamilyWorks services, unless directed by CHA. CHA households in CHA senior-designated properties are not eligible for FamilyWorks unless specifically referred by CHA (e.g. senior designated referrals); these households should be directed to CHA’s Resident Services Coordination Program. See Appendix D for a complete list of properties and their service eligibility.

CHA has designated on-site office locations within family properties (CHA Development Office Locations). All eligible families can choose to visit the CHA Development Office Locations or visit the CHA Community Office Locations established for each Service Area.

Service Priorities
The FamilyWorks model uses a tiered approach to define the target population:

<table>
<thead>
<tr>
<th>Target Population</th>
<th>Service Components</th>
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</thead>
<tbody>
<tr>
<td>Tier 1 - Public Housing Residents not meeting CHA’s Work Requirement</td>
<td>Outreach; Family Action Plan development; wrap around support; employment placement referrals, financial education and support; direct programming and referrals for specialized services; education, summer and out of school time program referrals; social activities. Each Service Area must have capacity to maintain enrollment of 600 families.</td>
</tr>
<tr>
<td>Tier 2 - All other CHA Households (Public Housing Residents, Mixed Income Residents or Housing Choice Voucher Participants) who desire to enroll in Family Centered Coaching</td>
<td>Outreach, workshops (e.g., housekeeping), and service referrals.</td>
</tr>
<tr>
<td>Non-Enrollment Services</td>
<td></td>
</tr>
<tr>
<td>Services to Right of Return households (see Appendix A for description)</td>
<td>Monthly outreach and education is required to ensure all Right of Return Households understand the housing options available under the Relocation Rights Contract; enrollment should occur as needed.</td>
</tr>
</tbody>
</table>
2020 FamilyWorks Services

Engagement and Outreach
Outreach is a critical component of the FamilyWorks program. Outreach must be conducted regularly to ensure families are aware of upcoming initiatives and events and are aware of FamilyWorks services. FamilyWorks must have designated staff to outreach to public housing families (Family, Scattered Site and Mixed Income properties). Providers must work closely with their CHA Program Specialists to determine the most effective outreach methods (e.g. home visits, events, newsletters, social media, email, etc.) for the families in their assigned Service Areas.

FamilyWorks providers can identify Tier 1 population (individuals with no income from wages) in CHA’s Client Management Tracking System (CMTS) and evaluate who has enrolled in Family Coaching (i.e. completed a Family Action Plan). CHA Program Specialists may request a status report on the Tier 1 population who has not been engaged in Family Coaching.

CHA Seniors age 62 and older should receive quarterly outreach and additional outreach during periods of inclement weather. Families who occupied a CHA unit on October 1, 1999 and still maintain a Right of Return through CHA’s Relocation Rights Contract (10/1/99 households) must receive monthly outreach to ensure families understand their housing options available and have an opportunity to enroll in Family Coaching services, as needed.

Accessing Services
Providers shall offer an immediate assessment of need when residents access services, regardless of entry point (e.g. outreach, self-referral, CHA referral, etc.). All FamilyWorks staff must be familiar with CHA’s menu of available programs and services. For a full list of or for further information on programs, Providers should contact their CHA Program Specialist and refer to the Resident Service Brochure and CHA website.

Intake and Assessment

Adult Intake
The purpose of the Adult Intake is to promote an open dialogue with residents with the goal of assisting the family in the development of a Family Action Plan (FAP). The Adult Intake serves as a guide to assist Provider staff to generate open-ended questions in the areas of financial and income supports, education, literacy, employment and supportive services. Provider staff must be familiar with the content of the Adult Intake so that rendered information may be documented on the Adult Intake after the conversation with the resident. The Adult Intake should be completed with all residents age 17 and older who wish to enroll in services. Information gathered from the Adult Intake should serve as a tool to help guide family coaching along with the FAP.

Family Action Plan
The completion of a FAP indicates enrollment in Family Coaching services. The FAP should be created with any eligible Head of Household who accesses services except for households only seeking a referral. The FAP allows the Head of Household to set goals for the family to engage in family coaching. Families should also be encouraged to complete FAP tools (i.e. Wheel of Life, Who is in my Family, My Hopes and Dreams). Only one
FAP should be completed per household. The FAP may be created with other adult members of the household who complete an Adult Intake if the Head of Household has not completed one. An FAP should be reviewed, at a minimum, quarterly to update and reflect progress or changes. Progress should be tracked in CMTS and documented in the case file. If the participant has not demonstrated activity on the FAP for 90 days and is no longer engaged in services, the FAP must be closed out in CMTS. The household would then be considered unenrolled but may re-enroll again in the future.

**Youth Intake**
The parent/guardian of any youth receiving a service outlined in the 2020 Performance Objectives is required to complete a youth intake, except for the Performance Objective of Improve College Preparation Activity. Each youth intake must be signed by a parent or guardian to allow consent to participate in FamilyWorks services. A separate parent/guardian consent must be provided for on-site direct youth programming.

**Work Readiness Status**
For those enrolled in Family Coaching services, Provider staff must assess a resident’s work readiness status according to the categories outlined below (i.e. Work Ready, Almost Work Ready, Not Work Ready). These statuses are included as part of the Adult Intake. Based upon the status, residents must be referred to an appropriate workforce program. The work readiness status will be used to determine a participant’s baseline employability status.

In general, it is CHA’s expectation that residents who are deemed work ready should receive a referral to CHA’s Employment Placement Services contractors for immediate assistance with job placement. Additionally, a work ready participant can be referred to the Chicago Cook Workforce Partnership’s American Job Centers (herein referred to as “the Partnership” or AJC’s) for an industry specific job placement or training, to enhance career advancement or increase employment placement.

Residents who are deemed almost work ready or not work ready should receive soft skills development and supportive services from FamilyWorks and referrals to the Transitional Jobs program, Golden Diners program, the Partners in Education Program (City Colleges of Chicago), and/or the Partnership.

1. **Work Ready**
Residents are considered “work ready” if they possess all or most the characteristics below or are able to accomplish them within a short time (e.g. 2 weeks). After this time, FamilyWorks should refer work ready residents for direct placement services: The Work Ready status is described as follows:

   a. Has current resume
   b. Able to demonstrate Strong Work History
      i. No gaps in employment
      ii. Able to provide start and end dates
      iii. Able to provide references
   c. Has both verbal and written skills
   d. Has required literacy and numeracy skills
   e. Interview Ready
      i. Has identified employment goal and objective
ii. Can demonstrate and articulate Skills and Competencies
   iii. Has appropriate interview attire (if required)

f. Completed levels of education
   i. High School (Diploma/GED)
   ii. College (Associates, Bachelors)
   iii. Advance Education
   iv. Certifications

g. Is computer literate or has some computer skills

h. Can articulate and recognize what is appropriate behavior on the job
   i. Getting along with co-workers/boss
   ii. Being reliable and on time

i. Has secured reliable child care

j. Has identification
   i. State Identification
   ii. Social Security Card
   iii. Driver’s License

k. Can pass drug test (if required)

l. Can clear criminal background check (if required)

2. Almost Work Ready
Residents are considered “almost work ready” and should be referred for workforce services if they fall within the categories described below. If a resident requires supportive services to address one or more of the barriers to prepare them for “work ready” status, this should be documented in an Employment Action Plan. If a participant needs assistance with one or more of the areas below, individual career coaching or soft skills training may be needed. However, if they have not demonstrated any improvement, the participant should be referred to the appropriate CHA workforce program, or program partner (Transitional Jobs, City Colleges of Chicago, or the Partnerships AJC’s, etc.) for assistance. If no CHA designated program is deemed appropriate, the Provider should refer the participant to an external workforce programs for Bridge, Vocational or Workforce training assistance. The Almost Work Ready status is described below:
   a. May have a resume; however, it may need some updating of information
   b. Can demonstrate work history, and has limited gaps in work history
   c. May be unemployed within the last 6 months to 1 year
   d. Has high school diploma/GED, some college, certificates and/or training
   e. Has some literacy and numeracy skills, but may need additional support
   f. Has some or limited computer skills
   g. Needs additional interviewing support
   h. Needs additional time and/or assistance arranging child care
   i. Can pass drug test and criminal background check (if required)
   j. May have identification, or may need assistance obtaining or acquiring additional identification such as, social security card printout or state identification

3. Not Work Ready
Residents considered “Not Work Ready” should participate in soft skills training and career coaching for a
period of 90 days or more to address the barrier(s) identified below and to become work ready or almost work ready. If the participant has not demonstrated any improvement, FamilyWorks should refer the participant to the appropriate CHA workforce or education program partners (Transitional Jobs, City Colleges of Chicago, the Partnership's AJC's) for assistance. If no CHA designated program is deemed appropriate, the participant should be referred to the appropriate external workforce programs for Bridge, Vocational or workforce training assistance. The Not Work Ready status is described as follows:

- Does not have a resume because due to the following reasons:
- Has no work history or sporadic work history
- Does not have a high school diploma/GED
- Lacks executive functioning skills in following areas:
- Verbal Communication
- Written Communication
- Physical presentation (Non-verbal)
- Lacks computer skills, or does not have any computer skills at all
- Does not have appropriate interview or work attire
- Needs to develop a resume
- Cannot pass a drug test and or criminal background screen
- Needs some assistance with expungement
- Does not have proper identification (e.g. State ID, Social Security Card, Driver’s License)
- Does not have child care or needs assistance making child arrangements

Employment Action Plan
CHA’s standard Employment Action Plan (EAP) must be created with any work-able resident age 18-54 who completes an Adult Intake and identifies as being unemployed. EAPs must also be completed with resident who receives a lease compliance referral for work requirement and safe harbor. EAPs should be created with the resident and reviewed with the resident at least every 30 days to assess for progress, assistance needed and to make any revisions necessary. Any resident that receives a lease compliance referral to meet the work requirement and safe harbor should be enrolled in Family Coaching Services with an FAP and EAP, have a work readiness status identified, and must receive a referral to the most appropriate workforce services program. These conversations should be tracked through case notes.

Mental Health Assessment
CHA’s Mental Health Assessments (MHA) should be completed with each resident who engages in individual counseling services with FamilyWorks. MHAs are used to guide clinical interventions. FamilyWorks uses three types of MHAs: Youth, Adult, and Senior. Clinicians should use their clinical judgement to determine which type of assessment best fits a resident. Obtaining a broad range of information about a resident helps a clinician understand how they function in their environment, a self-assessment of their strengths/limitations and the goals for counseling. MHAs should be completed early in the counseling process, prior to the 5th counseling session. FamilyWorks clinicians should consult with the Assistant Director of Clinical Services if a MHA will not be completed prior to the 5th counseling session. Conversational style assessments offer an opportunity to build rapport with a resident and add to a comfortable atmosphere. Residents have the right to choose what information is or is not divulged. Clinicians should try to obtain all relevant information, but if a resident chooses to not disclose information that should be indicated. Questions should not be read verbatim
to a resident. Clinicians should use their clinical expertise and experience to guide a conversation while also gathering information from the resident.

The information from the MHA should be used by clinical staff to create an individual treatment plan (e.g. counseling, substance abuse referral, group counseling, etc.). Clinicians may use additional screening tools (that have been proven reliable and valid) if clinically appropriate. Clinicians are expected to use their clinical judgment and triage emergency needs. MHA’s should be updated if significant changes in presentation or need are identified. Providers should indicate in CMTS that an MHA has been completed, but the information in the MHA will not be entered.

**Senior Home Visit Assessments**
CHA’s Senior Home Visit Assessment should be completed with all public housing seniors (including family, scattered site and mixed income housing) within the Service Areas quarterly. The Senior Home Visit Assessment will assess the physical condition of the unit and the senior’s physical well-being. Seniors who request additional assistance, should be encouraged to enroll in Family Coaching Services. Each completed Senior Home Visit Assessment must be documented in CMTS.

**Support Academic Achievement**
Supporting academic achievement includes both adult education services and youth opportunities.

**Youth Opportunities**
The primary focus of youth services is to provide opportunities and resources that put CHA youth on a path to economic self-sufficiency. Any direct programming offered by Providers should be within the context of the 21st century learning skills and focus on improving upon these six building blocks: personal mindset, planning for success, social awareness, collaboration, problem solving, and verbal communication.

Providers play a vital role in using innovation and creativity to connect youth to appropriate engagement opportunities, resources and supports they need to facilitate movement toward academic achievement and economic independence. As such, the Provider’s staff must be knowledgeable of the service needs of the youth population to provide them with a continuum of services. Additionally, Provider staff should be subject matter experts on local community resources available for youth.

Providers are responsible for outreaching to all youth within their assigned Service Area to ensure coordination of services that are age appropriate. Providers shall strive to complete an annual youth intake with the parents of all youth who are on the caseload. Staff shall outreach for programs and special events sponsored by CHA and its partners and agents (e.g. school information from Chicago Public Schools, back to college events, financial aid workshops, holiday initiatives, Operation Warm, etc.).

