

THE CITY OF HOUSTON | HOUSING AND COMMUNITY DEVELOPMENT DEPARTMENT
C O N T R A C T C O M P L I A N C E

TECHNICAL ASSISTANCE TRAININGS

**MWSBE
Technical Assistance
Training for Contractors**

July 30, 2025 - 9:30AM – 10:20M

Division Contact Information



Kennisha London
Deputy Director



Chrystal Boyce
Division Manager

2100 Travis, 9th Floor, Houston, TX 77002

www.houstontx.gov/housing

MWSBE Team Members



John McGee
Contract Administrator



Carolyn Seals
Contract Administrator

Discussion Topics

- MWSBE Policy Overview
- MWSBE Certification Benefits
- Commonly Used MWSBE Terms
- B2GNow Participation/Payment Tracker
- LCP Tracker Document Submission Portal
- Contract Agreements
- Compliance Forms Packet
- Deviation Request
- Contractor Performance
- Close-Out Evaluation

Benefits of MWSBE Certification

- Office of Business Opportunity
www.houston.mwdbbe.com
- Advantage in procurement selection process;
- Receives regular alerts of networking and contracting opportunities;
- Company profile is listed in the City's MWDBE/SBE/PDBE online directory;
- Opportunity to bid on goal- oriented contracts.
- Covered under City of Houston Chapter 15 Ordinance;
- Adds trust to services offered;
- Other Texas certification agencies accept City of Houston MWDBE/SBE/PDBE certifications.



MWSBE Policy Overview



It is the policy of the City of Houston to strengthen Minority, Women-Owned, Small Business Enterprises (or MWSBE) participation during all phases of contracts. The objective is to ensure local firms are afforded equal opportunities that promote utilization and eliminate discrimination.



HCDD contracts must comply with federal procurement regulations, which mandates contracts to include all necessary affirmative steps to ensure Minority, Women-Owned, Small Business Enterprises are utilized to maximum capacity.



As a result, HCDD contracts must adhere to local and federal requirements as it relates to Minority, Women-Owned, Small Business Enterprises.

COMMONLY USED MWSBE TERMS

Commonly Used MWSBE Terms

- ❑ **General Contractor or Prime Contractor:** The main contractor responsible for the overall coordination of a project that includes communication with all involved parties concerning site activity, change orders, subcontractor participation, etc.
- ❑ **Subcontractor:** a contractor hired to perform portions of work on contract of a General Contractor.
- ❑ **Supplier:** A company that supplies product.
- ❑ **Lower Tier Sub:** A firm or individual that received work under another subcontractor that sublets a part of their contract.
- ❑ **Good Faith Efforts:** Steps taken that demonstrate efforts to meet MWSBE goal requirements.
- ❑ **MWSBE:** Minority, Women-Owned Small Business Enterprise
- ❑ **Goal Oriented Project:** A competitively bid project with a MWSBE goal requirement.
- ❑ **SOW:** Start of Work
- ❑ **TOW:** Termination of Work

POST AWARD COMPLIANCE REQUIREMENTS

Goal Achievement

- After a Prime Contractor is awarded a project on a goal-oriented project, compliance can only be achieved by (1) meeting goal requirements or (2) demonstrating acceptable Good Faith Efforts in an attempt to meet the goal. For more information on acceptable Good Faith Efforts, visit: <http://www.houstontx.gov/obo/docsandforms/goodfaithefforts.pdf>
- Only firms certified through the City of Houston, Office of Business Opportunity participation can be credited towards participation goals. For more information regarding the City of Houston MWSBE certification process, visit: <http://www.houstontx.gov/obo/certificationoverview.html>
- MBE & WBE goals are separate and must be met individually!
 - **24.00% MBE & 10.00% WBE = 34.00% Overall Goal**

LCP Tracker

- Following a Pre-Construction and/or Kick Off Meeting, a Compliance Monitor will create the project profile and assign the Prime Contractor as the Prime Approver.
- The Prime Contractor will be responsible for assigning each subcontractor and supplier to the project in the LCP Tracker.
- The Prime will also have the capability to review each document submitted by contractors for approval.
- The information required to set up a contractor assignment would be found on the Compliance Forms Packet Cover Sheet.
- Each contractor must be assigned to a project in order to submit required compliance documents.



Contractor Set Up is a two-step process

Step 1: Contractor Setup > Add/Edit Contractor

Add or Edit Contractor Information

Add Mode

To add a new contractor, enter information and save. To edit an existing contractor, select it from the list first.
You can view all the contractors in the system. You can only edit your own data after it has been entered.

Department

-- All Departments --

Select a contractor to edit ...

Company Name (Contractor) *

BBB Construction

Federal Tax ID Number *

11-1111111

D-U-N-S Number

PWCR Number

Contractor License No. or 10-digit Phone Number *

888-888-8888

Contractor License Expiring Date

~~Contractor License (To Display on Certified Payroll) *~~

Contact Name *

Jane Doe

Phone Number *

888-888-8888

Contact Fax

Contact E-Mail * (Login information will be sent to this email address)

jane@bbbconstruction.com

Step 2: Prime Contractor Steps to Assign a Contractor to Project

Step 1

Log in
<https://prod.lcptracker.net/WebForms/Login.aspx>

Step 2

Select “Set Up” from the toolbar tab. Then, click Add/Edit Contractors.

Step 3

To add a “New” contractor, enter the contractor information and click save. If the contractor already has an account, and you have difficulty locating the contractor profile, add the contractor and enter the “Contractor ID” as shown on the contractor cover sheet.

Step 4

Go to “Set Up” and click “Contractor Assignment”

Step 5

Click “Add New Assignment”, select project and contractor adding.

Step 6

Select project, enter field information and press save.

Steps to Upload Documents

Step 1

Have document available on your computer. The document can be almost any type that can be viewed by internet browser: txt, pdf, xls, doc, tif, etc.

Step 2

Go to Set Up and select Add/Edit Document

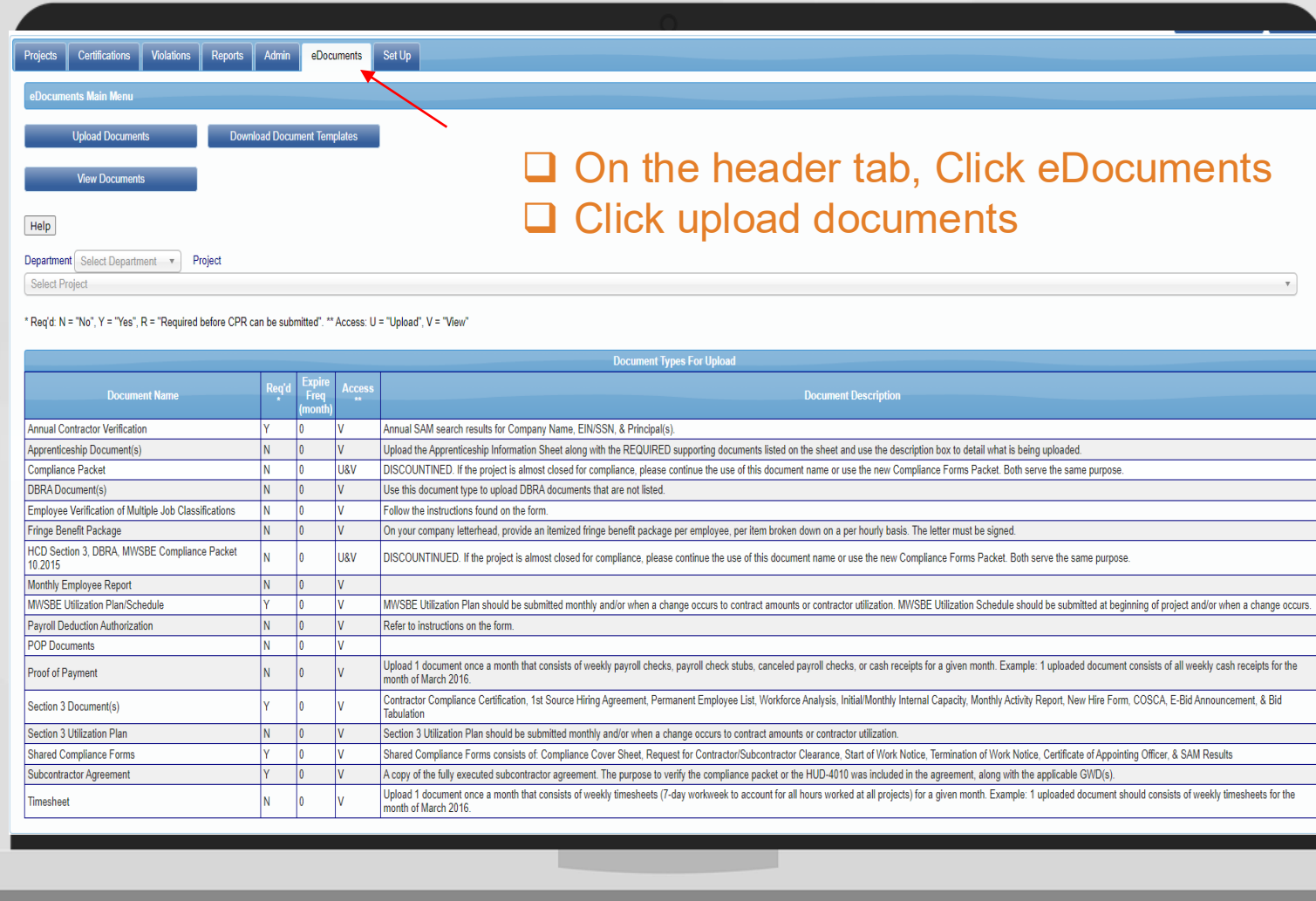
Step 3

Enter Required Fields

Step 4

Upload Document under appropriate file name

Steps to Upload Documents



The screenshot shows the 'eDocuments Main Menu' interface. At the top, there is a navigation bar with tabs: Projects, Certifications, Violations, Reports, Admin, eDocuments, and Set Up. A red arrow points to the 'eDocuments' tab. Below the navigation bar, there are three buttons: 'Upload Documents', 'Download Document Templates', and 'View Documents'. Below these buttons, there is a 'Help' button and two dropdown menus: 'Department' (with 'Select Department' as the current selection) and 'Project' (with 'Select Project' as the current selection). Below the dropdowns, there is a legend: '* Req'd: N = "No", Y = "Yes", R = "Required before CPR can be submitted". ** Access: U = "Upload", V = "View"'. Below the legend, there is a table titled 'Document Types For Upload'.

