
HARRIS COUNTY HOUSING AUTHORITY
8933 Interchange Houston, Texas 77054 | 713.669-4514 P|

AMENDMENT OF SOLICITATION

AMENDMENT # 1 – REQUEST FOR BIDS
FOR
THE RETREAT AT WESTLOCK

DATE: 07-22-15
(Original Signed)

ISSUED BY: HORACE ALLISON, AIA, Chief Development Officer

AMENDMENT TO SOLICITATION: Request for Bids for the Retreat at Westlock

THE DATE AND TIME SPECIFIED FOR RECEIPT OF THE BID(S) IS CHANGED: July 30, 2015, 10:00 AM.

THE SOLICITATION MENTIONED ABOVE IS AMENDED AS SET FORTH ABOVE AND BELOW. PROPOSERS MUST ACKNOWLEDGE RECEIPT OF THIS AMENDMENT PRIOR TO THE HOUR AND DATE SPECIFIED FOR RECEIPT OF PROPOSALS BY SIGNING THIS FORM BELOW AND INCLUDE THE AMENDMENT WITH THE BIDDER'S BID SUBMITTAL.

DESCRIPTION OF AMENDMENT:

Item 1: Cast In Place Concrete 03 30 00

Part 2 Products, 2.2 Materials, N. Miscellaneous Materials and Accessories, 5 Underslab (Vapor Barrier), a. Approved Manufacturers/Products: ***Is changed to include "Viper Vaporcheck II 10 mil "Class A" Vapor Barrier" as an approved manufacturer/product.***

Item 2: Architectural Sheets A-1.10, A-2.10 thru A-2.14, "Accessibility Notes"

Delete Note 1 and Insert the following: "Note 1. All units noted as "HC" on plans are accessible or adaptable (min 5% of total units - see site tabulation for amount)

and shall meet the requirements of the 2010 ADA Standards with the 11 HUD exceptions as required by TDHCA. An additional 2% of the total dwelling unit count shall be accessible for persons with hearing or vision impairments (noted as "VH" on plans). All multifamily units shall meet the Fair Housing Act. The Leasing Center and related site amenity spaces are covered by 2010 ADA, Fair Housing Act Design Manual and ANSI A117.1 (1986) as referenced by the Fair Housing Act Design Manual.

Item 6: Instructions to Bidders 00 00 20, 1. Preparation of Bid is changed to include the additional instructions and the forms to be submitted with bid(s):

- a. Additional Instructions: *All contractor(s) shall access "<https://www.sam.gov/portal/SAM/#1> and <http://sdnsearch.ofac.treas.gov/default.aspx>, to check that they are not prohibited from working on federally funded projects and that they have not been debarred. All contractors must print out the form(s) from the sites showing that they are not prohibited from working on a federally funded project, have not been debarred and submit this evidence (printed form) with their bid(s).*
- b. All contractor(s) must submitted the following additional documents with their bid(s) (see attached forms):

Statement of Bidders Qualifications

Certification of Bidder Regarding Civil Rights Laws and Regulations

Policy of Non-Discrimination on the Basis of Disability

Contractor Certification Concerning Standards and Prevailing Wage Requirements

Non-Collusion Affidavit of Prime Bidder

Attorney's Review Certification

Section3-Employment and Minority Business Plan

Contractor Certification of Effort to Fully Comply with Employment and Training Provisions of Section 3

Certification for Business Concerns Seeking Section 3 Preference

Section 3 Resident Employment Opportunity Data Eligibility Preference

Section 3 Income Limits

Certification for Contracts, grants, Loans and Cooperative Agreements

Contractor Local Opportunity Plan

General/Subcontractor Profile

Bidder/Respondent _____
Name

Date: _____.

Signature

STATEMENT OF BIDDER'S QUALIFICATIONS

All questions must be answered and the data given must be clear and comprehensive. This statement must be notarized. If necessary, questions may be answered on separate attached sheets. The Bidder may submit any additional information he desires.