**Early Childhood Education**
Providers must assist in identifying, referring and enrolling youth ages 0-5 in early childhood, pre-K and childcare. Providers must provide parent education on the positive long-term impacts of early childhood programs.
School Enrollment and Support
Providers are required to ensure youth ages of 6-17 are enrolled in and attend school in accordance with CHA’s Admissions and Continued Occupancy Policy (ACOP) and anti-truancy statutes of the State of Illinois. Any staff who witness children not attending school should notify the parents or guardians immediately and provide the family with the necessary support to remedy the situation. Providers should be familiar with local schools (public, private, charter). Providers must document school information on the Youth Intake and in CMTS.

Out of School Time (OST)
Providers must provide linkages for youth ages 6-17 during after school hours and during the summer that assist in avoiding behaviors that will negatively impact their lives. Youth age 18 (or older) should also be engaged if they are in high school. Activities should focus on academic support, life skills, substance abuse prevention education, violence intervention, mentoring, community service, nutrition, physical activity, etc. Priority shall be given to CHA sponsored youth programs (e.g. Chicago Park District, DFSS Out of School Time Programs, Summer Youth Employment Program, etc.). Residents up to age 24 may be considered youth for specific OST opportunities depending on program eligibility requirements.

Primary and High School
Providers must assist families in identifying and applying for educational opportunities (e.g. scholarships for private schools, alternative high schools). This includes outreaching for and assisting with application to opportunities available through both CHA contracted partners and external organizations.

College Preparation
Providers shall assist high school youth with college readiness and preparation activities (e.g. learning about admission criteria, the application process and financial requirements, completing a college readiness plan, completing a FAFSA, completing college applications, participating in campus visits, etc.). Providers shall provide both direct college prep assistance to college bound youth and, if appropriate, referrals to community partners. Providers should also provide college awareness activities to youth in 6th through 8th grade (e.g. college goal setting, college and career options, etc.) in Enhance School Performance. Please ensure you are aware of the programsCHA offers for college to support targeted referrals, including:

PROJECT SOAR - https://www.thecha.org/residents/services/college-support
CHA Public Housing Residents ages 14-20 can receive one-on-one coaching support from an Education Program Specialist to support high-school plans, or to assist in continued post secondary enrollment through Project S.O.A.R. (Students + Outcomes + Achievement = Results). An Education Program Specialist can serve as an extra coach for future success that can help to:
   a. Find the right college or program: identify schools and programs that are a good match and fit
   b. Complete Applications: including college admissions, program and scholarship applications
   c. Save Money: help to complete the FAFSA, maximize financial aid and find scholarships
   d. Persist to Graduation: help through common college road blocks; identify internships and summer employment opportunities; build a network for future success.

CHA SCHOLARSHIP PROGRAM - http://thecha.org/scholarship
CHA makes over 250 scholarship awards available to CHA residents attending 2- and 4- year schools locally and
nationwide. Providers should share CHA Scholarship materials and support youth and adults to complete the application by the deadline.

**PARTNERS in EDUCATION PROGRAM** – [http://thecha.org/partnersineducation](http://thecha.org/partnersineducation)
CHA supports all CHA residents to attend City Colleges of Chicago covering tuition, books and fees through vouchers (after financial aid is applied). Information Sessions are offered weekly, inviting residents to learn about and enroll in the program. Current college students (who attend schools elsewhere in the academic year) can take up to two CCC courses each summer and transfer the credits to their year-round institution.

**Summer Youth Employment Program**
Providers are required to implement the Summer Youth Employment program to CHA youth as directed by CHA. A separate SYEP Program Guide will be provided in advance of Summer 2020.

**Direct School-Year Youth Programs**
Providers are responsible for developing age-appropriate on-site programming during the school year if gaps in youth programming are identified. Providers must coordinate program space at on-site developments with CHA. All programs should be age-appropriate and align with the 21st century learning skills. Providers must complete CHA’s Outcomes Measurement Framework for all direct on-site youth programs. Providers may be requested to develop programming during spring and winter break. All direct school-year program information, including enrollment and attendance, for each youth must be recorded in Cityspan, CHA’s web-based youth participant tracking system.

**Youth Partnerships**
Providers shall seek to develop partnerships with community-based organizations, faith-based organizations, local businesses and other partners to address any identified gaps in youth programming and opportunities based on the needs of the specific regional population or a specific youth.

**Parenting Skills**
Providers should encourage parents to play an active role in their child(ren)’s education by offering, either through direct service or referral to partner organizations, parent education workshops and family support services. Illinois Action for Children (IAFC) provides access community resources and advocacy opportunities. Providers can access IAFC services by call (312) 823-1100.

**Foster Economic Independence**
*Note: these services may be tracked in CMTS, but there are no associated Performance Objectives.*

Increasing economic independence focuses on helping families who are able to move off of CHA subsidy, including those who are over-income, transition from subsidized housing to the private market. This includes referring residents to the FSS and Choose to Own homeownership programs.

**Transition Services**
Families who are prepared or required to move off CHA subsidy due to income ineligibility (i.e. income over 80% of Area Median Income) may need assistance seeking housing and community resources (e.g. rental in the private market, home ownership, etc.). Providers should support these families with housing locator
assistance and coaching and/or counseling services to assist in preparing to transition off subsidy. Providers should be able to assist families in accessing, or learning how to access, community resources available (e.g. hospitals, school choice, etc.).

**Family Self-Sufficiency and Choose to Own**
Providers should also market CHA’s FSS and Choose to Own programs. Interested families should be referred to these programs. Referrals should include providing a list of upcoming Information/Orientation Sessions, as attendance at these sessions are required for enrollment in these two programs. Providers must coordinate with CHA’s FSS contractor to host Information Sessions at their FamilyWorks development/office at least once per year. Providers should also invite representatives from these programs to events to encourage residents to enroll in these opportunities.

**Increase Earning Power**
Increasing Earning Power includes all workforce development initiatives, including soft skills training and referral for placement and retention services.

**Workforce Development**
Providers should assist unemployed residents and employed residents seeking career advancement services with direct referrals to the appropriate workforce program. Residents who indicate unemployment on the Adult Intake and residents who are referred for lease compliance violations for CHA’s Work Requirement as outlined in the ACOP and Tenant Selection Plans (TSP), should be enrolled in Family Coaching and must complete an EAP. This should be coordinated with the appropriate workforce program to receive assistance with employment placement or training. Residents enrolled in Family Coaching services should be assessed for any barriers to employment as identified in the Adult Intake. Providers will be responsible for providing assistance to address barriers and soft skill development if applicable. Soft skill development may include, but is not limited to, communication, interview skills, resume development, job search techniques, etc.

**Volunteer Opportunities**
Families should be encouraged to participate in volunteering opportunities to enhance employment skills. Volunteer opportunities can be either unpaid or may include a stipend. Examples include, but are not limited to, Vista Workers, SNAP FSET, and TANF Work First, as well as within schools or daycare sites.

**CHA Sponsored Earning Power Programs**
Providers should always give first consideration of referrals to CHA-sponsored programs which includes, but are not limited to:
- Partners in Education
- Workforce Readiness, Enhanced Core Services, Digital Literacy, and Workforce Innovation and Opportunity Act (WIOA) services through CCWP
- Section 3 Job Placement Opportunities
- CHA Scholarship Program
- Transitional Jobs Program (including Summer Food/Golden Diner)
- Employment Placement Program
- Robotics Technician Training Program through BSD Industries
**Supportive Services**
Providers must ensure the necessary supportive services are available to residents to help them maintain employment or education. Providers are responsible for the coordination of services. These include, but are not limited to:
- Child Care Referrals
- Clothing/Uniforms/Tools
- ESL Referrals
- Transportation
- Emergencies (with approval)

**Enhance Stability and Quality of Life**
Increasing stability and quality of life is a goal for all families. Services and referrals should be provided as requested by the resident or upon referral from CHA or its agents. Families and seniors living in family developments should receive clinical services directly from Providers and/or linkage to appropriate community-based services as clinically appropriate.

**Clinical and Wellness Services**

**Assessment**
Providers shall conduct a mental health assessment and/or a substance use assessment with individuals to enroll in the most appropriate services and/or make targeted referrals for individuals to the most appropriate setting and level of care.

**Senior Designated Referrals**
CHA may make clinical referrals on behalf of senior residents residing in CHA senior designated buildings. All referrals of residents in CHA’s senior-designated portfolio will be made by the Assistant Director of Clinical Services (or representative). Upon receiving a referral, FamilyWorks Clinicians must complete a Senior Brief Assessment after meeting with senior resident. The Senior Brief Assessment must be sent to the Assistant Director Clinical Services within 3 business days of meeting with the resident. Clinicians should make at least 3 attempts to make an appointment with referred seniors. If they are not successful after contact attempts they must notify the Assistant Director of Clinical Services.

**Emergency Clinical Services**
Providers shall prioritize emergency clinical services (e.g. crisis intervention, etc.). Emergency clinical services should be provided on demand as crises occur, including collaboration with CHA’s Victim Assistance staff. Crisis intervention/emergency services should never be waitlisted or denied due to a Provider’s capacity. Clinicians shall appropriately screen for and document any risk of harm along with an appropriate safety plan.

CHA’s Victim Assistance Program (VAP) is provided through its VAP ROSS Service Coordinators and FamilyWorks contractors and provides supportive services to residents. Supportive services include obtaining detailed information about the nature of the situation and appropriate referrals for services such as counselling and legal advocacy. The overarching goal of VAP is to assist residents in addressing traumatic events by linking them to supportive services, and when eligible, assisting the resident through either a Mandatory Administrative Transfer or an Emergency Transfer move process as outlined in CHA’s ACOP.
**Individual Counseling and Services**

Providers shall make individual counseling services available to residents. CHA considers a resident to be engaged in individual counseling with a Provider after a minimum of three sessions. Prior to the completion of five individual counseling sessions, an MHA must be completed to appropriately screen for need. Clinicians should screen for additional wellness needs throughout the course of engagement and make appropriate referrals. It is expected that clinical staff document appropriate follow-up. Residents will be considered not engaged in counseling after 30 days of no documented contact with the clinician. Residents who are not engaged should have the Activity & Outcome (A&O) in CMTS closed. Residents who choose to return to counseling after their A&O has been closed, should have a new A&O opened in CMTS. Residents who return to counseling after having an A&O closed do not necessarily need a new MHA completed unless there has been a significant change in presentation or need. Individual Counseling services are considered “complete” if a resident reports meeting their clinical goals (as created in the individual treatment plan) and has a final exit session documented in case note.

**Wellness Events**

Providers shall facilitate and present a minimum of two wellness events per month at each traditional family properties to address gaps in social support, violence prevention, violence intervention, health, and wellness needs identified within developments. Wellness events are opportunities to engage residents, build skills related to health and wellness, and to bring residents together to increase peer support. Wellness events have a learning objective and are not just social events. Wellness events can be targeted to certain groups or residents with common demographics but are open to all residents. FamilyWorks providers must ensure that a diverse menu of events is offered that target multiple groups of people. Providers must share with CHA their plan to engage residents in determining topics for events. CHA reserves the right to dictate specific topics based on feedback from residents or other stakeholders.

Providers must submit wellness event curriculum prior to holding an event. The Wellness Event Curriculum form must be submitted to the Assistant Director of Clinical Services. Wellness events hosted without prior curriculum approval will not count toward Performance Objectives and will be subject to further review. Wellness events can have an activity or social component but curriculum must include a clear learning objective. Providers can collaborate with community groups to facilitate events but curriculum must be submitted prior to the event to count it as a wellness event. Providers who collaborate with health-related organizations may only use organizations approved as CHA Health Partners. A list of approved health partners can be found on the CHA website.

FamilyWorks providers must maintain a binder of wellness events offered at each development. Tabs should be used to divide the binder by events. Each tab should contain the approved Wellness Event Curriculum form (the form can be found in the SharePoint site), a sign in sheet, flyer used to advertise the event, any handouts given to participants, and a general case note. It is acceptable to use one case note in the binder per event and is not necessary to write case notes for each individual unless something of note occurred with a resident. Wellness event binders not kept on-site will be subject to further review.

Wellness events are stand-alone events. It is not acceptable to have back-to-back events and have the same group of participants sign in for multiple events.
Providers are encouraged to work with their Program Specialists to develop Network Nights at CHA developments. Network Nights shall include activities to engage the community and should focus on the aspects that are needed in the community. For documentation purposes, Network Nights are considered Wellness Events in CHA’s Client Management Tracking System, however advanced approval of a Wellness Event Curriculum is not required.