Document Name	Req'd	Expire Freq (month)	Access	Document Description
Annual Contractor Verification	Y	0	V	Annual SAM search results for Company Name, EIN/SSN, & Principal(s).
Apprenticeship Document(s)	N	0	V	Upload the Apprenticeship Information Sheet along with the REQUIRED supporting documents listed on the sheet and use the description box to detail what is being uploaded.
Compliance Packet	N	0	U&V	DISCONTINUED. If the project is almost closed for compliance, please continue the use of this document name or use the new Compliance Forms Packet. Both serve the same purpose.
DBRA Document(s)	N	0	V	Use this document type to upload DBRA documents that are not listed.
Employee Verification of Multiple Job Classifications	N	0	V	Follow the instructions found on the form.
Fringe Benefit Package	N	0	V	On your company letterhead, provide an itemized fringe benefit package per employee, per item broken down on a per hourly basis. The letter must be signed.
HCD Section 3, DBRA, MWSBE Compliance Packet 10 2015	N	0	U&V	DISCONTINUED. If the project is almost closed for compliance, please continue the use of this document name or use the new Compliance Forms Packet. Both serve the same purpose.
Monthly Employee Report	N	0	V	
MWSBE Utilization Plan/Schedule	Y	0	V	MWSBE Utilization Plan should be submitted monthly and/or when a change occurs to contract amounts or contractor utilization. MWSBE Utilization Schedule should be submitted at beginning of project and/or when a change occurs.
Payroll Deduction Authorization	N	0	V	Refer to instructions on the form.
POP Documents	N	0	V	
Proof of Payment	N	0	V	Upload 1 document once a month that consists of weekly payroll checks, payroll check stubs, canceled payroll checks, or cash receipts for a given month. Example: 1 uploaded document consists of all weekly cash receipts for the month of March 2016.
Section 3 Document(s)	Y	0	V	Contractor Compliance Certification, 1st Source Hiring Agreement, Permanent Employee List, Workforce Analysis, Initial/Monthly Internal Capacity, Monthly Activity Report, New Hire Form, COSCA, E-Bid Announcement, & Bid Tabulation
Section 3 Utilization Plan	N	0	V	Section 3 Utilization Plan should be submitted monthly and/or when a change occurs to contract amounts or contractor utilization.
Shared Compliance Forms	Y	0	V	Shared Compliance Forms consists of: Compliance Cover Sheet, Request for Contractor/Subcontractor Clearance, Start of Work Notice, Termination of Work Notice, Certificate of Appointing Officer, & SAM Results
Subcontractor Agreement	Y	0	V	A copy of the fully executed subcontractor agreement. The purpose to verify the compliance packet or the HUD-4010 was included in the agreement, along with the applicable GWD(s)
Timesheet	N	0	V	Upload 1 document once a month that consists of weekly timesheets (7-day workweek to account for all hours worked at all projects) for a given month. Example: 1 uploaded document should consist of weekly timesheets for the month of March 2016.

Steps to Upload Documents

The screenshot shows a web application interface for uploading documents. The top navigation bar includes tabs for Projects, Certifications, Violations, Reports, Admin, eDocuments, and Set Up. The 'eDocuments' tab is active, and the 'Upload Documents' sub-header is visible. The form contains the following fields and options:

- Department ***: A dropdown menu with the selected option being "-- All Departments --".
- ☐ **Include Closed Projects**
- Project Name ***: A text field containing "FCA CONSTRUCTION, LLC: 4600016145: Gale Winds Apartments".
- Contractor ***: A dropdown menu with the selected option being "FCA Construction, LLC".
- Sub To | Contract ID ***: A dropdown menu with the selected option being "-- All Assignments --".
- Document Type ***: A dropdown menu with the selected option being "Annual Contractor Verification".
- Document Date ***: A date field with the value "1/12/2023" and a calendar icon.
- Expiration Date**: A date field with a calendar icon.
- Description**: A text area containing "Debarred Vendor List 2023".
- Select employee the document relates to if appropriate**: A dropdown menu with the selected option being "-- Select Employee --".
- Week end date the document relates to if appropriate**: A date field with a calendar icon.
- Comments**: A text area.
- Confidential Comments**: A text area.
- Select the file to upload**: A section with a "Choose File" button, the text "No file chosen", and "Cancel" and "Save" buttons. A red arrow points to the "Save" button.

Document Upload Locations

Documents uploaded in the wrong location will be rejected and considered non-compliant.

LCPTRACKER UPLOAD LOCATIONS



CONTRACTOR VERIFICATION

Request for Clearance Form w/ Sam Results attached
Debarred Vendor List
Conflict of Interest Form

MONTHLY EMPLOYEE REPORT

Monthly Labor Hours and Employee Report

MWSBE UTILIZATION PLAN/ SCHEDULE

MWSBE Utilization Plan
MWSBE Utilization Schedule

POP DOCUMENTS

POP 1
POP 2
POP 3
POP 8
POP 9
B2G Access Form

SECTION 3 DOCUMENTS

Contractor's Section 3 Compliance Certification
First Hiring Agreement
Workforce Analysis Form
Internal Capacity Affidavit
Monthly Activity Report
Monthly Verification of Internal Capacity Status
New Hire Form
Confirmation of Subcontractor Amount
EBID Form
EOA Form
Bid Tabulation

SECTION 3 UTILIZATION PLAN

Section 3 Utilization Plan

SHARED COMPLIANCE FORMS

Compliance Cover Sheet
Start of Work Notice
Termination of Work
Letter of Explanation

SUBCONTRACT AGREEMENT

Subcontract Agreement
Master Service Agreement
Purchase Order Agreement
Consultants Agreement
Change Orders
Invoices

THE CITY OF HOUSTON | HOUSING AND COMMUNITY DEVELOPMENT DEPARTMENT

LCPTRACKER COMPLIANCE UPLOAD DESCRIPTION GUIDE



CONTRACTOR VERIFICATION

Sam Verification (Year)

Debarred Vendor List (Year)

COI (Year)

MWSBE UTILIZATION PLAN/ SCHEDULE

MWSBE UP (Month-Year)

MWSBE Utilization Schedule

POP DOCUMENTS

POP 1

POP 2

POP 3

POP 8

POP 9

B2G Access

SECTION 3 DOCUMENTS

Contractor's S3 Compliance Certification

First Hiring Agreement

Workforce Analysis Form

Internal Capacity Affidavit

MAR (Month-Year)

MVIC (Month-Year)

COSCA Form

MLHE Report (Month-Year)

EBID (Month-Year)

EOA (Month-Year)

Bid Tabulation (Month-Year)

SECTION 3 UTILIZATION PLAN

Section 3 UP (Month-Year)

SHARED COMPLIANCE FORMS

Compliance Cover Sheet

SOW (Month-Day-Year)

TOW (Month-Day-Year)

Letter of Explanation (LOE)

SUBCONTRACT AGREEMENT

Contract Agreement

CO # (indicate the number)

Invoices

Document Description Guide

Document Description Guide

SINGLE-FAMILY ONLY
All Compliance Documents
must include Address

SINGLE FAMILY UPLOAD DESCRIPTIONS AND LOCATIONS



ADDRESS MEANS THE STREET NUMBER AND NAME OF THE PROJECT HOME

MWSBE UTILIZATION PLAN/ SCHEDULE

Project/House Address: MWSBE UP (MM-YY)

SECTION 3 UTILIZATION PLAN

Project/House Address: Section 3 UP (MM-YY)

CONTRACTOR VERIFICATION

Sam Verification (YYYY)

Debarred Vendor List (YYYY)

COI (YYYY)

SECTION 3 DOCUMENTS

MAR (MM-YY)

MVIC (MM-YY)

COSCA Form

SHARED COMPLIANCE FORMS

Project/House Address - Compliance Cover Sheet

Project/House Address - Start of Work Notice (MM-DD-YY)

Project/House Address - Termination of Work Notice (MM-DD-YY)

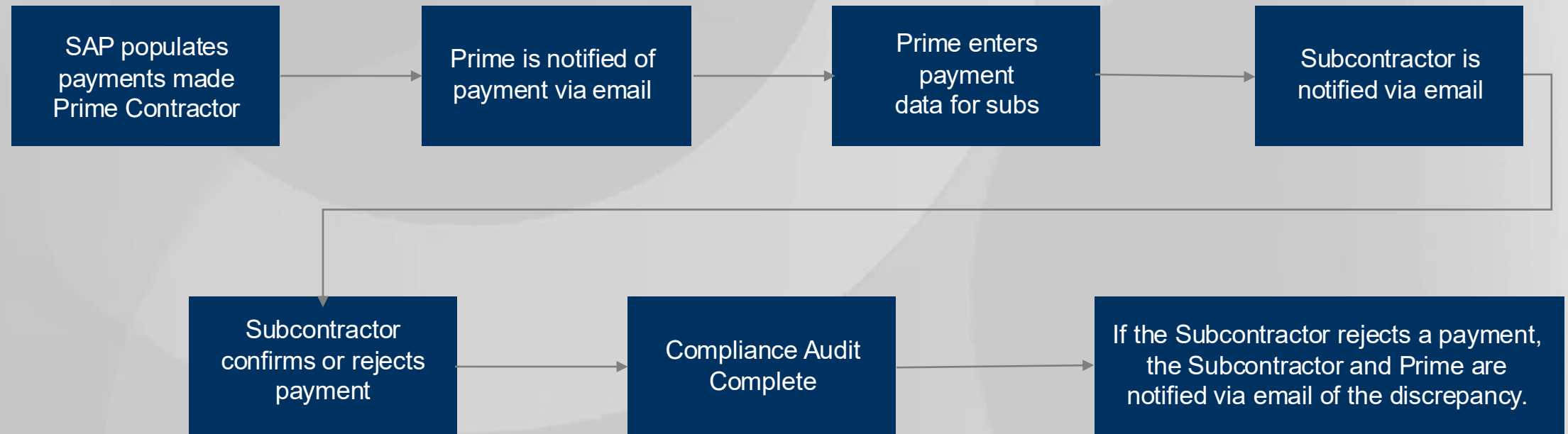
SUBCONTRACT/MASTER/PO/ CONSULTANT AGREEMENT

Project/House Address: Contract Agreement

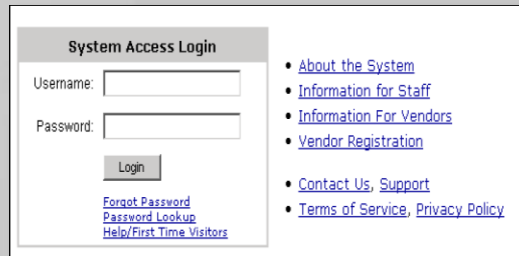
B2GNow Payment Reporting & MWSBE Participation Tracker

- After a project is awarded, a profile is set-up in B2Gnow for payment and participation tracking of **certified and non-certified firms**.
- The assigned MWSBE Coordinator will be responsible for adding contractors to B2GNow.
- The Prime Contractor is required to enter payments to subcontractors and suppliers within 5 days of payment receipt from the City.
- Subcontractors, suppliers and professional service providers are required to confirm payments entered by the Prime.