Name of Bidder: _____ Date Organized: _____

Address: _____ Date Incorporated: _____

Number of Years in contracting business under present name: _____

CONTRACTS ON HAND:

Contract	Amount \$	Completion Date
----------	-----------	-----------------

_____	_____	_____
_____	_____	_____
_____	_____	_____

Type of work performed by your company: _____

Have you ever failed to complete any work awarded to you? _____

Have you ever defaulted on a contract? _____

List the projects most recently completed by your firm (include project of similar importance):

Project	Amount \$	Mo/Yr Completed
---------	-----------	-----------------

_____	_____	_____
_____	_____	_____
_____	_____	_____

Major equipment available for this contract: _____

Attach resume(s) for the principal member(s) of your organization, including the officers as well as the proposed superintendent for the project.

Credit available: \$ _____ Bank reference: _____

The undersigned hereby authorizes and requests any person, firm, or corporation to furnish any information requested by the _____ in verification of the recitals comprising this Statement of Bidder's Qualifications.

Executed this _____ day of _____, 20____.

By: (signature) _____ Title: _____

(print name) _____

U.S. Department of Housing and Urban Development

CERTIFICATION OF BIDDER REGARDING CIVIL RIGHTS LAWS AND REGULATIONS

INSTRUCTIONS

CERTIFICATION OF BIDDER REGARDING Executive Order 11246 and Federal Laws Requiring Federal Contractor to adopt and abide by equal employment opportunity and affirmative action in their hiring, firing, and promotion practices. This includes practices related to race, color, gender, religion, national origin, disability, and veterans' rights.

NAME AND ADDRESS OF BIDDER (include ZIP Code)

CERTIFICATION BY BIDDER

Bidder has participated in a previous contract or subcontract subject to Civil Rights Laws and Regulations.

☐ Yes

☐ No

The undersigned hereby certifies that:

☐ The Provision of Local Training, Employment, and Business Opportunities clause (Section 3 provision) is included in the Contract. A written Section 3 plan (Local Opportunity Plan) was prepared and submitted as part of the bid proceedings (if bid equals or exceeds \$100,000).

☐ The Non Segregated Facilities clause (Section 109 provision) is included in the Contract. No segregated facilities will be maintained as required by Title VI of the Civil Rights Act of 1964.

☐ The Equal Employment Opportunity clause is included in the Contract (if bid equals or exceeds \$10,000).

☐ The Affirmative Action for Handicapped Workers clause is included in the contract.

Have you ever been or are you being considered for sanction due to violation of Executive Order 11246, as amended?

☐ Yes

☐ No

NAME AND TITLE OF SIGNER (Please type)

SIGNATURE

DATE

SECTION 504 CERTIFICATION

POLICY OF NONDISCRIMINATION ON THE BASIS
OF DISABILITY

The _____ does not discriminate on the basis of disability in the admission or access to, or treatment or employment in, its federally assisted programs or activities.

(Name) _____

(Address) _____

City State Zip

Telephone Number () _____ Voice
() _____ TDD

has been designated to coordinate compliance with the nondiscrimination requirements contained in the Department of Housing and Urban Development's (HUD) regulations implementing Section 504 (24 CFR Part 8, dated June 2, 1988).

(d) The names and addresses of all other persons having a substantial interest in the undersigned, and the nature of the interest are:

NAME	ADDRESS	NATURE OF INTEREST

(e) The names, addresses and trade classifications of all other bldg construction contractors in which the undersigned has a substantial interest are:

NAME	ADDRESS	TRADE CLASSIFICATION

(Contractor)

Date _____

By _____

NONCOLLUSION AFFIDAVIT OF PRIME BIDDER

State of _____)

County of _____)

_____, being first duly sworn, deposes and says that:

(1) He is _____ of _____ the Bidder that has submitted the attached Bid;

(2) He is fully informed respecting the preparation and contents of the attached Bid and of all pertinent circumstances respecting such Bid;

(3) Such Bid is genuine and is not a collusive or sham Bid;