In addition to the two required Wellness Events per month, the Courage to Quit curriculum must also be offered to residents a minimum of two times in 2020. FamilyWorks Providers must be prepared to offer additional Courage to Quit groups to accommodate the needs of residents. For documentation purposes, Courage to Quit groups are considered Wellness Events in CHA’s Client Management Tracking System.

Health and Wellness Information
CHA strives to develop partnerships with both government and private health organizations to keep informed about important health issues, strategies and programs. CHA will share relevant information, resources, and updates it receives regarding resident health and health care coverage so that Providers can inform residents accordingly. FamilyWorks clinicians may also be asked to provide consultation to non-clinical staff. CHA invites health organization to submit applications for an approved health partner status. More information about health partnerships and a list of approved health partners which is updated monthly can be found on CHA’s website at http://www.thecha.org/residents/services/health-wellness/.

Senior Clinical Referral Procedures
Residents who reside in Senior Designated Housing may receive FamilyWorks Clinical Services based upon referrals generated by the CHA. FamilyWorks clinicians will receive email notifications regarding referrals by the Assistant Director of Clinical Services.

Emergency Response Plan
Providers are required to have an emergency response plan, including crisis intervention, for circumstances including but not limited to a shooting, flood or fire. Response plans must be made available to CHA upon request. CHA may request a Provider to modify or revise its emergency response plan. A Provider’s emergency response plan must also include who is on call for emergencies and provide immediate updates to CHA in the event of a change in contact information.

Providers are responsible for submitting critical incidence forms to CHA within two business days after a qualifying event (e.g. violent incident). If Provider staff call police to the development, Property Management must be notified immediately. If Provider staff call police about a resident, Resident Services staff should be notified immediately in addition to the Property Management firm.

Housing Stability and Lease Compliance
Providers must assist residents in meeting the requirements to comply with the specifics of their lease. Residents in traditional housing are required to maintain lease compliance in accordance with the ACOP; residents in mixed-income communities must adhere to site specific criteria in the Tenant Selection Plan.
Providers are required to provide on-demand services to families within the assigned Service Area who have been referred by Property Management or CHA to assist in maintaining lease compliance or becoming lease compliant if the family is in violation of the lease.

**Referral from Property Management**
Current lease compliance information will come as a referral from property management. If a resident is found to be non-compliant at re-certification or at any other point during the lease, property management will give the Provider the standard Referral and Disposition form. Providers must respond to referrals within the specified time frame as indicated on the referral form. It is the property manager’s responsibility to inform the family of the violation; it is not the Providers’ responsibility to inform the family of a lease violation. Providers should not contact a family about a referral that was sent by a property manager without a lease violation notice. If Providers receive a non-lease compliance referral without evidence that the family has been notified, Providers should contact the property manager immediately to resolve the discrepancy.

**FamilyWorks Disposition**
Providers are responsible for follow-up with property management regarding the progress a resident has made in resolving a lease violation. The disposition provided by FamilyWorks to property management should document each outreach attempt. FamilyWorks is expected to document 3 outreach attempts to engage residents in resolving a lease violation. The following attempts should be followed prior to no contact on disposition form:

- One home visit Monday-Friday from 9am-5pm
- One home visit Monday-Friday after 5pm
- One home visit on a Saturday from 9am-3pm

Intakes, assessments and case notes are confidential documents and cannot be shared with property management. FamilyWorks is expected to complete a weekly Lease Violation Grid provided by CHA. FamilyWorks will be responsible for recording each disposition on the Lease Violation Grid and expected to provide a status update if applicable. Grids are to be emailed weekly to the identified Coordination Team. If Providers have been unable to reach a resident at home after three attempts, Providers are expected to document dispositions received from property management if a resident is engaged in services to resolve lease violation. All statuses should be updated accordingly (see Appendix B).

**Resolving Lease Compliance Issues and Housing Stability Services**
Providers should assist residents with any or all aspects of resolving their lease violations and maintaining housing stability. This may include setting up payment plans with property management or utility companies for outstanding debts or securing matching funds from external organizations. Other actions may include assisting families with completing an EAP, housekeeping skills or counseling about unauthorized occupants or criminal violations. Procedures for curing lease violations can be found in the Lease Compliance Policies and Procedures. Common lease violations and housing stability services include delinquent rent, non-payment of utilities, non-compliance with the work requirement, housekeeping violations and criminal activity.

**Housekeeping and Education Services**
Providers must implement housekeeping and education services that include two parts. First, providers
will offer regularly scheduled workshops for all new public housing residents and those referred through property management firms to address housing quality expectations. Second, Providers will offer one on one services to address poor housekeeping when referred by property managers, including making the necessary referrals or establishing sub-contracts or partnerships to assist residents in remedying the situation.

**Criminal Activity Eviction Cases**
Providers may provide referrals to legal counsel for families facing Criminal Activity Evictions (CAE). Providers must NOT intervene in criminal cases but may continue to provide families with other support services during the time of the eviction proceedings, including alternative housing options, employment, child care, etc. CHA has established a partnership with DFSS to assist evicted families in avoiding street homelessness. CHA’s Occupancy Department notifies DFSS of evictions and sends a copy of the referral to the Provider via the CHA Program Specialists. The program may include paying for storage and/or identifying openings in local shelters. While CAE cases may be public information, Providers must respect confidentiality and not openly share CAE information with others, including resident leadership, unless there is signed consent.

**Digital Resource Centers (DRCs)**
Providers who have CHA Digital Resource Centers (i.e. CHA Computer Labs) in their assigned Service Area shall provide ongoing management and general supervision of the labs. At all times, Providers should ensure that DRCs have adequate supplies to operate and fully utilize the equipment (e.g., printer ink, paper, general office supplies); a detailed inventory list of supplies shall be maintained at each DRC location. DRCs must be adequately staffed with a computer lab monitor; staff schedules are subject to CHA approval.

The Digital Resource Centers should be accessible to CHA residents and the general public. The hours of operation must be clearly posted. At a minimum, Digital Resource Centers must be open Monday through Friday and for evenings and weekends; schedules vary by location. Providers should provide an ongoing assessment of the hours of operation to increase utilization. Providers must maintain a schedule of programming and open Digital Resource Center hours, including special use times (e.g., employment support, youth activities, senior activities, etc.). Providers should provide programming and activities that increase technology literacy and enhance other skill sets that align with CHA’s core service areas for youth, adults and seniors. Programming should be implemented in collaboration with community partners; providers must ensure that community partners have adequate access to the Digital Resource Centers.

Appropriate measures (e.g., software, systems, etc.) must be utilized to ensure that Digital Resource Centers are being used for appropriate content. Access to social networking sites may be made available during limited, specific Digital Resource Center hours. Providers should take reasonable steps to ensure that CHA residents do not have access to inappropriate content.

Digital Resource Centers’ Usage Guidelines and Instructions are attached as Appendix C. Rules must be posted in the assigned Digital Resource Center in an area clearly visible to all patrons. All patrons must sign-in to acknowledge acceptance of these guidelines.
All internet connections and equipment must be monitored continuously for any outages. Internet connection and equipment tests should be conducted daily upon opening of the Digital Resource Centers to ensure all equipment is operational and the lab is in good working order. Requests for new or replacement equipment should be submitted to CHA’ Resident Services and CHA Information Technology Services (ITS) for approval. Providers shall ensure that a reasonable effort has been made to fix equipment that has malfunctioned. All computers and networks must be secured with appropriate anti-virus, firewall and other applicable security software. Security and other software updates should be completed on a regular schedule.

In the event a Digital Resource Center must be closed for a portion or entirety of a regularly scheduled day (e.g., maintenance, special program, emergency closure), the Contractor shall post notice at least one week in advance, or as soon as possible in the event of an unforeseen emergency. If a Digital Resource Center is unattended by an authorized member of the Provider’s staff, the Provider shall ensure that all Digital Resource Center equipment and facilities are secure.

Other Support Services
In addition to the supportive services listed in the employment section, FamilyWorks staff may also need to assist residents to meet other goals. Services may include, but are not limited to:

- Clothing assistance
- Emergency food assistance
- Financial literacy and credit counseling
- Furniture assistance
- Healthcare coverage and medical equipment
- Housekeeping, clutter reduction
- School enrollment and transfers
- Utility Assistance

Referral Services
In addition to the direct services listed, FamilyWorks staff should provide residents with referral services based upon enrollment in Family Coaching services or based upon request for residents not enrolled. The list of referrals may include but not limited to:

- Chicago Park District (CPD) – CHA residents are eligible to receive Chicago Park District Vouchers to cover cost of CPD programs throughout the year.
- Department of Family and Support Services and After School Matters offer a variety of youth programs throughout Chicago.
- Family Self-Sufficiency Program (FSS) – Residents who are interested in participating in CHA’s FSS program should receive information regarding the FSS program and be referred.
- Choose to Own (CTO)- Residents who are interested in participating in CHA’s CTO program should receive information regarding upcoming orientations and be referred.
- Educational Opportunities - CHA residents are eligible to receive free tuition through our Intergovernmental Agreement after Financial Aid at Chicago City Colleges. Interested residents should receive information regarding orientations and registration.
- Scholarship opportunities for CHA residents through CHA’s Scholarship Program
- Workforce Programs – Residents seeking employment may be referred to Workforce Programs:
Employment Placement Services, Transitional Jobs and Cook County Workforce Partnership.

**FamilyWorks Program Staff**

The FamilyWorks program model emphasizes a 2GEN approach using a family coaching model. Providers are responsible for ensuring they have an adequate and qualified team to serve its assigned target population. All FamilyWorks staff are accountable for providing exceptional customer service. Further, all FamilyWorks staff should provide services that are aligned with Family Center Coaching Values and Principles as identified at the beginning of this guide. Regardless of the Provider's unique staffing pattern, and understanding that job titles may vary by Provider, the following functions are required:

**Outreach Staff**
- Conduct Quarterly Outreach on non-engaged Tier 1 families and Seniors age 62 and older.
- Responsible for maintaining a Community Resource Binder.
- Conduct outreach for CHA's Initiatives and FamilyWorks services.
- Assist with connecting residents to FamilyWorks scheduled events.
- Conduct Monthly Outreach to non-enrolled 10/1/99 Families.

**Clinician**
- Conducts clinical assessments and provides clinical services as appropriate around issues including, but not limited to: undiagnosed disabilities (including completion of SSDI applications), victims of violence, mental health needs or substance abuse services and general wellness campaigns.
- Provides counseling services (group and individual) and linkages to a higher level of care (community based mental health provider) when appropriate.
- Facilitates wellness events and maintain a small caseload based upon FAP's

All staff conducting clinical services must have the appropriate qualifications and licenses to do so (i.e. LSW/LCSW, LPC/LCPC) and be supervised by qualified professionals. CHA expects each provider to have qualified staff in the FamilyWorks program who are conducting mental health assessments and counseling services as well as a full-time LCSW/LCPC on staff (within their organization) to provide direct clinical supervision to clinical staff members.

- FamilyWorks providers may hire unlicensed clinicians who have graduated from a master’s program from an accredited university and will be supervised by an individual with a clinical license (LCPC or LCSW). The hired clinician must obtain minimal licensing (LSW or LPC) within the first 6 months of employment.
- FamilyWorks providers may choose to utilize master’s level student interns within the clinical team. Interns must be pursuing a master’s level education (student’s in bachelor level programs are not to be working as part of an agency’s FamilyWorks clinical team), FamilyWorks providers must have proof that an intern is in good standing with their university, interns must commit to a minimum of 6 months with the FamilyWorks provider, and FamilyWorks providers will need to document at least 1 hour of weekly supervision provided by a LCSW or LCPC. An intern’s caseload should be minimized and interns should not be assigned Victim Assistance referrals.
- Assessments and progress notes completed by interns, unlicensed staff, or minimally licensed staff (LSW/LPC) must also be reviewed and signed by a supervisor with a clinical license.

**FamilyWorks Director**
- Works with CHA staff to develop practices that will reduce costs and improve efficiency.
• Oversees the administration of the program guidelines.
• Maintains overall responsibility for contract and contract compliance, takes corrective action as needed to ensure the program is compliant with budget and program guidelines.
• Acts as a spokesperson for the program at community events.
• Develops and cultivates relationships with internal and external partners.
• Coordinates services with other social service agencies, government agencies and vendors.
• Prioritizes and responds to issues, with consideration being given to urgency, practicality, budget and other resources.
• Organizes resources in an emergency (e.g. fire, emergency relocation, violent death).
• Attends all required meetings.

**FamilyWorks Family Coach**
• Works with family in a collaborative manner to help develop a FAP.
• Provides services according to values and principles for family centered coaching.
• Completes the intake and monitors family goals and activities.
• Provides follow-up to ensure family goals are progressing or achieved.
• Addresses housing related issues including lease compliance referrals from Property Management.
• Assists families with meeting site-based requirements and CHA work requirement.
• Provides supportive services including transportation, child care assistance, clothing and uniform assistance.
• Records families progress in CMTS and case files.