Automated Compliance Audit Process



Access to Contracts in B2GNow



System Access Login

Username:

Password:

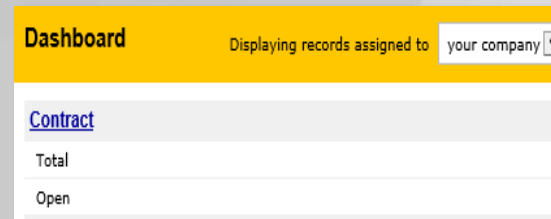
Login

[Forgot Password](#)
[Password Lookup](#)
[Help/First Time Visitors](#)

- [About the System](#)
- [Information for Staff](#)
- [Information For Vendors](#)
- [Vendor Registration](#)
- [Contact Us, Support](#)
- [Terms of Service, Privacy Policy](#)

Step 1

Login to B2G with your company Credentials.



Dashboard

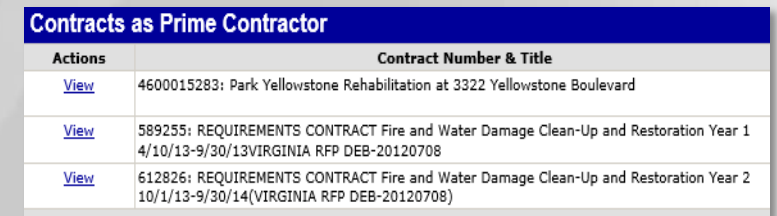
Displaying records assigned to

[Contract](#)

Total	3
Open	3

Step 2

Under Dashboard, click "Contract".



Contracts as Prime Contractor	
Actions	Contract Number & Title
View	4600015283: Park Yellowstone Rehabilitation at 3322 Yellowstone Boulevard
View	589255: REQUIREMENTS CONTRACT Fire and Water Damage Clean-Up and Restoration Year 1 4/10/13-9/30/13VIRGINIA RFP DEB-20120708
View	612826: REQUIREMENTS CONTRACT Fire and Water Damage Clean-Up and Restoration Year 2 10/1/13-9/30/14(VIRGINIA RFP DEB-20120708)

Step 3

A list of all active projects will appear. To access a project, click "view"

Prime Contractor Payment Process

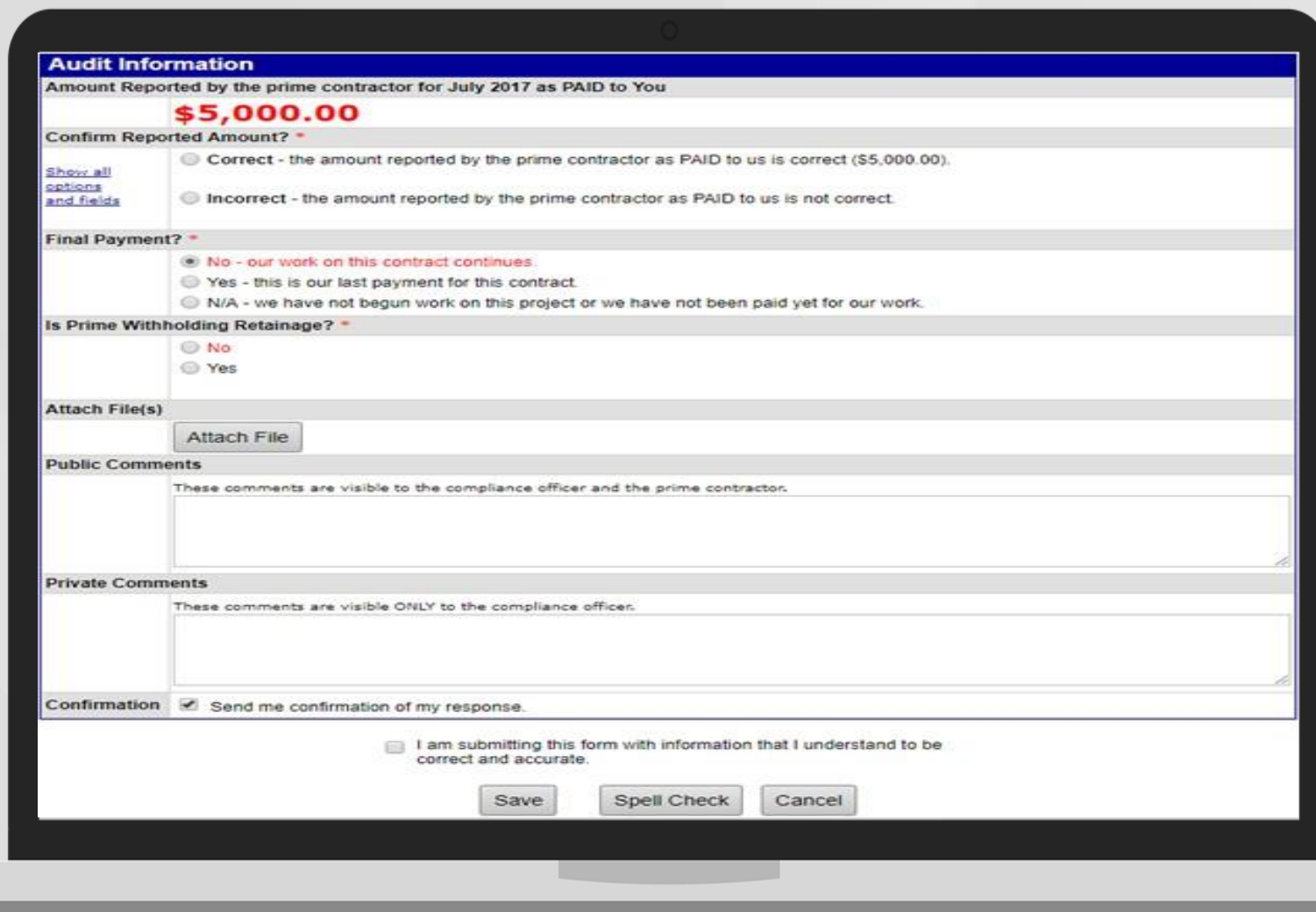
- The prime can report individual payments or subcontractor payments all at once

Audit Information	
Enter the audit amount for the designated time period. You can attached files or add comments, if necessary.	
Amount PAID For March 2009 *	\$1500.00 <small>>> Do NOT enter invoice amount.</small>
Payment Date *	3/25/2009 <small>>> Enter payment date if you made a payment during March 2009. >> If multiple payments were made, enter the date of the first payment.</small>
Prompt Payment? *	<small>>> Select a choice below if you made a payment during March 2009.</small> <input checked="" type="radio"/> Yes - the subcontractor was paid within 10 days of payment from New Mexico Department of Transportation. <input type="radio"/> No - the subcontractor was not paid within 10 days of payment from New Mexico Department of Transportation. <input type="radio"/> N/A - we cannot determine if the subcontractor was paid promptly.
Payment Detail	(Optional) Enter details of PAID check numbers and amounts for March 2009. This optional detail will speed up the subcontractors confirmation of your payment information. This information will be displayed to Apache Construction Co.. Chk #401: \$1500.00
Attach File(s)	Attach File
Comments	(Optional) These comments are visible ONLY to your contract compliance officer. They are not visible to Apache Construction Co..

Contract Audit: Vendor List Bulk Submit

Subcontractor Payment Information								
Subcontractor	Total Through December 2007	Contract Goal	Actual Percent Through December 2007	Payment for March 2009	Payment Date	Prompt Payment (within 10 days)	Payment Detail	Comments
AMEC EARTH & ENVIRONMENTAL INC	\$9,203.00	0.077%	0.059%	\$		<input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> N/A		
Apache Construction Co.	\$79,999.26	1.261%	0.510%	\$1500	3/25/2009	<input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A	Chk #401: \$1500.00	
Bogan Brothers Painting Co.	\$0.00	0.178%	0.000%	\$		<input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> N/A		
BSN-Santa Fe	\$182,628.00	1.366%	1.164%	\$		<input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> N/A		
Byerly & Cosyleon, Inc.	\$276,823.56	2.663%	1.764%	\$		<input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> N/A		
Iron Tooth Milling, LLC dba Rocky Mountain Rotomilling	\$48,009.65	0.331%	0.306%	\$		<input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> N/A		

Subcontractor Payment Confirmation Process



Audit Information

Amount Reported by the prime contractor for July 2017 as PAID to You

\$5,000.00

Confirm Reported Amount? *

[Show all options and fields](#)

☐ Correct - the amount reported by the prime contractor as PAID to us is correct (\$5,000.00).

☐ Incorrect - the amount reported by the prime contractor as PAID to us is not correct.

Final Payment? *

☒ No - our work on this contract continues.

☐ Yes - this is our last payment for this contract.

☐ N/A - we have not begun work on this project or we have not been paid yet for our work.

Is Prime Withholding Retainage? *

☐ No

☐ Yes

Attach File(s)

Public Comments

These comments are visible to the compliance officer and the prime contractor.

Private Comments

These comments are visible ONLY to the compliance officer.

Confirmation ☒ Send me confirmation of my response.

☐ I am submitting this form with information that I understand to be correct and accurate.

THE CITY OF HOUSTON | HOUSING AND COMMUNITY DEVELOPMENT DEPARTMENT

COMPLIANCE FORMS PACKET

MWSBE Compliance Packet for Certified & Non-certified firms



Utilization Schedule

- **Prime Contractor Only Requirement**
- The Utilization Schedule is a forecast of your company's utilization of certified firms to meet the participation goal on this project.
- A projection of monies to be allocated to certified firms for each month of the project.
- This form must be completed and submitted for review and approval before start of work and each time there is a change to the plan. **A new plan must be submitted when submitting a deviation request and responding to a "Not Meeting the Goal" letter.**

MWSBE

UTILIZATION SCHEDULE - CONSTRUCTION

The MWSBE Utilization Schedule is a projection of funds allocated to certified firms each month throughout the life of the project.