(4) Neither the said Bidder nor any of its officers, partners, owners, agents, representatives, employees or parties in interest, including this affiant, has in any way colluded, conspired, connived or agreed, directly or indirectly with another Bidder, firm or person to submit a collusive or sham Bid in connection with the Contract for which the attached Bid has been submitted or to refrain from bidding in connection with such Contract, or has in any manner, directly or indirectly, sought by agreement or collusion or communication or conference with any other Bidder, firm or person to fix the price or prices in the attached Bid or of any other Bidder, or to fix an overhead, profit or cost element of the Bid price or the Bid price of any other Bidder, or to secure through any collusion, conspiracy, connivance or unlawful agreement any advantage against the _____ (Local Public Agency) or any person interested in the proposed Contract; and

(5) The price or prices quoted in the attached Bid are fair and proper and are not tainted by any collusion, conspiracy, connivance or unlawful agreement on the part of the Bidder or any of its agents, representatives, owners, employees, or parties in interest, including this affiant.

(Signed) _____

Title

Subscribed and sworn to me this _____ day of _____

By: _____
Notary Public

My commission expires _____

ATTORNEY'S REVIEW CERTIFICATION

I, the undersigned, _____, the duly authorized and acting legal representative of the _____, do hereby certify as follows:

I have examined the attached contract(s) and surety bonds and am of the opinion that each of the agreements may be duly executed by the proper parties, acting through their duly authorized representatives; that said representatives have full power and authority to execute said agreements on behalf of the respective parties; and that the agreements shall constitute valid and legally binding obligations upon the parties executing the same in accordance with terms, conditions and provisions thereof.

Attorney's signature: _____ Date: _____

Print Attorney's Name: _____

SECTION 3 - EMPLOYMENT AND MINORITY BUSINESS PLAN

As specified in Sections 4.2, 4.3 and 4.5 of the HUD bid specifications, all contractors and subcontractors (whose contract amount exceeds a threshold of \$100,000) are required to submit a complete Plan detailing employment, as well as economic opportunities for small business enterprises, and to minority, women-owned, Section 3 residents and business concerns (S/M/W/ Section 3 business enterprises). This Plan is due within five (5) working/business days after being notified as the apparent low bidder. Failure to submit this Plan will render your bid as non-responsive.

Section 3 is a provision of the Housing and Urban Development (HUD) Act of 1968 that helps foster local economic development, neighborhood economic improvement, and individual self-sufficiency. The Section 3 program requires that recipients of certain HUD financial assistance, to the greatest extent feasible, provide job training, employment, and contracting opportunities for low or very low income residents in connection with projects and activities in their neighborhoods.

I. Contract Information

Project Name:	
Project Number:	
Wage Decision Number:	
Contract Amount:	\$

II. Contractor/Subcontractor Information

Name of Contractor/Subcontractor:	
Address:	
Contact Person/ Tel No.:	
Contractor/Subcontractor's Federal Tax ID No.:	
Contractor/Subcontractor's DUNS No.:	
Names of three (3) Corporate Officers, if applicable:	
1.	
2.	
3.	
Total Number of Employees:	

III. Employment Projections

Table 1 below captures data on the contractors/subcontractor's *good faith effort* (numeric goal) to employ minorities, women, Section 3 and project area residents. Include additional rows and/or pages as needed.

Table 1. Employment Projections for Minorities, Women, Section 3 Residents , and Project Area Residents					
Project Numeric Goals					
Job Category	Total Needed to be Hired	Minorities	Women	Section 3 Residents	Project Area Residents
Para-professionals/ Technicians					
Professionals					
Office/Clerical					
Construction by Trade:					
1. Laborers					
2. Mechanics (specify trade)					
3. Apprentices/ Trainees (specify trade)					
4. Add rows as needed					

NOTE: Section 3 Resident Certifications must be attached to this Plan, or forwarded to this office as soon as they become available during the contract time for this project. All forms and certificates must be in their original form; copies will not be accepted.

IV. Subcontracting Projections

Table 2 below captures data on the contractors/subcontractor's *good faith efforts* (numeric goal) in providing contracting opportunities to S/M/W/Section 3 businesses and project area firms.