**Summer Youth Employment Staff**
• Works with CHA youth to enroll in summer youth opportunities.
• Assist with worksites monitoring and Cityspan tracking.
• Coordinates timekeeping and payroll for Summer Youth participants.

**Digital Resource Center Monitors**
The Digital Resource Center Monitor (Lab Monitor) reports to the FamilyWorks agency assigned to the Service Areas where the CHA’s Digital Resource Centers (DRC) are located. This position monitors and observes participant activities in an around the DRC, offers assistance, ensures all participants are complying with established rules of use, ensure equipment is functionally properly, reports any issues or concerns detected and performs some administrative tasks. This position requires evening/week hours. See Appendix C for a detailed description.

**Service Area Assignments and File Management**

**Service Provide Files and Confidentiality**
Providers must keep a case file for each resident who enrolls in services (i.e. has a completed FAP). All files should follow the designated CHA format (See Standard File Format). Outreach attempts to participants not enrolled in services are also required and should be documented, however complete case files are not required for residents who are not enrolled in Family Coaching. Case files must be kept at the location where services are being administered, provided that the location can be secured and locked to protect residents' privacy. Providers must give residents a copy of their complete case file (not including clinical file) within five business days, if requested by the resident. If a Provider has a policy that requires residents to pay a fee for copying the resident file, this policy must be approved by CHA and posted in common
areas of the FamilyWorks offices. CHA Program Specialists must be notified when a case file is requested. Clinical files and Victim Assistance Program files should be kept separate from the resident's general file and in accordance with the agency's confidentiality of mental health records policies. Providers will be required to submit a copy of their mental health records policy upon request by CHA and/or participants. Providers must also keep a separate SYEP file; instructions on SYEP files will be provided in the SYEP Program Guide.

All information concerning residents served by Providers must remain confidential. Providers may not release any information concerning the individuals served without the prior written consent of the resident. Only information which is necessary to ensure proper delivery of services may be shared with consent, unless otherwise dictated by CHA's lease, other CHA policies or state and federal laws, regulations and orders. All consents should be specific and not blanket releases. Each consent document must remain in the client file and include the date of the form, participant and witness signature, specific parameters of the information to be shared and a time limit (e.g. one year) of the release. Families should be provided a clear explanation of their right regarding consents for the release of information, including their right to revoke to consent at any time. No family shall be subject to any penalties for refusing to provide consent.

Changes to Service Area Assignments
As families move throughout the year, there will be changes to Service Area assignments in CMTS, both additions and removals. The FamilyWorks Project Director must review and/or distribute for review all emails received from CHA regarding changes to Service Area assignments to ensure accuracy.

Additions to Service Area Assignments
New families will be added regularly as families relocate or sign new leases with CHA. Providers must mail each resident added to their eligible population a standard letter introducing them to the FamilyWorks program and describing the services available.

Removals from Service Area Assignments
Families will also be removed from the caseload if they no longer live in CHA (e.g. death, eviction), move to Senior Housing, “port out” of CHA to another housing authority. All client files for participants who have been removed from the caseload must be returned to CHA on scheduled file transfer days.

Transfers between Service Areas
Families moving from one provider’s Service Area to another provider’s Service Area will be transferred throughout the year. When this occurs, the current Provider (sending Provider) is required to continue to provide the appropriate level of service until the transfer is complete to the new Provider (receiving Provider). The Project Director or authorize staff from the sending Provider must sign off on the File Transfer Form and transfer file at the monthly FamilyWorks Director’s Meeting. The new Provider is also responsible for notifying every transferring resident.

The receiving Provider will continue working with transferred families on their active goals. The receiving Provider will not need to complete new intakes or assessments if assessments have not expired.
**NOTE:** Residents employed by a FamilyWorks Provider may request a change of FamilyWorks Providers. CHA will assign the Provider that is closest to the current residence.

**File Maintenance**

**Caseload Notifications and File Storage**
The FamilyWorks Directors will be informed of all caseload modifications and updates via email. CHA will indicate whether the file should be transferred to another Provider or if files will be returned to CHA.

**Standard File Format**
CHA will give Providers an outline for the standard file format. Each household who enrolls in Family Coaching must have his or her own file. Each file must clearly identify the resident name and CHA client ID number. Files should be organized in six-part file folders. Providers will be required to adhere to the standard format and will be evaluated by the Quality Assurance (QA) team during the Monitoring and Evaluation (M&E) on-site visits. The QA team will inform Providers when file folders are not in the required format during the on-site visit.

Each file will be separated into the following six sections outlined below. All documentation (e.g. goals, referrals, case notes, etc.) should be included in the respective tab and organized in reverse chronological order. Group activities, Senior Home Visit Assessments and Lease Compliance Documents must be stored in a 3-ring binder. The support documentation for group activities must include event/activity flyers, sign-in sheets, and approved curriculums when applicable.

**Case Coordination File Organization**

**Section 1: 2020 Intakes and Assessments**
- Adult Intake
- Youth Intake (Age ranges 0-5; 6-12; 13-15; and 16-17)
- Family Action Plans
- Senior Home Visit Surveys

**Section 2: 2020 Support Academic Achievement**
- College Preparation
- Youth Development Activity
- Enhance School Performance
- On-site Direct Youth Programming
- Early Childhood Education (Referral)
- Out-of-School Time Program (Referral)

**Section 3: 2020 Increase Earning Power**
- Registration in CHA’s Section 3 Database
- Employment Action Plan
- Referral to Workforce Contractors

**Section 4: 2020 Foster Economic Independence**
- Family Self-Sufficiency (Referral)
- Choose To Own (Referral)

**Section 5: 2020 Enhance Stability and Quality of Life**
- Lease Compliance Assistance
- Senior Referrals
- 10/1/99 Right of Return Engagement
- Senior Home Visit Assessment

Section 6:
- Case Notes
- Other Forms and Support Documentation

Clinical File Organization

Clinical documentation (with exception of Victim Assistance Program documents) is to be stored in six section file folders; following are guidelines for clinical file organization:
- All sections are to be organized in reverse chronological order.
- A separate case note for each date of service should be completed.
- A separate Referral Form is to be completed for each external referral.

The file should be organized and labeled as indicated below. A separate file should be maintained for each family member receiving services. If joint services are received, a note for service should be in each respective file.

Section 1: 2020 Clinical Assessments
- Mental Health Assessment
- Substance Abuse Assessment
- SSI/SSDI Application/Appeal

Section 2: 2020 Clinical Engagement/Outreach
- Case Notes
- Therapy Notes
- Other Correspondence (emails, letters, faxes, etc.)

Section 3: 2020 Clinical Engagement/Outreach Continues If a large volume of case notes/correspondence exists, place old contact notes in the 1st section and resume filing current contacts in the 2nd section

Section 4: 2020 Consent Forms
- All residents engaging in individual or group counseling must sign a consent to treatment

Section 5: 2020 Release of Information

Section 6: All Other Forms and Support Documentation (e.g. curricula, flyers, internal referrals, information reviewed in counseling session, resource information, etc.)

Clinical Binders for Wellness Events and Group Counseling Series:
Binders shall be organized in reverse chronological order. Each event/workshop should be in its own section. Each section should have:
- Event Flyer/Advertisement
- Event Curriculum
- Sign-In Sheet
- Case Note (a single general case note is acceptable)
- All attendees should have an "Improve Wellness Attend Wellness Event" or "Improve Wellness Attend Group Counseling" Activity & Outcome in CMTS
Case Notes
Each file shall contain legible case notes in Data, Assessment, Plan (DAP) format. Case notes should always be recorded within 48 hours of the service provided. Electronic case note systems may be utilized by Providers if prior approval from CHA has been granted.

DAP FORMAT
"D" – DATA: Any observable or stated data about the family. What has the Provider observed about the household and/or family members?
"A" – ASSESSMENT: What is going on with the family? – What is the Provider’s assessment of the situation?
"P" – PLAN: How will the Provider address the request or problem? What is the plan, and when is the next time the plan will be reviewed with the family? What action steps have been assigned to FamilyWorks or the family member and what is the time line for completion?

In the event of special programs (e.g. Summer Youth Employment Program), Providers shall comply with standardized file formats required of the program.

Clinical Service Files
Clinical files containing confidential mental health information must first be signed off by the resident prior to transferring to a receiving Provider. If the sending Provider is unable to obtain the residents’ signature, the sending Provider should transfer the file without the confidential information. If a resident does not agree to the transfer of confidential information, the clinical file should be kept in accordance with the Provider’s internal policies and procedures and must be retained for a minimum seven years following termination of the Contract with CHA.

Program Support, Monitoring and Evaluation

CHA FamilyWorks Team
CHA Program Specialists will offer Providers ongoing technical assistance, assisting Providers in achieving Performance Objectives and fulfilling the statement of work. In addition, CHA will hold regular Project Director’s meetings with Providers as well as meetings with the Provider’s youth, employment and clinical staff. Providers shall ensure that relevant staff regularly attend these meetings.

CHA Quality Assurance Team
Resident Services’ QA team will conduct program file reviews at least annually, which may include a review of clinical records in coordination with Resident Services’ Assistant Director of Clinical Services. For each review, sample data is exported from CMATS, and files related to these data records are examined at Provider site locations. The QA team shall examine the operation of the facility, assess the integrity of the data outcomes recorded by the Provider and the tracking processes to ensure that file maintenance and FamilyWorks procedures are being adhered to. Each onsite file review shall include an entrance and exit meeting guided by the Program Contract Specialist.

NOTE: It is expected that Providers have an internal quality improvement process and conduct program monitoring independent from CHA’s monitoring and evaluation process. Minimally, this should include regular file, database, technique, and fiscal reviews.
CMTS Deletion Requests
All CMTS deletion requests must be submitted to CHA Program Specialists by the first Monday in each month. On-site corrections are not permissible. Deletion requests must be made at least a week prior to a scheduled M&E on-site review.

Resident Services SharePoint Site
Resident Services created an external SharePoint site for Providers to access information, which is located at https://thecha.sharepoint.com/residentservices. Program information will be uploaded to this site periodically by CHA. Performance Reports, Initiatives and Advisories will be communicated through this site. Each Provider must maintain access and check for updates frequently. There are two levels of SharePoint access, one for general use by all staff and one for project directors and the other for Providers’ executive staff. The process for obtaining and changing access is coordinated through Resident Services’ Business Reporting Team. Accessing this site follows the same guidelines as access to CHA CMTS site. For any technical difficulties, Providers should contact their directors who will then contact hophelp@thecha.org if the issue cannot be resolved internally.

NOTE: CHA developed a SharePoint site to enhance communication of program documents (e.g. contracts, performance reports, monitoring and evaluation reports, program guide, etc.) Providers may be required to access and submit documents through SharePoint.

CHA Financial Monitoring
CHA will monitor invoice submissions in accordance with Resident Services Reimbursement Procedures. Fiscal monitoring occurs monthly through invoice reviews; however on-site fiscal reviews may also be requested. All invoices and supporting documentation must be submitted to RSInvoicing@thecha.org.

CHA Performance Reports and Client Management Tracking System
CHA will generate performance reports to track progress toward Performance Objectives. Performance Report scheduling may vary, but providers should receive Performance Reports from CHA following the months of February, March, May, June, August, September, November and December. CHA may require Providers to report on their progress toward goals at Performance Review Meetings. Performance reporting periods vary but data should be entered CMTS by the last business day of the month to ensure that all activity is properly credited. Occasionally, providers have questions regarding performance numbers. Any discrepancies between performance numbers provided by CHA and what providers anticipated should be directed to your CHA Program Specialist via email and carbon copied to hophelp@thecha.org. When submitting discrepancies for review, providers must attach the applicable CMTS data along with a detailed description of each discrepancy presented.

FamilyWorks Monthly Reports
Providers should submit a monthly report, using the format provided, via email to Program Specialists. Reports are due the first Friday of every month unless otherwise noted. Reports should include programmatic progress that includes the following information:
- Narrative that explains any programmatic trends and/or challenges as well as Provider’s efforts to standardize/implement customer service standards across program sites.
- Any information or request to CHA to assist your organization in overcoming any challenges.
• Additional information requested by CHA.

**FamilyWorks Leverage Reports**
Providers must submit their leveraged resources along with their monthly invoice submissions to RSInvoicing@thecha.org. Leverage will be a part of the invoicing template, and must be updated quarterly, at a minimum.

**Hours of Operation and Communications**

**Hours of Operation**
Providers are required to have regular business office hours between the hours of 9:00 AM – 5:00 PM Monday through Friday. Hours of operation must be clearly posted in each office. In addition, Providers must offer flexible hours to serve residents on evenings and weekends. At a minimum, each office shall be open one weeknight until 7pm and one Saturday per month, in addition to regular business hours. Other hours may be required as directed by CHA.