Reporting MM and YYYY:

Project Name and Number:

Company Name:

[illegible]

MWBE

UTILIZATION SCHEDULE - PROFESSIONAL SERVICES

The MWSBE Utilization Schedule is a projection of funds allocated to certified firms each month throughout the life of the project.

Reporting MM and YYYY:

Project Name and Number:

Company Name:

[illegible]MWBE

UTILIZATION SCHEDULE - PURCHASING

The MWSRF Utilization Schedule is a projection of funds allocated to certified firms each month throughout the life of the project.

Reporting MM and YYYY:

Project Name and Number:

Company Name:

[illegible]

The Prime Contractor is responsible for collecting this form to complete contractor setup and access to LCP Tracker.

This form must be completed and submitted within five business days upon execution of a contract agreement and/or purchase order by **all contractors, suppliers and consulting firms.**

All fields are required to be completed except for the following:

- ☐ Pre-existing LCP Tracker User ID
- ☐ Fax Number
- ☐ Certification Type "Complete only if Applicable"

Document must include contractors point of contact information.

If contractors are utilizing a consulting firm, DO NOT add their information on the document.

COMPLIANCE COVER SHEET



RETURN WITH COMPLIANCE DOCUMENTS (COMPLETE ALL FIELDS)

Instructions: This form must be completed upon execution of a contract agreement and is required to complete setup and access to LCP Tracker. The Prime Contractor is responsible for collecting this form from all entities performing on a project.

Project Name: Project Number:

Name of Contractor:

*Type of Contractor: ☐ Prime Contractor ☐ Sub Contractor ☐ Lower-tier Subcontractor ☐ Consultant ☐ Supplier ☐ Professional Services Provider

I/We have a written contract with:

*Service(s) to be provided:
Provide a brief description of the service business will be performing on the project

*NAICS Code
(Look up a code here <https://www.census.gov/ipeds/www/naics/>)

*Company Address:

*Company Contact Person: *EIN or SS Number:

*Company Contact Email:

Alternative Contact Person: *Contract Amount:

Company Email: *Phone Number:

Owner's Ethnicity/Racial Background: Gender:

Certifications: ☐ MBE ☐ WBE ☐ SBE ☐ Section 3 ☐ DBE ☐ HUB

AN ASTERISK INDICATES A MANDATORY REQUIREMENT

THE CITY OF HOUSTON | HOUSING AND COMMUNITY DEVELOPMENT DEPARTMENT

COMPLIANCE COVER SHEET



RETURN WITH COMPLIANCE DOCUMENTS (COMPLETE ALL FIELDS)

Instructions: This form must be completed upon execution of a contract agreement and is required to complete setup and access to LCP Tracker. The Prime Contractor is responsible for collecting this form from all entities performing on a project.

Project Name: **Baldwin Lofts** Project Number: **460001111**
Name of Contractor: **BBB Construction**
*Type of Contractor: ☐ Prime Contractor ☒ Sub Contractor ☐ Lower-tier Subcontractor ☐ Consultant ☐ Supplier ☐ Professional Services Provider
I/We have a written contract with: **Jones Construction, Inc.**
*Service(s) to be provided: **Concrete paving**
Provide a brief description of the service business will be performing on the project
*NAICS Code <http://www.census.gov/ipeds/www/naics/> **238910**
*Company Address: **111 Avenue K, Houston, TX 11111**
*Company Contact Person: **Jane Doe** *EIN or SS Number: **11-1111111**
*Company Contact Email: **jane.doe@bbbconstruction.com**
Alternative Contact Person: **N/A** *Contract Amount: **\$500,000.00**
Company Email: **888-888-8888** *Phone Number: **888-888-8888**
Owner's Ethnicity/Racial Background: **African American** Gender: **Male**
Certifications: ☒ MBE ☐ WBE ☐ SBE ☐ Section 3 ☐ DBE ☐ HUB

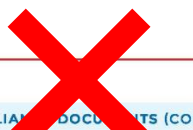
AN ASTERISK INDICATES A MANDATORY REQUIREMENT

UNACCEPTABLE
FORM



ACCEPTABLE
FORM

COMPLIANCE COVER SHEET



RETURN WITH COMPLIANCE DOCUMENTS (COMPLETE ALL FIELDS)

Instructions: This form must be completed upon execution of a contract agreement and is required to complete setup and access to LCP Tracker. The Prime Contractor is responsible for collecting this form from all entities performing on a project.

Project Name: **Baldwin Lofts** Project Number: **460001111**
Name of Contractor: **BBB Construction**
*Type of Contractor: ☐ Prime Contractor ☐ Sub Contractor ☐ Lower-tier Subcontractor ☐ Consultant ☐ Supplier ☐ Professional Services Provider
I/We have a written contract with: **Concrete paving**
*Service(s) to be provided: **Concrete paving**
Provide a brief description of the service business will be performing on the project
*NAICS Code <http://www.census.gov/ipeds/www/naics/> **238910**
*Company Address: **111 Avenue K, Houston, TX 11111**
*Company Contact Person: **Jane Doe** *EIN or SS Number: **11-1111111**
*Company Contact Email: **jane.doe@bbbconstruction.com**
Alternative Contact Person: **N/A** *Contract Amount: **\$500,000.00**
Company Email: **888-888-8888** *Phone Number: **888-888-8888**
Owner's Ethnicity/Racial Background: **African American** Gender: **Male**
Certifications: ☐ MBE ☐ WBE ☐ SBE ☐ Section 3 ☐ DBE ☐ HUB

AN ASTERISK INDICATES A MANDATORY REQUIREMENT

The Prime Contractor must submit a Contractor Clearance form for every contractor, supplier, lower tier subcontractor, consulting firms, etc. intended to perform on a project.

The date must reflect the same year when the Sam verification results was conducted.

The request for clearance form and all generated Sam verification results must be combined in one pdf format.

REQUEST FOR PRIME CONTRACTOR/ SUBCONTRACTOR CLEARANCE



NO CONTRACT SHOULD BE EXECUTED BY THE PRIME WITH A SUBCONTRACTOR, LOWER-TIER SUBCONTRACTOR, CONSULTANT, OR SUPPLIER UNTIL THEIR ELIGIBILITY HAS BEEN VERIFIED.

Instructions: To ensure eligibility, a search must be conducted of the (1) Company Name, (2) Principal Owner(s) and (3) the Employer Identification Number (EIN) through www.sam.gov/SAM.

The Prime Contractor must verify the eligibility of all subcontractors, lower-tier subcontractors, suppliers, and consultants performing on the project and upload the search results along with the Request for Clearance form to LCP Tracker.

Date:

Project Name:

Project Address:

Contractor/Subcontractors Company Name:

☐ Prime Contractor ☐ Subcontractor ☐ Lower-Tier Subcontractor ☐ Consultant ☐ Supplier ☐ Professional Services Provider

EIN or SS Number: Address/Zip Code:

Phone Number:

Check the applicable entity: ☐ Sole Proprietorship ☐ Corporation ☐ Partnership ☐ Other

List Principal(s) below:

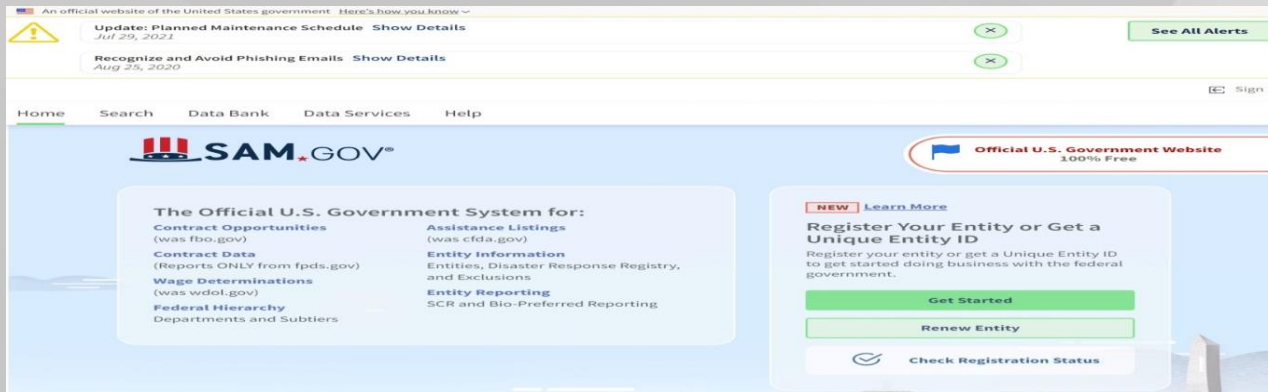
SAM Verification

- To verify eligibility of a contractor to work on a federally funded project, a search must be conducted on the following credentials: 1) Full Company Name, (2) Principal Owner(s) and (3) the Employer Identification Number through www.sam.gov
- Search results and the Request for Clearance form must be uploaded in LCP Tracker for all contractors and suppliers.
- No contract should be executed with a Prime Contractor, Subcontractor or Supplier until their eligibility has been verified.
- The site now requires the creation of an account to conduct searches. The person conducting the search must be logged into the site, otherwise no search results can be retrieved.
- Each search results must include date from the website when search was conducted.