Table 2. Subcontracting Projections for Minority, Women-Owned, Section 3 Business and Project Area Businesses						
Project Numeric Goals						
Construction By Trade Category	Total Subcontractors Needed to be Hired	Business Category (please check all that apply)				
		Small Business (SBE)	Minority- owned Business (MBE)	Women- owned Business (WBE)	Section 3 Business (Section3 BE)	Project Area Business
1. Electrical						
2. Plumbing						
3. Concrete						
4. Carpentry						
5. HVAC						
6. Other (specify)						
7. Add rows and/or pages, if needed						

NOTE: Section 3 Business Certifications must be attached to this Plan, or forwarded to this office as soon as they become available during the contract time for this project. All certificate forms must be in their original form; copies will not be accepted.

V. List of Subcontractors

List all proposed subcontractors in the format prescribed in Table 3 below. Add rows or pages as needed.

Table 3. Subcontractor Information

Business Legal Name	Trade Category	Name of Contact	Address	Tel & Fax No.	FED Tax ID	Business Category ¹	Estimated Contract Amount
1.	Electrical						\$
2.	Plumbing						\$
3.	Concrete						\$
4.	Carpentry						\$
5.	HVAC						\$
6.	Other(specify)						\$
7. Add rows, if needed	Other Specity)						\$
8.							\$
9.							\$
10.							\$
11.							\$
12.							\$
13.							\$
14.							\$
15.							\$

¹ Indicate if subcontractor is a SBE, MBE, WBE, Section 3 BE, Project Area BE, or all or a combination.

NOTE: Section 3 Business Certifications must be attached to this Plan, or forwarded to this office as soon as they become available during the contract time for this project. All forms and certificates must be in their original form; copies will not be accepted.

VI. Outreach Efforts

Contractors/Subcontractors are required to conduct outreach to minority, women, Section 3 residents, Section 3 business concerns, and project area residents and businesses informing them of employment and contracting opportunities for this contract. Evidence of *good faith effort* solicitations includes a combination of the following outreach methods. Adequate back-up documentation must be attached to this Plan for each method used.

Mark all that apply:

- ☐ Newspaper Advertisements
- ☐ Minority Media
- ☐ Trade Association Publications
- ☐ Postings of job openings at local community centers, public libraries, city hall.
- ☐ Other Government Publications
- ☐ Internet & Web Postings
- ☐ Direct Contact by Phone, Fax, Mail outs
- ☐ Meetings & Conferences

VII. Good Faith Effort Certification

I understand that it is my responsibility to comply with all federal, state and local regulations and guidance in the identification, inclusion and utilization of S/M/W/Section 3 business enterprises and M/W/Section 3 individuals in procurement efforts. I certify that I will make a *good faith effort* to afford opportunities for S/M/W/Section 3 business enterprises and to M/W/ Section 3 individuals by:

1. Including qualified S/M/W/Section 3 business enterprises and qualified M/W/Section 3 individuals.
2. Soliciting potential S/M/W/Section 3 business enterprises and potential M/W/Section 3 individuals.
3. Reducing subcontract size/ quantities, when economically feasible, to permit maximum participation by S/M/W/Section 3 business enterprises.
4. Establishing delivery schedules to encourage participation by S/M/W/Section 3 business enterprises.
5. Using the services and assistance of the Small Business Administration, Minority Business Development Agency, U.S. Department of Commerce, Texas Marketplace, and other relevant entities.

I do declare and affirm that the contents of the foregoing are true and correct, and will furnish subsequent documentation, which will attest to its accuracy.

President/Owner Name (Please Print)

Signature

Date: _____

Instructions to Complete the Employment and Minority Business Plan

Employment Projections

Indicate the number of employees per job category, which will have to be hired for this contract, including numeric goals for hiring within project area residents, minority, female employees, and Section 3 residents. The minimum numerical goals are 30% of new full-time hires annually (i.e. 1 out of 3 new hires). Job categories are defined as follows:

Para-professional/ Professionals/ Managers/ Clerical – includes occupations requiring college background knowledge, policy and decision-making skills, and clerical work, respectively; examples include draftsman, architects, engineers, accountants, managers, administrative assistants, clerical and office support.

Laborer – includes occupations (hourly workers) engaging in manual work requiring no special training; examples include, but are not limited to gardeners, laborers, cleaners.