FamilyWorks offices must remain open for each regular CHA business day. Providers must request any office closure during normal CHA business days at least five (5) days in advance, and must obtain approval from CHA prior to if due to modifying office hours or closing a FamilyWorks Office.

When a FamilyWorks office is not open due to a holiday, special event, training, or out of office hours (nights/weekends), Providers should maintain an emergency phone number and provide a voice mail message with appropriate contact information. The outgoing message should include a statement that if there is a medical emergency the family should hang up and dial 911.

During a weather-related or other emergency (e.g. violence), Providers must obtain approval from CHA prior to modifying office hours or closing a FamilyWorks office. Closings should be posted and the voice mail should reflect the closing and emergency number and the next available date of office operation. In addition, CHA may direct the FamilyWorks provider to assist during weather or other emergency.

**Telephone**
Providers must have an office telephone which is answered between the hours of 9:00 AM – 5:00 PM Monday through Friday and whenever there are publicly stated hours outside of this schedule (e.g. Saturday hours). Provider staff accepting calls should be knowledgeable about the program and be able to, at a minimum, answer questions related to FamilyWorks, services offered, identify appropriate staff for their assigned Provider, and support families in accessing another Provider.

**Media and Legal Requests**
All inquiries and requests for comment by media, research, and advocate groups [e.g. Chicago Tribune, Business and Professional People for the Public Interest (BPI), Legal Aid Foundation Requests (LAF)] regarding the FamilyWorks program or any other CHA initiatives should be forwarded to the CHA’s Communications department: (312) 786-6602. Providers should contact CHA prior to the release of information for research, media, or inquiries from advocate groups.
Other Program Requirements

Safety and Regulatory Compliance
It is the Provider’s responsibility to ensure the locations used are safe and in full compliance with appropriate building, fire and safety regulations and/or codes. Facilities must be accessible to individuals with disabilities as required by city, state and federal law. If a Provider is in a CHA property, they are required to contact the CHA property management company with issues or concerns to ensure the facility/building follows regulations and/or codes.

Service Fees
Providers are prohibited from charging residents a fee for any services.

Other Funding Sources
Providers who receive other federal, state, city or private foundation funds for services outlined in the contract cannot be reimbursed for the identical activities paid for under the CHA FamilyWorks contract. Providers are encouraged to leverage additional funding to support the goals of the program and should notify CHA when other funds are being utilized. Providers receiving grant funding from CHA may be required to participate in a grant review conducted by CHA’s Revenue and Partnerships Division.

Additional Policies
From time to time, CHA may implement additional policies or advisories regarding aspects of the program. New and/or additional policies will be distributed to all Providers if necessary.
Appendix A: Relocation and Leasing Procedures

FamilyWorks staff should have a basic understanding of the Plan for Transformation, the Relocation Rights Contract (RRC) and CHA’s Housing Offer Process (HOP). Additional information on these and other CHA policies may be found on CHA’s website, www.thecha.org, or through trainings and discussions with CHA staff.

Plan for Transformation
CHA’s Plan for Transformation is the largest redevelopment of public housing in the nation’s history. The Plan serves as a blueprint to renew the physical structure of CHA properties and promotes self-sufficiency for public housing residents.

Relocation Rights Contract
The RRC describes the rights and obligations for lease compliant families residing in CHA’s family and scattered site portfolio on October 1, 1999, and for CHA. Under the RRC, eligible families retain a right to a new or rehabbed public housing unit or may elect to satisfy their Right of Return by utilizing a Housing Choice Voucher. If the unit is not immediately available to satisfy their Right of Return, CHA residents may choose where they want to temporarily live until such a unit is available.

Housing Offer Process
The Housing Offer Process (HOP) was created to implement the objectives of the RRC. HOP establishes a system for offering permanent replacement housing units to CHA leaseholders relocated from properties for purpose of renovation, demolition, etc. Leaseholders participating in HOP are asked to select three sites on their housing choice survey where they would prefer to live permanently. When a resident’s name reaches the top of the HOP list for a site, the resident receives an invitation to screen for a unit at the site and possible offer of housing. At the site screening, resident participation is required and there may be consequences, including loss of their Right of Return, for those who do not respond to a screening offer.

As described above, Providers should be prepared to identify families as redevelopment occurs and be able to communicate leasing requirements, including site-specific criteria to residents in the HOP process. Additionally, Providers should contact their CHA FamilyWorks Program Specialist if a family requests to modify their housing choice survey or have additional questions on the RRC or HOP process.
Appendix B: CHA Work Requirement

Provider staff should be aware of CHA's Work Requirement Policy according to the ACOP. The Work Requirement policy requires every adult member of a CHA family or senior public housing unit age 18 to 54 to work or participate in eligible activities for a minimum of 20 hours per week. Providers should consult the ACOP for a complete review of CHA’s Work Requirement. Residents who receives a Safe Harbor due to not meeting CHA’s work requirement for the following areas: separated from employment (within 60 calendar days); attempted but failed to find adequate childcare to allow the residents and/or adult authorized member to work; and/or attempted but failed to find employment are required to work with FamilyWorks to create an Employment Action Plan.

Providers should educate and prepare families for the work requirement. For those families enrolled in services, the Employment Action Plan should serve as a blueprint for all activities that a family should use to be work/lease compliant. Property management will verify a family’s status and assign each eligible family member into one of four categories: work compliant, exempt, safe harbor or non-compliant.

Compliant
Residents are compliant if they are engaged in 20 hours per week, as verified by a third party, in either employment, internship, work experience (e.g. transitional jobs, on-the-job training), volunteer/community service (10 hours weekly maximum), or attendance in an accredited institution, training program, job readiness, GED or literacy program. While work-eligible residents may be compliant while being unemployed, the target caseload includes all unemployed, work-eligible residents, and these residents should be outreached accordingly.

Exempt
Residents are exempt from the work requirement if they are 55 years of age or older, blind or disabled, certain primary caregivers (e.g. of a child under one year of age, or of a blind/disabled person), retired and receiving pension or annuity, receiving certain benefits etc. Providers should refer to the ACOP for a complete explanation of work requirement exemptions.

Safe Harbor
Safe Harbor is temporary relief from the work requirement, approved by the property manager. Residents may request Safe Harbor through their property manager at re-certification or at any time by filling out the Safe Harbor Request form. It is the goal of FamilyWorks to assist families to achieve compliance with the work requirement, including assisting residents in applying for Safe Harbor. By nature of Safe Harbor qualifications, all residents with this designation are part of the target caseload and should be engaged accordingly. Providers should refer to the ACOP for a full description of the qualifications and limitations of Safe Harbor.

Non-Compliant
Residents who are not meeting the work requirement are non-compliant and subject to lease termination.
Earned Income Disregard
Families qualify for the Earned Income Disregard (EID) if they live in a public housing unit and obtain employment after having been unemployed for 12 months or longer. Once a family member begins a new job, or experiences an increase in earned income, CHA will disregard 100% of the new income for 12 months and will not increase rent. During the second year of employment, the family’s rent will be increased using only 50% of the new earned income.

EID may be granted to each adult resident household member that is eligible. If they qualify, more than one adult member may receive the EID at the same time. Providers should refer residents to their property manager for additional details of the EID program.

Providers should consult the ACOP or contact CHA Program Specialists with additional questions on the ACOP, work requirement, safe harbor or other related policies.

Lease Compliance Referral Process and Monthly Coordination Meetings
Current lease compliance information will come as a referral from property management. If a resident is found to be non-compliant at re-certification or at any other point during the lease, property management will provide the Provider with the standard Referral and Disposition form. The purpose of the referral and disposition form is to adequately track the reason(s) for non-compliance or concern, as well as the resident’s disposition.

Providers are responsible for conducting outreach and assisting referred residents in creating detailed plans that will demonstrate consistent engagement in activities that support lease compliance or housing stability. All related activities, including engagement and progress, are documented in the resident’s case coordination file.

In addition to managing the referral process, Providers are required to facilitate monthly coordination meetings with the Property Management firms assigned to their respective Service Areas. The purpose of these meetings is to work towards helping residents resolve lease compliance concerns, in turn assisting property management with maintaining their assets.

Lease Violation Tracking Grid Process
- Providers will be responsible for recording each disposition on the Lease Violation Grid.
- Providers will email grids weekly to the identified Coordination Team. This includes Property Manager(s); Property Officer(s); CHA Program Specialist(s); Service Provider(s); LAC (traditional and scattered site housing only); Ombudsmen (Mixed Income housing only).
- Providers are required to provide a weekly status update.
- Property management is expected to provide a weekly status updates.
- Providers are expected to document dispositions received from property management in CMTS who engage in services to resolve lease violations.

Appendix B
Monthly Coordination Meetings

Providers are responsible for:

- Scheduling the monthly meetings and sending out the meeting invites to the identified coordination team for each property.
- Providing copies of the tracking grid, previous meeting minutes, sign in sheets and agendas.
- Sending cancellation notices if the Property Manager is unable to attend. Providers should not cancel coordination meetings unless the property manager is unavailable.
- Drafting minutes after every meeting and emailing them to the identified coordination team, including the LAC for traditional housing and scattered site properties, and the Office of Resident Engagement for mixed income properties.
- Sites with limited unit counts may be eligible to host coordination meetings via conference call with prior approval from CHA Program Specialists.
- A binder should be maintained at each site that includes the following: Sign in sheet, Minutes and Coordination Meeting Agenda.

Appendix B
Appendix C: Digital Resource Center Operations

Digital Resource Center Locations

<table>
<thead>
<tr>
<th>Location</th>
<th>Service Area</th>
<th>Number of Stations with a Computer</th>
<th>Lab Monitor Full Time Equivalent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dearborn Homes - 2910 S. Dearborn, Chicago, IL 60616</td>
<td>1</td>
<td>28</td>
<td>1</td>
</tr>
<tr>
<td>Major Adams Community Center - 125 N. Hoyne Ave., Chicago, IL 60612</td>
<td>2</td>
<td>20</td>
<td>1</td>
</tr>
<tr>
<td>Jane Addams Family Resource Center - 1254 S. Loomis, Chicago, IL 60608</td>
<td>3</td>
<td>20</td>
<td>1</td>
</tr>
<tr>
<td>Lake Parc Place - 3983 S. Lake Park, Chicago, IL 60653</td>
<td>3</td>
<td>22</td>
<td>1</td>
</tr>
<tr>
<td>Charles Hayes FIC- 4859 S. Wabash Ave., Chicago, IL 60615</td>
<td>3</td>
<td>40</td>
<td>2</td>
</tr>
<tr>
<td>Lawndale Gardens - 2527 S. California Ave., Chicago, IL 60623</td>
<td>3</td>
<td>21</td>
<td>1</td>
</tr>
<tr>
<td>Wentworth Gardens - 3757 S. Wells St., Chicago, IL 60609</td>
<td>4</td>
<td>22</td>
<td>1</td>
</tr>
<tr>
<td>Lowden Homes - 200 W. 95th St., Chicago, IL 60628</td>
<td>4</td>
<td>22</td>
<td>1</td>
</tr>
<tr>
<td>Altgeld Gardens – CYC 951 E. 132nd Pl., Chicago, IL 60827</td>
<td>5</td>
<td>34</td>
<td>2</td>
</tr>
</tbody>
</table>
Digital Resource Center Lab Monitor Position Description

The Digital Resource Lab Monitor reports to the FamilyWorks agency assigned to the Service Area where the CHA’s Digital Resource Centers (DRC) are located. This position monitors and observes participant activities in and around the DRC, offers assistance, ensures all participants are complying with established rules of use, ensures equipment is functioning properly, reports any issues or concerns detected, and performs some administrative tasks. This position requires evening and weekend hours to be worked. Initial employment for this position is for a two-year period. Employment may be extended at the discretion of the employer of record and CHA approval.

PRIMARY RESPONSIBILITIES:
The DRC Lab Monitor must:
1. Monitor all participants working in the DRC area, and ensures participants comply with the digital resource center usage rules;
2. Behave in a professional manner treating all participants with courtesy and respect;
3. Open and close the DRC daily;
4. Maintain daily sign-in sheets of participants utilizing the DRC;
5. Reserve the DRC for usage by other agencies/partners, and maintain a schedule of reservation requests;
6. Assist users with printing, saving and retrieving documents, general software usage problems, and/or direction to resources;
7. Report and document instances of misuse or damage of computers and equipment to the supervisor immediately. This includes submission of a ticket to the CHA’s Information Technology Services (ITS) department helpdesk for issues related to hardware/software and computers/printers;
8. Report maintenance, equipment or facility issues to the appropriate staff;
9. Perform basic maintenance, such as toner cartridge replacement, paper loading, and clearing paper jams;
10. Clean equipment (monitors, computers, and desks) on a regular basis or as needed;
11. Assist with reception and distribution of office supplies, and monitor inventory levels;
12. Receive incoming calls, and ensure messages are given to the appropriate individuals, receive visitors, and resolve inquiries related to the DRC;
13. Comply with FamilyWorks agency policies and program requirements, including meeting timelines and reporting requirements;
14. Collaborate with team and program staff to plan and implement DRC services; and
15. Perform other duties as assigned by supervisor.