How to Retrieve Sam Verification

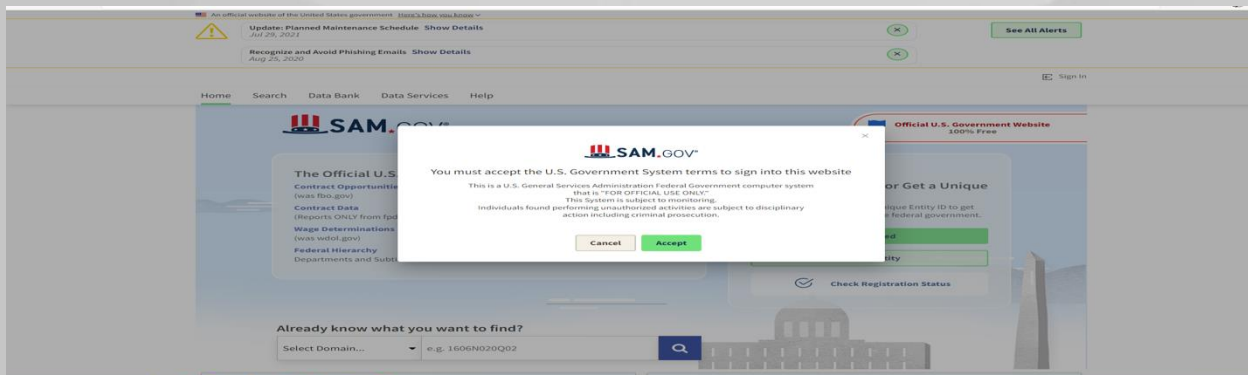
1. Go to: WWW.SAM.GOV

2. Click the “Sign In” button on top right corner



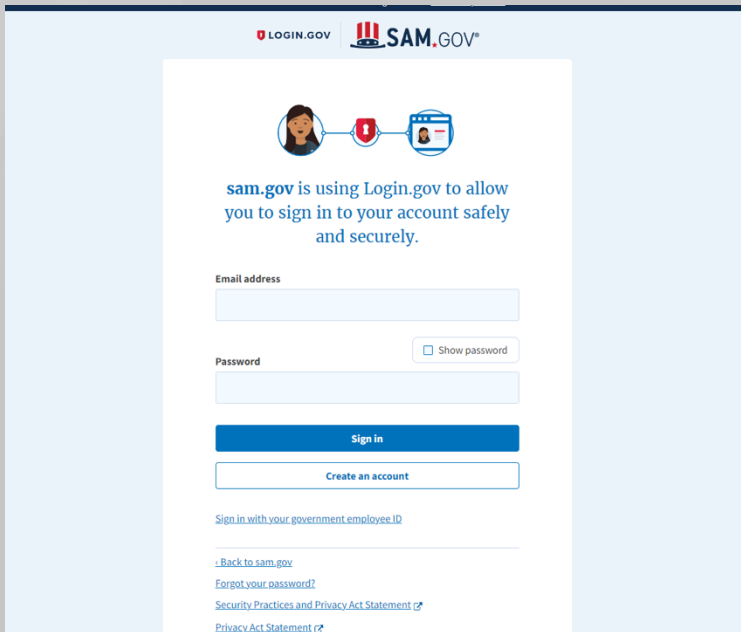
Sign In

3. A box will appear, Click “accept.”



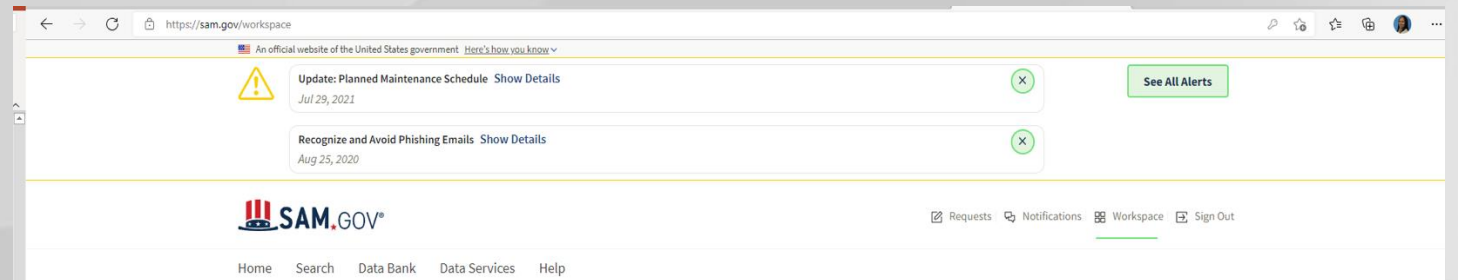
How to Retrieve Sam Verification

4. Sign in or Create an account



The screenshot shows the SAM.GOV login interface. At the top, there are logos for LOGIN.GOV and SAM.GOV. Below them is a graphic showing a person's profile, a red shield with an exclamation mark, and a computer monitor. Text below the graphic states: "sam.gov is using Login.gov to allow you to sign in to your account safely and securely." There are two input fields: "Email address" and "Password". The "Password" field has a "Show password" checkbox. Below the input fields are two buttons: "Sign in" (in blue) and "Create an account" (in white with a blue border). At the bottom, there are links for "Sign in with your government employee ID", "Back to sam.gov", "Forgot your password?", "Security Practices and Privacy Act Statement", and "Privacy Act Statement".

5. Navigate to the header menu of any page and select search



How to Retrieve Sam Verification

6. From the search page, navigate to the left-side bar. Select the “plus” icon to the right of the “select domain.”

- Select Entity Information and click all Entity Information

7. Under filter by check the “Any Words” box

8. Enter the applicable information (Company name, EIN # and principal names) in the Search box and press enter

The screenshot shows the search interface for the City of Houston's Housing and Community Development Department. The interface includes a search bar at the top with a dropdown menu set to "All Words" and a search button. Below the search bar, there is a left sidebar and a main content area.

Left Sidebar:

- Select Domain:** A dropdown menu with a plus icon to its right. A green arrow points to this plus icon with the label "Select".
- Entity Information:** A section with a blue border and a plus icon to its right. A green arrow points to this section with the label "Select".
- Entities:** A list of options including "Entities", "Disaster Response Registry", and "Exclusions".
- Filter By:** A section with a minus icon to its right.
- Keyword Search:** A section with a plus icon to its right. It contains a text input field with the placeholder text "e.g. 123456789, Smith Corp". A green arrow points to this input field with the label "Enter".
- Any Words:** A radio button option that is selected. A green arrow points to this option with the label "Check".
- Entity:** A dropdown menu.
- Location:** A dropdown menu.
- Entity Status:** A section with a plus icon to its right. It contains two radio button options: "Active" (selected) and "Inactive".

Main Content Area:

- Select Criteria:** A section with a back arrow icon and the text "Choose your filters and run your report to begin."

8/27/2021 SAM.gov | Search

An official website of the United States government
[Here's how you know.](#)

0

You have 2 new alerts
[Show / Hide Alerts](#)

Log Out

Search

Select Domain
+

Entity information

Entity Registrations

Disaster Response Registry

Exclusions

Filter By
—

Keywords

"ABC PLUMBING" x

Classification ▼

Excluded Entity ▼

Federal Organizations ▼

Exclusion Type ▼

Exclusion Program ▼

Locations ▼

Dates ▼

5/21/2021	S&B gov Search
CAGE Code [Blank]	
Physical Address P.O. Box 8458, Grove City, OH 43121 USA	
Exclusion	
Classification Special Entity Designation	
Activation Date Aug 8, 2018	
Termination Date Aug 7, 2021	
ABC Time Corp. Active	
DUNS Unique Entity ID 948026893	
SAM Unique Entity ID	
SFCM/JY8KNLE	
CAGE Code [Blank]	
Physical Address 262 West 25th St., 2nd Floor, New York, NY 10001 USA	
Exclusion	
Classification Firm	
Activation Date Apr 26, 1996	
Termination Date Indefinite	
ABC Eureka Medical Rentals Active	
DUNS Unique Entity ID 006748651	
SAM Unique Entity ID	
R4EVPMMZK88	
CAGE Code [Blank]	
Physical Address 1800 West 49th St., No. 115, Mialeah, FL 33026 USA	
Exclusion	
Classification Firm	
Activation Date Sep 21, 2000	
Termination Date Indefinite	
Endres Plumbing Corporation Active	
DUNS Unique Entity ID 792267937	

NOTE: If any exact match is identified, contractor, subcontractor, or lower-tier subcontractor will not be eligible to conduct any business on federal projects. Any partial matches would need to be verified by HCDD and additional information may be requested.

8/27/2021 SAM.gov | Search

An official website of the United States government
[Here's how you know](#)

You have 2 new alerts
 Show / Hide Alerts

e.g. 1606N020Q02.asphx

Select Domain Entity information +

- [Entity Registrations](#)
- [Disaster Response Registry](#)
- [Exclusions](#)

Filter By -

Keywords

Classification ▼

Excluded Entity ▼

Federal Organizations ▼

Exclusion Type ▼

Exclusion Program ▼

Location ▼

Dates ▼

https://sam.gov/search/indexes&page=1&sort=relevance&filter=status%3C%3Eactive%2F%3C%3Ekeywords%3C%3EASDCPLUMBING... 1/1

Proof of non-debarment from the state comptroller's office must be provided by prime contractors, subcontractors, suppliers, consulting firms and lower tiers.

Document must include date from website when search was conducted.

Do not manually write the date on the document

[home](#) » [purchasing](#) » [programs](#) » [vendor performance tracking](#)



DEBARRED VENDOR LIST

The following vendors shown below are debarred from doing business with the State of Texas, effective from the date of debarment for the length of time indicated. Whether they are listed below or not, the debarred vendors include the vendors' successors in interest as defined in Rule §20.102(b)(4).

Last updated: 11/18/21

Vendor ID Number	Vendor Name/Address	Date of Debarment	Length of Debarment
23075463	BRI Supply Inc 9332 N. 95th Way, STE B109 Scottsdale, AZ 85258	April 1, 2021	5 Years

[Download Debarred Vendor List](#) (PDF).

Federal Exclusion

Agencies and Texas Smartbuy members may wish to check the list of vendors excluded from doing business on the federal level. The [System for Award Management, or SAM](#), can be used as a resource for purchasing entities.

According to Statewide Procurement Division rules, other debarment activities from other entities may be considered as possible indicators of vendor responsibility.

Debarment Statute and Rules

Texas Government Code [§2155.077](#)

Texas Administrative Code: [34.TAC.20 Subchapter G](#)

Additional Resources

[Overview](#)

[Debarred Vendor List](#)

[Grading System](#)

[VPTS Grading System Example](#)

► [Statutes/Rules](#)

Vendors

[Success Criteria](#)

[Process/Protest](#)

[FAQs](#)

Agencies

[Roles and Responsibilities](#)

[Exemptions](#)

[FAQs](#)

[Tips for State Agencies](#)

How to Retrieve Debarred Vendor List

1. Go to: <https://comptroller.texas.gov/purchasing>
2. Scroll down to Procurement Resources and click “Search for CMBL/HUB Vendors.”

The screenshot shows the website **COMPTROLLER.TEXAS.GOV** with the name **Glenn Hegar**, Texas Comptroller of Public Accounts. The navigation bar includes links for HOME, TAXES, TRANSPARENCY, ECONOMY, **PURCHASING**, PROGRAMS, and ABOUT. A search bar is present with the text "Find" and "Enter a search term".

The main content area is titled **Purchasing** and includes a description of the Statewide Procurement Division. Below this, there are three columns of links:


- Procurement Resources** (indicated by a green arrow and the word "Click"):
 - Texas Procurement and Contract Management Guide
 - Publications and Forms
 - State Print Services
 - NIGP Commodity Book
 - Search for CMBL/HUB Vendors
 - Statutes and Procedures
 - Grant Management
- Training and Policy Development**:
 - Purchasing/Contract Development (CTCD)
 - Contract Manager (CTCM)
 - Certification
 - Continuing Education
 - Training and Policy Development FAQ
- SB20**:
 - Centralized State Purchasing Study
 - State Agency Contract Management Procedures
 - LBB Contracts Database

Social media icons for Facebook, Twitter, YouTube, Instagram, and Email are visible on the right side of the page.

How to Retrieve Debarred Vendor List

3. Click on the Debarred Vendors List on the left-hand side:

Click

Texas Comptroller of Public Accounts
Glenn Hegar

HomeContact USHelp

Search For Vendors

Related Links

[CMBL/HUB Directory Search Tips](#)

[Register For CMBL - HUB](#)

[HUB Mentor Protege Agreement Listing](#)

[System for Award Management \(EPLS\)](#)

[Debarred Vendors List](#)

[Vendor Performance Report Search](#)

Centralized Master Bidders List - HUB Directory Search

The **CMBL** is a master database used by State of Texas purchasing entities to develop a mailing list for vendors to receive bids based on the products or services they can provide to the State of Texas. Manufacturers, suppliers, and other vendors wishing to furnish materials, equipment, supplies, and services to the state should register for the CMBL to receive bidding opportunities.

The CMBL/HUB Directory Search is automatically defaulted to "CMBL Only" to perform a search for vendors, including Texas certified HUBs who have elected to register on the CMBL. Purchasing entities use NIGP Class and Item Codes within the "Multiple Vendor Search" feature to identify vendors who can provide the products or services they want to purchase, and to develop mailing lists of vendors to receive bids.

For detailed explanations of the various search and data output features (i.e., Search For, Single Vendor Search, Multiple Vendor Search, Business Category / Vendor Location Search, Select Fields For Output, Output Options) that may be used to create lists of potential vendors as well as retrieve detailed information on a specific vendor, click [CMBL/HUB Directory Search Tips](#).

SEARCH FOR

☒CMBL Only

☐HUBs Only

☐HUBs On CMBL

☐All Vendors

Expand All

SINGLE VENDOR SEARCH

MULTIPLE VENDOR SEARCH

BUSINESS CATEGORY / VENDOR LOCATION SEARCH

SELECT FIELDS FOR OUTPUT

OUTPUT OPTIONS

Search

Reset

How to Retrieve Debarred Vendor List

4. The Debarred vendor list will appear on the screen:

The screenshot shows a web browser window with the URL <https://comptroller.texas.gov/purchasing/programs/vendor-performance-tracking/debarred-vendors.php>. The page is titled "Purchasing" and "DEBARRED VENDOR LIST". It includes a breadcrumb trail: home > purchasing > programs > vendor performance tracking. The main content area explains that the following vendors are debarred from doing business with the State of Texas, effective from the date of debarment for the length of time indicated. It mentions that debarred vendors include the vendors' successors in interest as defined in Rule 520.102(b)(4). The last updated date is 11/18/21. A table lists the debarred vendors:

Vendor ID Number	Vendor Name/Address	Date of Debarment	Length of Debarment
23075463	BH Supply Inc 9332 N. 95th Way, STE B109 Scottsdale, AZ 85258	April 1, 2021	5 Years

Below the table, there is a link to "Download Debarred Vendor List (PDF)". The page also features a "Federal Exclusion" section, which states that agencies and Texas Smartbuy members may wish to check the list of vendors excluded from doing business on the federal level. The System for Award Management, or SAM, can be used as a resource for purchasing entities. According to Statewide Procurement Division rules, other debarment activities from other entities may be considered as possible indicators of vendor responsibility. The "Debarment Statute and Rules" section mentions Texas Government Code §2155.077 and Texas Administrative Code: 34.TAC.20 Subchapter G. On the right side, there is a "Additional Resources" section with links to Overview, Debarred Vendor List, Grading System, VPTS Grading System Example, Statutes/Rules, Vendors, Success Criteria, Process/Protest, FAQs, Agencies, Roles and Responsibilities, Exemptions, Tips for State Agencies, and a link to the City of Houston website.

5. "Ctrl + P" to print or save as PDF. Ensure that the date is on the list. (Note: Date does not appear on the download form, therefore, DO NOT use the Download link for the Debarred Vendor List)

6. Upload copy of the Debarred Vendor List into LCP tracker under "Annual Contractor Verification" document type.



DEBARRED VENDOR LIST

The following vendors shown below are debarred from doing business with the State of Texas, effective from the date of debarment for the length of time indicated. Whether they are listed below or not, the debarred vendors include the vendors' successors in interest as defined in Rule §20.102(b)(4).

Last updated: 11/18/21

Vendor ID Number	Vendor Name/Address	Date of Debarment	Length of Debarment
23075463	BRI Supply Inc 9332 N. 95th Way, STE B109 Scottsdale, AZ 85258	April 1, 2021	5 Years

[Download Debarred Vendor List](#) (PDF).

Federal Exclusion

Agencies and Texas Smartbuy members may wish to check the list of vendors excluded from doing business on the federal level. The [System for Award Management, or SAM](#), can be used as a resource for purchasing entities.

According to Statewide Procurement Division rules, other debarment activities from other entities may be considered as possible indicators of vendor responsibility.

Debarment Statute and Rules

Texas Government Code [§2155.077](#)

Texas Administrative Code: [34.TAC.20 Subchapter G](#)

Additional Resources

[Overview](#)

[Debarred Vendor List](#)

[Grading System](#)

[VPTS Grading System Example](#)

[► Statutes/Rules](#)

Vendors

[Success Criteria](#)

[Process/Protest](#)

[FAQs](#)

Agencies

[Roles and Responsibilities](#)

[Exemptions](#)

[FAQs](#)

[Tips for State Agencies](#)



Glenn Hegar
Texas Comptroller of Public Accounts



Debarred Vendor List

The following vendors shown below are debarred from doing business with the State of Texas, effective from the date of debarment for the length of time indicated. Whether they are listed below or not, the debarred vendors include the vendors' successors in interest as defined in Rule §20.102(b)(4).

Last updated: 11/18/21

Vendor ID Number	Vendor Name/Address	Date of Debarment	Length of Debarment
23075463	BRI Supply Inc 9332 N. 95th Way, STE B109 Scottsdale, AZ 85258	April 1, 2021	5 Years

[Download Debarred Vendor List](#) [comptroller.texas.gov/purchasing/docs/debarred-vendor-list.pdf].

Federal Exclusion

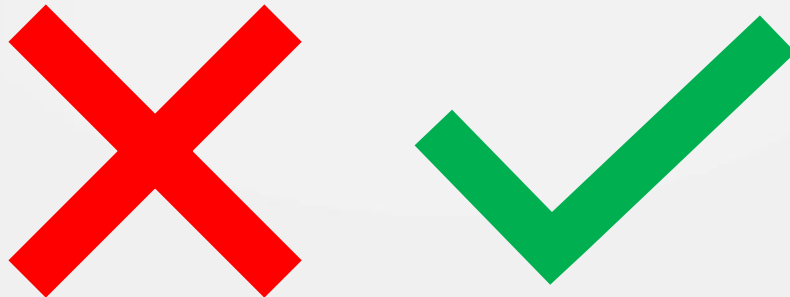
Agencies and Texas Smartbuy members may wish to check the list of vendors excluded from doing business on the federal level. The [System for Award Management, or SAM](#), can be used as a resource for purchasing entities.

According to Statewide Procurement Division rules, other debarment activities from other entities may be considered as possible indicators of vendor responsibility.

Debarment Statute and Rules

Texas Government Code [§2155.077](#)

Texas Administrative Code: [34.TAC.20 Subchapter G](#)



This form will help ensure full disclosure and no personal interests that violate program rules.

Document must include either a wet or electronic (cursive) signature.

Document must include a date.

Do not write in area below the blue line "For Program Staff Use Only".

CITY OF HOUSTON | HOUSING AND COMMUNITY DEVELOPMENT DEPARTMENT
CONFLICT OF INTEREST DISCLOSURE



COMPLETED BY BUSINESS ENTITIES

INFORMATION

Name of Organization:

Address:

DISCLOSURE

Is any employee, director, officer, or anyone else associated with your organization, or any of their immediate family member(s)*, currently or within the past year an employee, agent, consultant, officer, elected or appointed official, sub-recipient, or vendor of the City of Houston?

☐ Yes (see below) ☐ No

*Includes, whether by blood, marriage, or adoption: spouse, parent (including a stepparent), child (including a stepchild), sibling (including a step-sibling), grandparent, grandchild, and in-laws.

Please indicate the names, positions, and telephone numbers for each person applicable to the above question. Use additional forms as needed.

Name	Position and/or direct or indirect relationship with the City	Telephone Number

APPLICANT SIGNATURES

Warning: Any person who knowingly makes a false claim or statement to HUD may be subject to civil or criminal penalties under 18 U.S.C. 287, 1001 and 31 U.S.C. 3729. Under penalties of perjury, I/we certify that the information presented above is true and accurate to the best of my/our knowledge and belief. I/we further understand that providing false representations herein constitutes an act of fraud. False, misleading or incomplete information may result in my ineligibility to participate in this program or any other programs that will accept this document. Title 18, Section 1001 of the U.S. Code states that a person is guilty of a FELONY if he/she knowingly and willfully makes a false statement to any department of the United States Government. I/we understand that this application may be delayed or found ineligible if a conflict of interest is found to exist and no waiver is granted.

Name of Organization:

By:

Name:

Title:

Date:

FOR PROGRAM STAFF USE ONLY

Does applicant list a potential conflict of interest? ☐ Yes (Forward to PGM) ☐ No (STOP-process normally) _____
Initials and Date

THE CITY OF HOUSTON | HOUSING AND COMMUNITY DEVELOPMENT DEPARTMENT

CITY OF HOUSTON | HOUSING AND COMMUNITY DEVELOPMENT DEPARTMENT CONFLICT OF INTEREST DISCLOSURE



COMPLETED BY BUSINESS ENTITIES

INFORMATION

Name of Organization: Baldwin Lofts
Address: 5500 Baldwin Road, Houston, TX 11111

DISCLOSURE

Is any employee, director, officer, or anyone else associated with your organization, or any of their immediate family member(s), currently or within the past year an employee, agent, consultant, officer, elected or appointed official, sub-recipient, or vendor of the City of Houston?