REQUIREMENTS:
The successful candidate will possess the following:

- A high school diploma or equivalent, be a CHA resident with preference for residents on site (computer labs at CHA developments), and lease compliant;
- Basic computer skills. Knowledge of Microsoft Office and internet navigation desirable;
- Motivation to take initiative, have integrity, and ability to work independently;
- Good customer service skills, oral and written communication skills;

Appendix C
• A professional attitude at all times;
• Ability to work effectively with diverse staff and service population;
• Ability to accept responsibility for professional development, utilize supervision and other development opportunities within and outside the agency to enhance skills and understanding; and
• Ability to lift and/or move up to 20 pounds.

Digital Resource Center Usage Guidelines and Instructions
To assure that you have a safe and comfortable environment when visiting a Digital Resource Center (DRC), users or guests must adhere to the following guidelines and instructions. Failure to do so may result in the loss of DRC usage privileges.

• Individuals exhibiting inappropriate behavior or language will be asked to leave the digital resource center and violation of these guidelines may result in denial of future access to the DRC.
• The Chicago Housing Authority (CHA) reserves the right to block communication from sites or systems that are involved in spamming practices. Use of DRC resources to communicate or access inappropriate websites or content is not permitted. Examples include, but are not limited to:
  o Harassing, intimidating or annoying others;
  o Sending email, fax or printed languages or images that are obscene, offensive or abusive; or
  o Accessing sites such as pornography, gambling or other offensive sites.
• Individuals under the age of 13 are not allowed in the DRC without a signed consent form on file from the parent/guardian.
• Be respectful of lab staff, equipment, furniture, other users and guests.
• Food or drinks are not permitted.
• To avoid disturbing other users or guests, cell phones must be silenced and not used while visiting the DRC. Headphones must be used for listening to course content, music, videos, etc.
• Deleting or modifying CHA installed hardware or software is not permitted. Consult with lab monitor staff prior to loading any software programs or games on the computer. However, user-owned CDs or flash drives may be accessed.
• Use only designated charging stations for cell phones or other electronic devices.
• Sign-in each time you enter the DRC, and follow staff directions.
• CHA or its contractors (e.g., Property Management, FamilyWorks, etc.) are not responsible for lost, broken or stolen items.
• CHA or its contractors are not responsible for any damage or loss of data arising from the use of equipment or programs.
Appendix D: CHA Properties and Service Eligibility

The following is a complete list of CHA properties that are eligible for FamilyWorks Services. As described in the Program Guide, all CHA family and Scattered Site properties are eligible for all FamilyWorks Services, including Family Coaching. All CHA replacement sites, including Mixed Income and some PBV/RAD properties are also eligible for all FamilyWorks Services, including Family Coaching. Also included is a list of PBV-family properties that do not require regular outreach, but are eligible for referral services if requested.

There are additional CHA Senior Designated properties, PBV-Senior properties, PBV Supportive Housing properties and CHA Mixed Income sites that are not eligible for FamilyWorks Services because they are served by other Programs. If you have any questions about service eligible, please contact your Program Specialist.

<table>
<thead>
<tr>
<th>Property Name</th>
<th>Service Area</th>
</tr>
</thead>
<tbody>
<tr>
<td>Altgeld-Murray Homes</td>
<td>5</td>
</tr>
<tr>
<td>Bridgeport Homes &amp; Elderly</td>
<td>3</td>
</tr>
<tr>
<td>Brooks Homes</td>
<td>3</td>
</tr>
<tr>
<td>Cabrini Rowhouses</td>
<td>1</td>
</tr>
<tr>
<td>Dearborn Homes</td>
<td>1</td>
</tr>
<tr>
<td>Devon Place Apartments</td>
<td>1</td>
</tr>
<tr>
<td>Horner</td>
<td>2</td>
</tr>
<tr>
<td>Lake Parc Place</td>
<td>3</td>
</tr>
<tr>
<td>Lawndale Gardens</td>
<td>3</td>
</tr>
<tr>
<td>Lowden Homes</td>
<td>4</td>
</tr>
<tr>
<td>Trumbull Park Homes &amp; Ida Platt Senior Apts</td>
<td>4</td>
</tr>
<tr>
<td>Washington Park Low Rises &amp; Elderly</td>
<td>3</td>
</tr>
<tr>
<td>Wentworth Gardens</td>
<td>4</td>
</tr>
<tr>
<td>Scattered Sites</td>
<td>1, 2, 3, and 4</td>
</tr>
</tbody>
</table>
The following CHA replacement housing properties (Mixed Income, RAD, PBV) are eligible for full FamilyWorks Services, including Family Coaching:

<table>
<thead>
<tr>
<th>Property Name</th>
<th>Service Area</th>
</tr>
</thead>
<tbody>
<tr>
<td>City Gardens</td>
<td>2</td>
</tr>
<tr>
<td>Clybourn 1200</td>
<td>1</td>
</tr>
<tr>
<td>Domain Lofts</td>
<td>1</td>
</tr>
<tr>
<td>Fountain View</td>
<td>2</td>
</tr>
<tr>
<td>Gwendolyn Place</td>
<td>3</td>
</tr>
<tr>
<td>Hilliard Towers Apartments</td>
<td>1</td>
</tr>
<tr>
<td>Jazz On the Boulevard</td>
<td>3</td>
</tr>
<tr>
<td>Keystone Place</td>
<td>4</td>
</tr>
<tr>
<td>Lake Park Crescent</td>
<td>3</td>
</tr>
<tr>
<td>Langston</td>
<td>3</td>
</tr>
<tr>
<td>Lathrop</td>
<td>2</td>
</tr>
<tr>
<td>Legends South</td>
<td>3</td>
</tr>
<tr>
<td>Mohawk North</td>
<td>1</td>
</tr>
<tr>
<td>North Town Village I &amp; II</td>
<td>1</td>
</tr>
<tr>
<td>Oakwood Shores</td>
<td>3</td>
</tr>
<tr>
<td>Old Town Square</td>
<td>1</td>
</tr>
<tr>
<td>Old Town Village East I &amp; II</td>
<td>1</td>
</tr>
<tr>
<td>Old Town Village West</td>
<td>1</td>
</tr>
<tr>
<td>Orchard Park</td>
<td>1</td>
</tr>
<tr>
<td>Park Boulevard and The Pershing</td>
<td>4</td>
</tr>
<tr>
<td>Park Douglas</td>
<td>3</td>
</tr>
<tr>
<td>Parkside of Old Town</td>
<td>1</td>
</tr>
<tr>
<td>Quincy</td>
<td>3</td>
</tr>
<tr>
<td>Renaissance North</td>
<td>1</td>
</tr>
<tr>
<td>Roosevelt Square</td>
<td>3</td>
</tr>
<tr>
<td>Shops and Lofts at 47th</td>
<td>3</td>
</tr>
<tr>
<td>St. Edmunds Meadows</td>
<td>4</td>
</tr>
<tr>
<td>St. Edmund's Oasis</td>
<td>4</td>
</tr>
<tr>
<td>Sullivan Station</td>
<td>3</td>
</tr>
<tr>
<td>Taylor Street Library and Apts</td>
<td>3</td>
</tr>
<tr>
<td>The Dorchester</td>
<td>4</td>
</tr>
<tr>
<td>Villages of Westhaven</td>
<td>2</td>
</tr>
<tr>
<td>West End</td>
<td>2</td>
</tr>
<tr>
<td>Westhaven Park</td>
<td>2</td>
</tr>
</tbody>
</table>
The following CHA properties are not CHA replacement housing and are eligible for referral services only

<table>
<thead>
<tr>
<th>Property Name</th>
<th>Service Area</th>
<th>Property Name</th>
<th>Service Area</th>
</tr>
</thead>
<tbody>
<tr>
<td>3714-16 W. Wrightwood Apartments</td>
<td>2</td>
<td>Leland Apartments</td>
<td>1</td>
</tr>
<tr>
<td>5801 S Michigan (Sojourner Truth Apartments)</td>
<td>4</td>
<td>Leontyne Apartments</td>
<td>3</td>
</tr>
<tr>
<td>90th Street Development (9000 S Justine LLC)</td>
<td>4</td>
<td>Liberty Square Apartments</td>
<td>2</td>
</tr>
<tr>
<td>Anchor House</td>
<td>4</td>
<td>Luxe Properties</td>
<td>2</td>
</tr>
<tr>
<td>Aurea E Martinez Apts</td>
<td>2</td>
<td>Lyndale Apartments</td>
<td>2</td>
</tr>
<tr>
<td>Aurea E Martinez Apts</td>
<td>2</td>
<td>Maple Pointe Apartments</td>
<td>1</td>
</tr>
<tr>
<td>Boulevard Apartments</td>
<td>2</td>
<td>Midwest Apartments</td>
<td>2</td>
</tr>
<tr>
<td>Boxelder Court</td>
<td>4</td>
<td>Near North Apartments</td>
<td>1</td>
</tr>
<tr>
<td>Brainerd Apartments</td>
<td>4</td>
<td>North &amp; Talman III</td>
<td>2</td>
</tr>
<tr>
<td>Branch of Hope</td>
<td>4</td>
<td>North Avenue Apartments</td>
<td>2</td>
</tr>
<tr>
<td>Bryn Mawr Apartments</td>
<td>1</td>
<td>Nuestro Hogar</td>
<td>2</td>
</tr>
<tr>
<td>Casa Kirk</td>
<td>4</td>
<td>Oso Apartments</td>
<td>2</td>
</tr>
<tr>
<td>Casa Morelos</td>
<td>3</td>
<td>Park Apartments</td>
<td>4</td>
</tr>
<tr>
<td>Concord at Sheridan</td>
<td>1</td>
<td>Reba Place Fellowship</td>
<td>1</td>
</tr>
<tr>
<td>Concord at Sheridan</td>
<td>1</td>
<td>Renaissance West Apartments</td>
<td>2</td>
</tr>
<tr>
<td>Diversey Manor</td>
<td>2</td>
<td>Rosa Parks Apartments</td>
<td>2</td>
</tr>
<tr>
<td>Dr MLK Legacy Apartments (King Legacy LP)</td>
<td>3</td>
<td>San Miguel</td>
<td>1</td>
</tr>
<tr>
<td>East Park Apartments</td>
<td>2</td>
<td>Sankofa House</td>
<td>2</td>
</tr>
<tr>
<td>Eastwood Garden Apartments</td>
<td>4</td>
<td>South Park Plaza</td>
<td>1</td>
</tr>
<tr>
<td>G &amp; A Residence at Spaulding</td>
<td>2</td>
<td>St Edmund's Court</td>
<td>4</td>
</tr>
<tr>
<td>Greenwood Courts</td>
<td>3</td>
<td>Sunnyside Kenmore Apartments</td>
<td>1</td>
</tr>
<tr>
<td>Harriet Tubman Apartments</td>
<td>4</td>
<td>The Carling</td>
<td>1</td>
</tr>
<tr>
<td>Howard Apartments</td>
<td>2</td>
<td>The Marshall</td>
<td>1</td>
</tr>
<tr>
<td>Humboldt Park Residence</td>
<td>2</td>
<td>The Resurrection Home</td>
<td>3</td>
</tr>
<tr>
<td>Independence Apartments</td>
<td>2</td>
<td>Tierra Linda Apartments</td>
<td>2</td>
</tr>
<tr>
<td>Ironwood Courts</td>
<td>4</td>
<td>Washington Park Apartments</td>
<td>3</td>
</tr>
<tr>
<td>Ivy Park Homes</td>
<td>4</td>
<td>Wentworth Commons (RHI)</td>
<td>4</td>
</tr>
<tr>
<td>Jade Garden Apartments</td>
<td>1</td>
<td>Wilson Yards Family Apartments</td>
<td>1</td>
</tr>
<tr>
<td>Jarvis Apartments</td>
<td>1</td>
<td>Winterberry Place</td>
<td>3</td>
</tr>
<tr>
<td>Lake Street Studios</td>
<td>1</td>
<td>Wrightwood Apartments</td>
<td>2</td>
</tr>
<tr>
<td>Lake Village East Apartments</td>
<td>3</td>
<td>Xavier Apartments</td>
<td>1</td>
</tr>
<tr>
<td>Leigh Johnson Courts</td>
<td>4</td>
<td>Zapata Apartments</td>
<td>2</td>
</tr>
</tbody>
</table>

Appendix D
EXHIBIT XII

CHA RESIDENT SERVICES COST REIMBURSEMENT PROCEDURES
Updated December 2019

PURPOSE OF PROCEDURE

The purpose of the Resident Services Cost Reimbursement Procedure is to:

1. Ensure Resident Services Contractors are aware of and adhere to CHA guidelines and applicable federal policies and CHA procedures.