☐ Yes (see below) ☒ No

*Includes, whether by blood, marriage, or adoption: spouse, parent (including a stepparent), child (including a stepchild), sibling (including a step-sibling), grandparent, grandchild, and in-laws.

Please indicate the names, positions, and telephone numbers for each person applicable to the above question. Use additional forms as needed.

Name	Position and/or direct or indirect relationship with the City	Telephone Number

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Name of Organization: Baldwin Lofts
By: Ruben Doe
Name: Ruben Doe
Title: Owner
Date: 1/12/2023

FOR PROGRAM STAFF USE ONLY

Does applicant list a potential conflict of interest? ☐ Yes (Forward to PCM) ☐ No (STOP process normally) Initials and Date



UNACCEPTABLE
FORM



ACCEPTABLE
FORM

CITY OF HOUSTON | HOUSING AND COMMUNITY DEVELOPMENT DEPARTMENT CONFLICT OF INTEREST DISCLOSURE



COMPLETED BY BUSINESS ENTITIES

INFORMATION

Name of Organization: Baldwin Lofts
Address:

DISCLOSURE

Is any employee, director, officer, or anyone else associated with your organization, or any of their immediate family member(s), currently or within the past year an employee, agent, consultant, officer, elected or appointed official, sub-recipient, or vendor of the City of Houston?

☐ Yes (see below) ☒ No

*Includes, whether by blood, marriage, or adoption: spouse, parent (including a stepparent), child (including a stepchild), sibling (including a step-sibling), grandparent, grandchild, and in-laws.

Please indicate the names, positions, and telephone numbers for each person applicable to the above question. Use additional forms as needed.

Name	Position and/or direct or indirect relationship with the City	Telephone Number

APPLICANT SIGNATURES

Warning: Any person who knowingly makes a false claim or statement to HUD may be subject to civil or criminal penalties under 18 U.S.C. 287, 1001 and 31 U.S.C. 3729. Under penalties of perjury, I/we certify that the information presented above is true and accurate to the best of my/our knowledge and belief. I/we further understand that providing false representations herein constitutes an act of fraud. False, misleading or incomplete information may result in my ineligibility to participate in this program or any other programs that will accept this document. Title 18, Section 1001 of the U.S. Code states that a person is guilty of a FELONY if he/she knowingly and willfully makes a false statement to any department of the United States Government. I/we understand that this application may be delayed or found ineligible if a conflict of interest is found to exist and no waiver is granted.

Name of Organization: Baldwin Lofts
By:
Name: Ruben Doe
Title:
Date: 1/12/2023

FOR PROGRAM STAFF USE ONLY

Does applicant list a potential conflict of interest? ☐ Yes (Forward to PCM) ☐ No (STOP process normally) Initials and Date



This form must be completed by the prime contractor, subcontractors, suppliers, and professional service providers as notice of commencement of work.

Document must include both the prime contractor and subcontractor name.

Document must include month, day and year when contractor scope of work has started.

Start of Work Notices submitted with the following language will be rejected in LCP Tracker:

- ☐ TBD
- ☐ Estimated
- ☐ January 2024

START OF WORK NOTICE



Instructions: This form must be completed by all businesses performing on the project and serves as notice of commencement of work to HCDD.

Contractor Information

Project Name: **Baldwin Lofts** Project Number:
Project Address: **5500 Baldwin Road, Houston, TX 11111**
Contractor Name: **Jones Construction**
Contract Agreement executed with: ☒ Prime ☐ Subcontractor ☐ Lower-tier Subcontractor
Start of Work Date: **1/20/2023**

Contractor Authorization

Name of Authorized Officer: **Ruben Doe**

SIGNATURE MAY BE PROVIDED BY ANY AUTHORIZED PARTY OF THE PRIME AND/OR SUBCONTRACTOR

Ruben Doe **1/19/2024**
Signature Date

- All contractors are responsible for submitting a Utilization Plan **prior** to the start of work.
- All contractors must submit a Utilization Plan once every month until termination of work.
- Prime contractors must include all subcontractors, suppliers, professional services, etc., on their monthly utilization plan who worked on the project for the reporting month.
- Subcontractors who hire lower tier contractors must include the subs on their monthly utilization plan if they worked on the project for the reporting month.

[illegible]

MWSBE UTILIZATION PLAN

[illegible]

MWSBE UTILIZATION PLAN

[illegible]

Contract Agreements

- A contract agreement and/or purchase order should be executed with every subcontractor, supplier and professional service provider including lower tier subcontractor participating on a project.
- A contract agreement and/or purchase order must include the following:
 - ☐ Scope of Work
 - ☐ Contract Amount
 - ☐ Signatures & Dates for Prime & Subcontractor
 - ☐ Address(es) of home(s) – Single Family
 - ☐ Mediation Clause

Mediation Clause

- ❑ Mediation is used to try to resolve differences between the prime and subcontractors and get the companies back to working together.
- ❑ Mediation can be initiated by either party or HCDD.

CITY OF HOUSTON CERTIFIED MWSBE SUBCONTRACTING AGREEMENT TERMS

Contractor shall ensure that all subcontracting agreements with M/WSBE Subcontractors and suppliers are clearly labeled **"THIS CONTRACT IS SUBJECT TO MEDIATION"** contain the following terms:

1. _____ (M/WSBE Subcontractor/Supplier) shall not delegate or subcontract more than 50% of the work under this subcontracting agreement to any other Subcontractor or supplier without the express written consent of the City of Houston's Office of Business Opportunity.
2. _____ (M/WSBE Subcontractor/Supplier) shall permit representatives of the City of Houston, at all reasonable times, to perform 1) audits of the books and records of the Subcontractor, and 2) inspections of all places where work is to be undertaken in connection with this subcontracting agreement. Subcontractor shall keep such books and records available for such purpose for at least four (4) years after the end of its performance under this subcontract. Nothing in this provision shall affect the time for bringing a cause of action or the applicable statute of limitations.
3. Within five (5) business days of execution of this subcontracting agreement, Contractor (prime contractor) and Subcontractor shall designate in writing to the Office of Business Opportunity an agent for receiving any notice required or permitted to be given pursuant to Chapter 15 of the Houston City Code of Ordinances, along with the street and mailing address and phone number of such agent.

These provisions apply to goal-oriented and regulated contracts as defined in City Code of Ordinances, Chapter 15, Article 5.

This form must be completed by the prime contractor, subcontractors, suppliers, and professional service providers as notice that work has been completed.

Document must include both the prime contractor and subcontractor name.

Document must include month, day and year when work has finished.

Termination of Work Notices submitted with the following language will be rejected in LCP Tracker:

- ☐ TBD
- ☐ Estimated
- ☐ January 2024

TERMINATION OF WORK NOTICE



Instructions: This form must be completed by all businesses performing on the project and serves as notice of completion of work to HCDD.

Contractor Information

Project Name: Project Number:

Project Address:

Contractor Name:

Contract Agreement executed with: ☒ Prime ☐ Subcontractor ☐ Lower-tier Subcontractor

Termination of Work Date:

Contractor Authorization

Name of Authorized Officer:

SIGNATURE MAY BE PROVIDED BY ANY AUTHORIZED PARTY OF THE PRIME AND/OR SUBCONTRACTOR

Signature

Date

- It is not a part of the MWSBE, Section 3 or Pay or Play programs.
- Monthly compliance documents are still required to be submitted for these program areas unless a termination of work is submitted.

**Work on Hold Notices
are only applicable to
DBRA.**

WORK ON HOLD NOTICE



Instructions: This form MUST be completed by the Prime Contractor and Subcontractor(s) who generate certified payroll reports and will not be working at the project site for more than 4 consecutive weeks. When work resumes, continue to number payrolls in sequential order from the last certified payroll report number. This form must be uploaded into LCP Tracker.

Prime Contractor Information

Project Name:
Project Address:
Prime Contractor/Subcontractor Name:
Prime Contractor/Subcontractor Address:
Exact or estimated date range that work is scheduled to be on hold:

Prime Contractor Authorization

Name of Authorized Officer:

Signature Title



Single Family Prime Contractor Requirements

- Must submit an executed contract agreement, Contract Coversheet, Utilization Plan (UP), Start of Work Notice and Termination of Work Notice for **every project address**;
- All contractor including lower tier subcontractors, suppliers, consulting firms, professional service providers, etc. are required to submit a monthly UP on **every address** by the end of every month.
- A Request for Contractor/Subcontractor Clearance form and SAM verification, Debarred Vendor List and Conflict of Interest form is required for all subcontractor, supplier, and professional service provider ONCE throughout program.
- If a contractor has not previously worked under this program and/or has not been verified through SAM.gov, verification records will be required to ensure the contractor is eligible to perform on federally funded projects.

Single Family Subcontractor Requirements Example

Contractor: ABC Company

1112
Lane
Road

- Compliance Coversheet
- Start of Work (SOW)
- Utilization Plans
- Contract/ PO Agreement
- Termination of Work

2221
Lane
Road

- Compliance Coversheet
- Start of Work (SOW)
- Utilization Plans
- Contract/PO Agreement
- Termination of Work

Document Provided Once/Annually

- ☐ Request for Clearance Form/
Sam Verification Results
- ☐ Debarred Vendor List
- ☐ Conflict of Interest Form

DEVIATION REQUEST

Deviation Request Requirements

- ☐ Work designated in your approved plan cannot be completed by any other subcontractor and/or supplier unless you receive permission from the Housing and Community Development Department.
- ☐ To deviate from the approved MWBE Participation Plan, the request must be submitted in writing to the assigned MWSBE compliance monitor stating your proposed change, the specific reason for removal and how you plan to meet your MWBE goal.
- ☐ A Deviation Request is only required to add or remove a certified MWSBE firm.
- ☐ The request should include reasons for the deviation; Who, What, When and Why.
- ☐ When removing a firm, a plan to achieve the impacted MWSBE goal is required.
- ☐ A deviation request does not reduce or increase the contract goal. The prime contractor is responsible for achieving the approved participation goal at the time of award.
- ☐ Prime contractor cannot replace a certified firm with a non-certified firm.

ONGOING MONITORING

Ongoing Monitoring

- Random site visits will be conducted to monitor project activities and contractor's participation.
- Compliance documents will be compared with information gathered from interviewing employees and site action.
- Documents submitted for reporting and monitoring purposes by all contractors will be reviewed for accuracy and compliance with requirements.
- The Prime Contractor will be notified of any items identified as non-compliant via email, by the 5th of every month.

Compliance Status Reports

Housing and Community Development - MWSBE Compliance Status Report (CSR) Month: March 2025 Project Name: HCD Apartments Project #: 460000000 Prepared by: Andres Melgoza Date: 4/1/2025		<div>Tickmark Legend:</div> <div>✓ - Compliant</div> <div>X - Non-compliant</div> <div>I - Item Incomplete (See Column W for comments)</div> <div>P/D - Past Due Item</div> <div>N/A - Not Applicable</div> <div>P/N - Pending Notification</div> <div> - Not Started on Project, Pending SOW</div> <div> - Not in B2G, Contract & Compliance Cover Sheet Req'd to be added</div>											
Prime Contractor													
Name	MWSBE Utilization Schedule	Contract Amount	Executed Contract Date	Compliance Cover Sheet	Contractors Clearance Form	SAM (Entity/Excl.) Results	Texas Comptroller Vendor Debarred List	Conflict of Interest Form	Start of Work Date	MWSBE Monthly Utilization Plan	Termination of Work Date	Comments / Response	
Housing & Community Development PRIME CONTRACTOR (General Construction)	✓	\$ 6,500,000.00	4/1/2024	✓	X	2.2024 2025	2.2024 2025	2.2024 2025	2/1/2024	2.2024 - 12.2024 1.2025 - 3.2025	P/N	1. Submit Request for Clearance Form with SAM Verification Results 2. Submit Vendor Debarred List. 3. Submit Conflict of Interest. 4. Submit January - March 2025 MWSBE Monthly UP	
Subcontractors													
Name		Contract Amount	Executed Contract Date	Compliance Cover Sheet	Contractors Clearance Form	SAM (Entity/Excl.) Results	Texas Comptroller Vendor Debarred List	Conflict of Interest Form	Start of Work Date	MWSBE Monthly Utilization Plan	Termination of Work Date	Comments / Response	
Andres Melgoza Const. (Carpentry)		\$ 850,000.00	5/1/2024	✓	✓	5.2024 3.2025	5.2024 3.2025	5.2024 3.2025	9/1/2024	9.2024 - 12.2024	12/1/2024	100% COMPLETE	
Harris County Plumbing (Plumbing)		\$ 650,000.00	8/6/2024	✓	✓	2.2024 2.2025	2.2024 2025	2.2024 2025	2/1/2024	2.2024 - 12.2024 1.2025 - 3.2025	P/N	1. Submit Vendor Debarred List. 2. Submit Conflict of Interest.	
Houston Plumbing (Plumbing) Lower-Tier Sub to Harris County Plumbing		X	X	X	X	X	X	X	X	X	P/N	1. Submit fully executed Subcontract Agreement including MWSBE Mediation Clause 2. Submit Compliance Cover sheet 3. Submit Request for Clearance Form with SAM Verification Results 4. Submit Vendor Debarred List. 5. Submit Conflict of Interest. 6. Submit Start of Work document 7. Submit MWSBE Monthly UP from Start of Work to Present ON SIGN IN SHEET 10/25/24	
Hosuton Rockets, LLC (Electrical)		\$ 500,000.00	1/1/2025	P/N	P/N	P/N	P/N	P/N	P/N	P/N	P/N	SUBMIT SOW WHEN WORK BEGINS	

Commercially Useful Function (CUF) Audits

- A CUF Audit is authorized by the City of Houston Code of Ordinances under Chapter 15, Article V, Section 15-84 (a).8.d.
- HCDD will perform CUF audits of certified firms to assess the level of credit the Prime Contractor should receive for the certified firm's performance. In determining whether a certified firm is performing a Commercially Useful Function, factors including but not limited to the following shall be considered:
 - Whether it is performing a real and actual service that is a distinct and verifiable element of the work called for in a contract.
 - Whether it has the skill and expertise to perform the work solely, for which it is being utilized and possesses all the necessary licenses.
 - Whether it is in the business of performing, managing, or supervising the work for which it has been certified and is being utilized.
 - Whether it is certified in the North American Industry Classification System (NAICS) code in which it is performing, and the firm is certified in that scope.

An audit will be conducted on each certified firm to ensure contractors are performing in the NAICS code of their certification, using their own forces. Credits are being applied according to their actual performance on the project.

CONTRACTOR PERFORMANCE

Compliance Red Flags

- Prime Contractor fails to meet MWBE goal requirements and does not demonstrate acceptable Good Faith Efforts.
- Prime Contractor fails to submit required compliance documents.
- Prime Contractor fails to review and/or submit accurate compliance documents for subcontractors and suppliers.
- Prime Contractor fails to complete monthly payments audits in B2G Now.
- Prime Contractor fails to submit a deviation request to remove goal credit firms.
- Prime Contractor fails to comply with program requirements.

Substantial Non-Compliance

Payment Withholding

If contractors fail to comply with program requirements, the Compliance Monitor may recommend withholding of payment draws.

Termination of Contract

If Contractor(s) fail to comply with the terms of the contract documents, HCDD may temporarily suspend/terminate the contract at any time.

Suspension, Debarment, Suspension, or Limited Denial of Participation

Upon termination, HCDD may also include Contractor(s) on Nationwide Debarred and Suspended List of Contractors.

PENDING CLOSEOUT PROJECT ACTIVITIES

Pending Closeout Project

- When site activities are completed under contract terms, contractors should submit a Termination of Work Notice.
- The final payment in B2GNow should also be marked “final.”
- Retainage payments must be entered in B2G by contractors with the total amount of retainage being held.
- A project CANNOT be closed with any “Outstanding” compliance audits. Outstanding audits are a result of unconfirmed payments, unreported payments and payment discrepancies.

Compliance Audit List

Period	Status	Paid To Prime	Total Lines	Reported By Prime		Not Reported By Prime	Confirmed By Sub		Not Confirmed By Sub	
				Lines	Amount		Lines	Amount	Lines	Amount
ALS		\$1,353,158	429	392	\$2,860,937	37	304	\$2,551,284	88	\$309,653
2019		Not reported	36	0	\$0	36	0	\$0	0	\$0
2019		Not reported	36	35	\$296,992	1 past due	20	\$187,256	15	\$109,737
2018		Not reported	35	35	\$353,215	0	23	\$300,524	12	\$52,691
2018		Not reported	31	31	\$335,321	0	24	\$287,711	7	\$47,610
2018		\$96,368	31	31	\$565,001	0	24	\$508,085	7	\$56,915
2018		Not reported	30	30	\$3,251	0	22	\$3,251	8	\$0
2018		\$229,770	37	37	\$222,169	0	27	\$192,433	10	\$29,735
2018		\$239,605	34	34	\$255,756	0	26	\$242,792	8	\$12,964
2018		\$122,380	27	27	\$205,693	0	23	\$205,693	4	\$0
2018		Not reported	26	26	\$295,586	0	23	\$295,586	3	\$0
2018		\$92,245	23	23	\$98,883	0	19	\$98,883	4	\$0
2018		\$367,196	16	16	\$124,581	0	13	\$124,581	3	\$0
2018		\$88,485	14	14	\$104,489	0	12	\$104,489	2	\$0
2018		\$85,527	10	10	\$0	0	8	\$0	2	\$0
2017		Not reported	9	9	\$0	0	7	\$0	2	\$0
2017		Not reported	4	4	\$0	0	3	\$0	1	\$0
2017		Not reported	2	2	\$0	0	2	\$0	0	\$0
2017		Not reported	2	2	\$0	0	2	\$0	0	\$0
2017		Not reported	2	2	\$0	0	2	\$0	0	\$0
2017		Not reported	2	2	\$0	0	2	\$0	0	\$0
2017		Not reported	2	2	\$0	0	2	\$0	0	\$0
2017		Not reported	2	2	\$0	0	2	\$0	0	\$0
2017		\$31,582	2	2	\$0	0	2	\$0	0	\$0
2017		Not reported	2	2	\$0	0	2	\$0	0	\$0
2017		Not reported	2	2	\$0	0	2	\$0	0	\$0

Project Close Out & Evaluation

A Closeout evaluation consists of evaluating the Prime Contractor MWBE goal and compliance with program requirements.

Subcontractors' performance may impact evaluation ratings of the Prime Contractor.

Resource Links

24 CFR 85.36 Federal Procurement

➤ <https://www.hud.gov/sites/documents/24CFR85-36PROC.PDF>

Chapter 15 Article V of the City of Houston Code of Ordinances

➤ https://library.municode.com/tx/houston/codes/code_of_ordinances?nodeId=COOR_CH15_CO_ARTVMIWOSMBUEN

City of Houston Good Faith Efforts Policy

➤ <http://www.houstontx.gov/obo/docsandforms/goodfaithefforts.pdf>

Comments & Questions





2100 TRAVIS STREET, 9TH FLOOR
HOUSTON, TEXAS 77002
832-394-6200 | www.houstontx.gov/housing





SECTION 3 BUSINESS CONCERNS

SECTION 3

Accelerate your economic opportunities federally funded projects by obtaining the Section 3 Business Concern and/or Section 3 Worker certification.

HCD - Section 3 Management System (gob2g.com)

SECTION 3 Worker Application (arcgis.com)



BENEFITS OF CERTIFICATION

Amplify – Scale – Evolve Section 3 Business Concern or Worker

Significantly enhance a contractor's ability to win HUD-funded projects.

Gain preference on federally funded projects.

Contracting Goals

- 10% of the construction budget must be directed to Section 3 Business Concerns
- 3% of the non-construction budget must be directed to Section 3 Business Concerns

Employment Goals

- 30% of all "new" employment opportunities must be directed to Section 3 Workers.

New Labor Hour Goals

- 25% of all labor hours performed must be by Section 3 Workers; and 5% of all labor hours performed must be by Section 3 Targeted Workers.

Mobile Unit

On site certification is offered for Workers and Businesses. The Section 3 Mobile Unit aim is designed to help federally funded projects increase their targeted Section 3 Worker certifications and Labor hours. Additionally, sub-contractors can begin their Section Business Concern application.