2. Provide a framework for the efficient submission and reimbursement of program expenses.

3. Provide a foundation for analyzing expenditures, enabling both CHA’s Resident Services Division and its Contractors, to monitor expenditure and take timely corrective measures.

GUIDELINES

• Contractors shall submit invoices using the invoicing guidance and forms provided by CHA. CHA shall make all efforts to reimburse Contractors within 30 days of receipt of invoice or the specified contract terms and conditions. Reimbursement will be limited to the budgeted funds for a specified line item.

• Financial Analysts will review all invoices, including the payroll registers and other supporting documentation, to verify eligibility for reimbursement.

• Contractors must utilize budget revisions to ensure that funding is allocated efficiently for each expense category. Budget revisions should be used as preemptive measures. Expenses that exceed the Cost Category budget will not be reimbursed.

• Financial Analysts will ensure that Contractors adhere to guidelines included in the Resident Services Cost Reimbursement Procedures.
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Invoice Submission Overview

All invoices and support documentation must be submitted electronically to RSInvoicing@thecha.org. The following must be submitted with each reimbursement request including, but not limited to:

1. Invoice Cover Sheet (Contractor Letterhead)
2. Invoice Summary (CHA Excel Worksheet)
3. Cost Reconciliation Worksheet (CHA Excel Worksheet)
4. Summary of Personnel Salaries and Benefits (CHA Excel Worksheet)
5. Fringe Benefit Worksheet (CHA Excel Worksheet)
6. Summary of Non-Personnel Expenditure for Project (CHA Excel Worksheet)
7. Leverage (CHA Excel Worksheet)
8. Payroll Registers for personnel (Contractor supporting documentation)
9. Documentation of all non-personnel expenses including but not limited to invoices, proof of payment and allocation sheets. (Contractor supporting documentation)
10. Advanced written approval from CHA for purchases over $3,000 and any renovation expenses. (CHA Form used as Contractor supporting documentation)

Each of the CHA Excel Worksheets referenced above will be contained in one Microsoft Excel workbook which is created by the Financial Analyst and distributed to the Contractor. The workbook must be submitted in a Microsoft Excel format with each invoice.

Each of the items above may not be applicable to each invoice submission. For example, documentation of non-personnel invoices is not required for invoices that include only personnel expenses. Please consult your Financial Analyst with any questions related to CHA Forms and required supporting documentation.

If CHA pays a Contractor’s invoice but denies one or more expenses of that invoice because additional supporting documentation is required, the Financial Analyst will notify the Contractor in writing of the specific expenses that were denied. Accordingly, the Contractor must resubmit the denied expenses as a separate invoice.

Invoice Cover Sheet
Each invoice must include an Invoice Cover Sheet on the Contractor’s letterhead or standard invoicing format that includes the 1) Organization Name, 2) Program Name, 2) Contract Number, 4) Purchase Order Number, 5) Invoice Amount, 6) Invoice Number, 7) Invoice Date and 8) Signature of Preparer.

Invoice Summary (CHA FORM)
The Invoice Summary provides a summary of the invoice request, including the requested reimbursement amount, contract budget total, and contract budget remaining. The information as shown in the ‘Current Request’ should match the Cost Category information in the Cost Reconciliation.
Cost Reconciliation Worksheet (CHA FORM)
The Cost Reconciliation Worksheet provides an overview of the budget and expenses according to the Cost Categories and line items in the contract budget. This template should be used to track past and current monthly expenditure, total expenditure and the balance remaining on the budget. Additional lines cannot be added to this template and changes cannot be made to Cost Categories or line items, unless written approval has been given by CHA (See Budget Revision).

Contractors should use this template to analyze expenditures, with specific attention to any expenses that exceed or are projected to exceed the budget amounts. CHA will not reimburse expenses that exceed the budget for a Cost Category (e.g. Personnel, Fringe, Operating/Technical, etc.). Accordingly, agencies must carefully monitor expenses and request budget revisions when necessary.

Summary of Personnel Salaries and Benefits (CHA FORM)
The Summary of Personnel Salaries and Benefits provides a breakdown of the salary rate and time allocated to the program for each employee. The amount allocated to the program should be the personnel’s total salary multiplied by their allocation to the program. This information must be supported by third party payroll registers or checks issued to the employee.

Following is an example of how an employee should be allocated on the Summary of Personnel Salaries and Benefits: if Employee A earns $2,000 per pay period according to the payroll register and dedicates 20% of their time to the program:

Incorrect Entry:

<table>
<thead>
<tr>
<th>Employee Name</th>
<th>Title</th>
<th>Total Pay Rate</th>
<th>Total Benefits</th>
<th>Fringe %</th>
<th>Time Spent</th>
<th>Payroll Total</th>
<th>Fringe Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Employee A</td>
<td>Trainer</td>
<td>$400.00</td>
<td>$100.00</td>
<td>100.00%</td>
<td></td>
<td>$400.00</td>
<td>$100.00</td>
</tr>
</tbody>
</table>

Correct Entry:

<table>
<thead>
<tr>
<th>Employee Name</th>
<th>Title</th>
<th>Total Pay Rate</th>
<th>Total Benefits</th>
<th>Fringe %</th>
<th>Time Spent</th>
<th>Payroll Total</th>
<th>Fringe Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Employee A</td>
<td>Trainer</td>
<td>$2,000.00</td>
<td>$500</td>
<td>20.00%</td>
<td></td>
<td>$400.00</td>
<td>$100.00</td>
</tr>
</tbody>
</table>

The primary source document is the payroll register, which must be documented. Therefore, ‘The Total Pay Rate’ is $2,000.00 as shown by the payroll register. The allocation of the employee also needs to be included. It is also known that the employee only devoted part of their time to the program and thus, ‘% of Time Spent’ is 20%.

The ‘Payroll Total’ = ‘Total Pay Rate X % of Time Spent’
If an individual is allocated to multiple programs, the individual’s salary must be allocated according to the time devoted to each program. It is assumed that the salary rates are consistent across entire contract period unless otherwise specifically stated in the original budget submission. Therefore, any salary
increases or changes in allocation should be addressed in the budget and narrative of the Contractor’s original proposal. Any planned salary increases must be addressed within the budget prior to contract award. Please note the CHA reserves the right to limit the increase of salaries. Additionally, tenure or performance based bonuses are not reimbursable without written, advance CHA approval.

If a non-profit agency chooses to utilize a Federally Approved Indirect Rate, or a for-profit agency chooses to utilize CHA-approved Cost Allocation Plan, any individual who is included as indirect as part of their Federally Approved Indirect Rate or Cost Allocation Plan cannot be included as a direct cost in the Personnel budget.

If a third-party payroll register is not available and the amount paid to the employee does not match the amount invoiced to CHA due to benefit deductions from employee payments, CHA will require bank statements to demonstrate that specific employees were paid.

NOTE: CHA Contractors are subject to CHA’s Minimum Wage Requirements. All Contractors, other than 501(c)(3) tax-exempt Not-For-Profit Organizations, must pay Employees no less than $13.00 per hour for work performed on the Contract. Refer to CHA’s Minimum Wage Requirement for additional details.

Fringe Benefits Worksheet (CHA FORM)
The method used for the reimbursement of fringe must be proposed by the Contractor, and agreed upon by CHA prior to contract award. Respondents to Request for Proposals (RFPs) must propose which fringe benefits will be requested for reimbursement (i.e. FICA, SUTA, Workman’s Compensation, etc.). These expenses will not be interchangeable during the contract period. CHA will work with each Selected Respondent to determine if fringe benefits will be reimbursed based on actual expenses or based on a percentage of salaries that is established prior to contract award.

If a Contractor is reimbursed based on a percentage of salary, the percentage must be established based on a review of support documentation prior to contract award. The support documentation may include, but is not limited to, proof of payment to the third-party vendors providing the benefit, allocation to the specific program and basis of the allocation. The established percentage will dictate reimbursement for the entire contract period, unless otherwise agreed upon in the contract. Periodically, CHA may request supporting documentation during the contract term to ensure the percentage being used is reasonable.

If the Contractor is being reimbursed based on actual expenses, documentation including invoices from 3rd party fringe benefit providers, proof of payment and the allocation to the specific program must be provided monthly.

Summary of Non-Personnel Expenditures for Project (CHA FORM)
The Summary of Non-Personnel Expenditures provides an itemization of all non-personnel expenses related to the contract. Contractors are required to include support documentation for all expenses. This includes but is not limited to invoices, proof of payment and allocation sheets when necessary.
Leverage (CHA FORM)
Leverage refers to the use of non-CHA funds that benefit CHA residents and may include any funds that would not otherwise be available to CHA residents absent the contract with CHA. This may include direct monetary contributions or indirect non-monetary contributions (e.g. partner organizations, volunteers, etc.) used to support the cost of programs and services for CHA residents. Leverage reporting is a critical aspect of the contract and should be used as an opportunity for contractors to highlight the resources they contribute to CHA programs and services.

The CHA Financial Analysts will provide contractors with a leverage reporting worksheet in excel as part of the invoicing template. The leverage reporting worksheet will allow contractors to record leverage resources by month based on the date the leverage occurred, and by category (personnel, fringe, client support, etc.). Contractors must complete the leverage worksheet at least quarterly. The leverage reporting worksheet must be submitted with the invoice to RSI invoicing@thecha.org.

Occupancy Expenses
Prior to the contract award, it will be determined if the proposed program locations enable the Contractor to effectively execute the Scope of Work. Factors to be examined include the activities being offered at each site, location of site in relation to the resident target population and staff distribution.

Occupancy Expenses must be tracked separately for each location. For buildings owned by a Contractor, occupancy expenses may include mortgage and maintenance of a building. For buildings that are leased by a Contractor, occupancy expenses may include rent and utilities (if applicable) paid to a third party. CHA will not reimburse for security deposits. CHA will only reimburse occupancy expenses for space which is used to provide services to residents. Consequently, expenses for office locations that house only administrative staff are not eligible for reimbursement.

Eligible occupancy expenses will be determined during the contracting process. If an allocation is being used, all expenses included in the total occupancy costs and the method of allocation must be detailed in the Respondent’s budget and proposal during the contracting process. Once the budget for Occupancy Costs has been approved, additional expenses cannot be included without prior written approval.

If occupancy expenses are allocated to the program at less than 100%, an allocation sheet is required. The allocation sheet should clearly detail the expenses being allocated to the program with the basis of allocation clearly stated.

For all office locations, leased and owned, CHA may require Contractors to analyze the square footage, cost and use of the location to determine viability of the location.

Note: CHA is not required to reimburse expenses that result from a lease term that extends beyond the term of the contract with CHA. This includes leases for both equipment and office space.
Employee Mileage/Travel
CHA will only reimburse local travel expenses on a mileage basis. Mileage rates cannot exceed the standard mileage rates published by the Internal Revenue Services. Contractor’s employees are expected to use their own vehicles or contractor pool vehicles for local travel. CHA has the sole discretion to determine the Contractor’s home office location; CHA will not reimburse a Contractor traveling from their corporate office location to another primary office location owned by CHA.

Employee Vehicles
To be eligible for reimbursement for local travel, Contractor employees must maintain a mileage log signed by both the employee and manager. These mileage logs must be submitted with the invoice for the contractor to be reimbursed.

Gas Cards
Contractors may choose to provide gas cards to employees to use for personal or pool vehicles. However, CHA will only reimburse local travel on a mileage basis. If gas cards are used by employees, please do not submit gas card receipts since CHA will only use mileage reports as support for reimbursement. CHA does not support the use of gas cards for clients. If the Contractor believes a gas card is required for clients, prior written approval is required.

Leased Vehicles
CHA will not reimburse Contractors for leased vehicles. Allowances may be approved for programs that require transportation for participants as part of the Statement of Work (i.e. CHA’s Mobility Program).

Parking
CHA will not reimburse parking expenses for staff to park full-time at their primary office locations. These parking expenses are not considered occupancy expenses and should not be included in that category. However, parking reimbursement is allowable when staff need to attend meetings at their primary office locations following their work in the field. For example, if a case coordinator makes home visits during the morning and needs to return for a 2-hour meeting at a downtown office location, this reimbursement is allowable. Parking reimbursements are also allowable for CHA meetings and events.

Out of Town Travel
Travel expenses for air and hotel accommodations are not allowable unless travel is specifically requested by CHA. If the Contractor’s location is outside the Chicago area, every effort must be made to conduct meetings via conference calls to reduce the need for travel. Travel expenses for air and hotel accommodations will not be reimbursed without prior written approval from CHA.

Communication Expenses
The use of site telephones and other communication devices are integral to the success of resident programs. CHA will reimburse site telephones per the invoices for the specific locations. Additional communication expenses such as cell phones, Internet and other technology will also be reimbursed based on supporting documentation and needs of program staff. Phone rates being used for employees
must be appropriate for the individual’s responsibilities. Reimbursement will be denied for directory assistance, entertainment lines and other expenses deemed unreasonable or extraneous.

If an allocation is being used, all expenses included in the communication costs and the method of allocation must be detailed in the Contractors’ original proposed budget and agreed to prior to contract award. Once an allocation has been approved for communication expenses, it cannot be increased without prior written approval.

If communication expenses are allocated to the program at less than a 100% of the invoice/payment, an allocation sheet is required. This allocation sheet should clearly detail the expenses being allocated to the program with the basis of allocation clearly stated.

Office Supplies
Invoices for office supplies that are specifically related to the performance of a contract will be reimbursed with supporting documentation. Expenses related to coffee or water service for staff is considered an indirect cost and will not be reimbursed as a direct expense. Coffee or water service may be reimbursed if it is available for use by program participants (i.e. office waiting areas).

Client Support
Depending on the services provided, Contractors may be required to provide various types of Client Support, including, but not limited to:

Transit Cards
If transit cards are included in the program budget, Contractors must have them available for residents upon request at all offices and locations where residents receive services. However, gas cards cannot be provided to participants without advanced prior approval from CHA. Participants who are not engaged but seek transportation assistance should be directed to their CHA FamilyWorks provider for assistance.

Gift Cards
Gift cards should never be used as an incentive to exchange information needed to document an achieved outcome (e.g. complete an assessment in exchange for a gift card). In addition, gift cards cannot be used to make general agency purchases (e.g. office supplies, refreshments for events, etc.). Gift cards may be purchased and distributed to residents under the following circumstances:

1. As part of a CHA funded initiative.
2. CHA approved program supportive services
3. As an incentive for participation in a group activity. For example, a group of 10-15 residents may enter drawing for one gift card.
Food Purchases
The use of Client Support for food for resident events and activities should be judicious. CHA will not reimburse expenses, including on-site resident events and tickets for events (e.g. food, movies, circus, sporting events, etc.), without prior written approval from CHA.

CHA will only reimburse food expenses purchased directly from a vendor; food purchased by Contractor staff will not be reimbursed. Food expenses will only be reimbursed for residents, not Contractor staff. Support documentation in the form of invoices, receipts, proof of payment and proof of written approval from CHA will be required for reimbursement. Participant sign-in sheets do not need to be submitted for reimbursement but must be maintained by the Contractor and are subject to CHA review upon request.

Housing Assistance
A contractor’s budget should not be utilized to pay a resident’s current or delinquent rent or utility bills. Contractors should assist residents with delinquent rent or utilities by referring them to appropriate resources. Emergency requests for rent or utilities require prior written approval from CHA to be eligible for reimbursement. In addition, CHA funds shall not be used to assist HCV landlords in any manner, including potential landlords in Opportunity Areas who need to obtain documentation to meet HCV program requirements (e.g. warranty deeds).

College Tuition
The Contractor’s budget may not be utilized to directly pay current or past due college tuition.

CHA Directed Client Support Requests
There may be occasions when CHA will direct support service dollars for unforeseen events or services. Contractors will utilize Client Support dollars at the direction of CHA when requested.

Hardships
If Contractors wish to provide gift cards, transit cards or financial support for any reasons not listed above, Contractors must have prior written approval from CHA if the amount exceeds $250. On a quarterly basis, CHA will review all hardship approvals granted, and may review incidents of supportive service dollar usage on the monthly invoice if a client support item is flagged for review by CHA’s Financial Analyst. Examples of hardships that may be considered by CHA upon request include, but are not limited to: medical, military, senior in-home care, disability, funeral expenses, loss of employment, loss of income, etc. CHA reserves the right to limit the amount of hardships, revise dollar amounts, etc. based on review.

Indirect Rates/M &G
An indirect rate must be agreed upon prior to contract award. The agreed upon rate must be used for the duration of the contract term. This rate encapsulates indirect expenses which have not been directly identified in the contract budget (e.g. agency wide HR and IT costs, executive and administrative staff not allocated to the direct personnel budget, etc.).
The Contractor must negotiate the Indirect Rate during the procurement process. Non-profit organizations can use their Federal Approved Indirect Rate or the standard rate of 10% of Direct Expenses may be used. For-profit organizations can propose to use an indirect cost rate based upon a cost allocation plan or the standard rate of 10% of Direct Expenses may be used. The Indirect Rate will be a percentage applied to each month’s expenses and the Contractor will not be reimbursed beyond the approved rate.

**Subcontractors**

Subcontractors may be used to effectively execute the scope of work. Subcontractors must be presented during the RFP process, including the proposed budget terms and scope of work. In addition, an executed copy of the subcontract must be presented to CHA prior to reimbursement of subcontractor expenses. It is the Contractor’s responsibility to ensure that subcontract agreements structured as cost reimbursement adhere to Resident Services cost reimbursement procedures.

Subcontractors may also be used to meet CHA’s Section 3 requirements (i.e. Section 3 subcontracting, M/W/DBE compliance). Any proposed changes to a Section 3 subcontract must be presented simultaneously to 1) Resident Services for written approval and budget revisions, and 2) CHA’s compliance department for approval of a change in Section 3 subcontractors.

Contractors can structure subcontract agreements as either fixed fee or cost reimbursement. However, if a proposed subcontractor has an existing cost-reimbursement contract with CHA, any subcontracts must also be cost reimbursement. This will ensure that CHA can appropriately monitor the personnel and non-personnel expenditures for both the direct contract with CHA and any subcontracts with contractors.

**Budget Revisions**

Contractors must review their budget and expenses consistently and submit requests for budget revisions to ensure that funding is appropriately allocated for each cost category. Contractors shall also ensure that services which directly benefit clients are adequately funded (e.g. Client Support).

When needed, Contractors shall submit budget revision requests, subject to CHA approval, utilizing CHA’s budget revision request form. A narrative must also be provided to detail the necessity for the budget revision and its impact on services to residents.

Procedures for submitting a budget revision are as follows:

1. **Budget Revisions** should be submitted prior to the Contractor exceeding the amount stipulated for the Cost Category.
2. **Budget revisions** must be signed by both the Contractor’s program and finance staff.
3. **CHA** will respond to budget revision requests within ten (10) business days.

CHA will not approve budget increases to the aggregate of salary and fringe benefit line items without significant justification. Specifically, Contractors cannot make reductions to non-personnel line items prior to the end of the contract to fund personnel expenses such as unused vacation time, sick leave, or other
employee benefits. Contractors will continue to fulfill the scope of work and contract requirements through the end of the contract term; this includes the staffing outlined in the Project Operating Budget.

**Small Purchase Competition Requirements**

Any purchase that exceeds $3,000 requires **prior written approval** from CHA using the Approval for Purchase of Assets or Renovations (CHA Form). Contractors must demonstrate a competitive bidding process for any purchase more than $3,000 by providing no less than three quotes to CHA in advance of the purchase. The request should include the item, the business purpose and how it will add value to the program. CHA will not reimburse contractors for assets purchased without prior written approval.

Assets purchased with CHA funds are property of CHA (e.g. computers, furniture, etc.). If the contract is terminated for any reason, CHA has the authority to recover all assets purchased with CHA funds.

Any purchases related to property improvements or renovations, including purchases less than $2,000, requires **prior written approval** using the Approval for Purchase of Assets and Renovations Form.

If a M/W/DBE or Section 3 subcontractor that has been included and approved in the Compliance Plan is being used, the competition requirement is waived. **However, prior written approval from CHA is still required for all renovations regardless of amount, and all asset purchases in excess of $2,000.**

**CFDA Numbers**

The Catalog of Federal Domestic Assistance (CFDA) is a government-wide compendium of Federal programs, projects, services and activities that provide assistance or benefits to the public. Each program is assigned a unique number by agency and program that follows the program throughout the assistance lifecycle enabling data and funding transparency. The CFDA number is a five-digit number, XX.XXX, where the first two digits represent the Funding Agency and the second three digits represent the program.

CFDA numbers commonly used for Resident Services programs are outlined below. Several programs utilize multiple funding sources. Contractors are responsible for accurately reporting CFDA numbers and should contact their Financial Analysts to identify the appropriate CFDA numbers related to their reimbursements.

- MTW Funding: **CFDA 14.881**
- HOPE VI Grant Funding: **CFDA 14.866**
- Family Self Sufficiency Grant Funding: **CFDA 14.896**
- Jobs Plus Grant Funding: **CFDA 14.895**

**Year End Accrual Process**

CHA operates on a fiscal year of January 1 through December 31. Toward the end of each year, CHA will communicate information about its financial year end closing and accrual process. The dates below are approximate and should serve as a general guideline. Contractors should check with their Financial Analysts for the specific dates each year.
• **Final Year End Invoices:** Final invoices for the year must be submitted by December 1 to receive payment by December 31. Any invoices submitted after this time will not be processed until mid to late January. **CHA expects that Contractors will submit all January through October expenses for reimbursement in accordance with contract terms and conditions. Late invoices not submitted to CHA by December 1 may not be reimbursed by December 31.** CHA will make all efforts to ensure that these expenses are paid to Contractors by December 31.

• **Accrual Amounts:** Any expenses not reimbursed to the Contractor prior to the end of the year must be accrued in CHA’s budget. Therefore, Contractor’s must estimate all unpaid expenses (i.e. the accrual amount) and submit this estimated accrual amount to CHA by January 1. **CHA expects that, at a maximum, only November and December expenses will be accrued.**

**Contact Information**

If you have any questions about these procedures, please contact your Financial Analyst with a copy to Lucas Fopma and your Program Specialist:

- Beverly Ward: (email) bward@thecha.org; (p) 312.913.7702; (f) 312.913.7703
- Lucia Papartis: (email) lpapart@thecha.org; (p) 312.786.4036; (f) 312.786.4037
- Lucas Fopma: (email) lfopma@thecha.org; (p) 312.913.5898; (f) 312.913.5899
APPENDIX A

FAMILYWORKS SUPPLEMENTAL INFORMATION

Contractors must submit a monthly Personnel Invoice and a bi-monthly Non-Personnel Invoice. All invoices and support documentation must be submitted electronically to RSInvoicing@thecha.org.

Personnel Invoices

An invoice summary detailing Personnel Expenses including salaries, fringe and related M&G expenses shall be submitted by the Contractor monthly. Documentation shall be submitted no later than 10 business days following the end of the month for which the reimbursement is being requested. The schedule is as follows:

<table>
<thead>
<tr>
<th>Month Expense Incurred</th>
<th>Submission Date for Personnel Expenses</th>
</tr>
</thead>
<tbody>
<tr>
<td>January</td>
<td>February 14</td>
</tr>
<tr>
<td>February</td>
<td>March 13</td>
</tr>
<tr>
<td>March</td>
<td>April 14</td>
</tr>
<tr>
<td>April</td>
<td>May 14</td>
</tr>
<tr>
<td>May</td>
<td>June 12</td>
</tr>
<tr>
<td>June</td>
<td>July 15</td>
</tr>
<tr>
<td>July</td>
<td>August 14</td>
</tr>
<tr>
<td>August</td>
<td>September 15</td>
</tr>
<tr>
<td>September</td>
<td>October 14</td>
</tr>
<tr>
<td>October</td>
<td>November 13</td>
</tr>
<tr>
<td>November</td>
<td>December 14</td>
</tr>
<tr>
<td>December</td>
<td>January 14 (2020)</td>
</tr>
</tbody>
</table>

The following documentation must be submitted with each Personnel reimbursement request including, but not limited to:

1. Invoice Cover Sheet (Contractor Letterhead)
2. Invoice Summary (CHA Excel Worksheet)
3. Cost Reconciliation Worksheet (CHA Excel Worksheet)
4. Summary of Personnel Salaries and Benefits (CHA Excel Worksheet)
5. Fringe Benefit Worksheet (CHA Excel Worksheet)
6. Leverage (CHA Excel Worksheet)
7. Payroll Registers/Check Copies (Contractor supporting documentation)

Each of the CHA Excel Worksheets referenced above will be contained in one Microsoft Excel workbook which is created by the Financial Analyst and distributed to the Contractor. The Excel workbook must be submitted in a Microsoft Excel format with each invoice. If Contractors have regular monthly occupancy expenses and supporting documentation is available by the submission