Mechanic – includes occupations requiring a high level skill, including occupations requiring combination of basic scientific knowledge and manual skills; examples include, but are not limited to carpenters, electricians, plumbers, cement masons, iron workers, etc.

Apprentice/Trainee – includes persons engaging in a training program to learn a trade or craft.

Subcontracting Projections

Indicate the total number of subcontractors by work/ trade category (i.e., plumbing electrical, concrete, etc.), which will be needed to complete this contract. The minimum numerical goals are:

- 10% of total amount of all Section 3 covered contracts for building trades work and;
- 3% of the total dollar amount to all other contracts, such as professional service contracts.

See below for definitions of small, minority-owned, women-owned businesses, Section 3 business interest, and Section 3 resident.

- *Small business:* CSD uses the definition used by the Small Business Administration (SBA). Therefore, the Small Business Act states that a small business concern is “one that is independently owned and operated and which is not dominant in its field or operation.” The law also states that in determining what constitutes a small business, the definition will vary from industry to industry to reflect industry differences accurately. SBA’s Small Business Size Regulations implement the Small Business Act’s mandate to SBA. SBA has also established a table of size standards, matched to North American Industry Classification System (NAICS) industries. For additional information please visit the <http://www.sba.gov/>.
- *Minority or women owned business:* For the purposes of these requirements, a minority business enterprise represents a firm owned and controlled by one or more minorities or women (51% or more), and meet the following criteria:

1. Minority groups members who are Black Americans, Hispanic Americans, Native Americans, Asian-Pacific Americans, Asian-Indian Americans and any other minorities or individuals found to be disadvantaged by the Small Business Administration (SBA);
 2. Must be an independent business;
 3. Ownership and control by minorities or women shall be real, substantial, and continuing and shall go beyond proforma ownership of the term as reflected in its ownership documents; and
 4. Must be a small business as defined by SBA.
- o *Section 3 business interests:* A Section 3 business interest is a business that meets the following criteria:
 - The business is 51% or more owned by Section 3 residents; or
 - Whose permanent, full-time workforce includes persons, at least 30% of whom are currently qualified Section 3 residents, or within three (3) years of the date of first employment with the business were Section 3 residents; or
 - Commits to subcontractor in excess of 25% of its total subcontracting to Section 3 companies.
 - o *Section 3 resident:* A Section 3 resident is a person that meets the income eligibility guidelines for low and very low income as published by the U.S Government. See Table 4 below for the Median Family Income Limits.

Outreach Efforts

Appropriate back up documentation, including but not limited to copies of printed advertisements (newspapers, trade publications, and etc.), copies of job postings, copies of faxes and mail outs, and copies of internet postings must be attached to this Plan. Any subsequent documentation must be forwarded to this office as soon as they become available during the course of this project.

Additional Resources

The following list, which may not be all inclusive, is intended to assist contractor/subcontractor's to identify, include, and utilize minority, women-owned and Section 3 business enterprises in implementing the subject contract.

The City of Houston – Minority, Women-owned, and Disadvantage Business Enterprise Directory – http://houston.mwdbe.com/FrontEnd/VendorSearchPublic.asp?TN=Houston_Diversity

Small Business Administration's Dynamic Small Business Search – <http://dsbs.sba.gov/>
SBA-DSBA is an Internet-based system that allows contractors/subcontractors to search for small, minority and women-owned businesses in their area.

Small Business Administration's (SBA) Sub-Net – <http://web.sba.gov/subnet>
Sub-Net is an Internet-based system that allows contractors/subcontractors to post their procurement opportunities online. Access to the database is free to government agencies and Contractors/Subcontractors, and is an excellent source for soliciting, small, minority, women business enterprises.

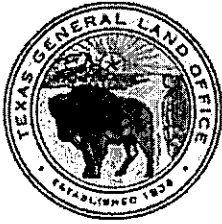
Women Contractor Association – <http://www.womencontractors.org/>
Located in Houston, this organization provides contractors/subcontractors with resources to identify, include and utilize women-owned businesses.

Houston Citizen's Chamber of Commerce – <http://www.hccoc.org/>

INCOME LEVELS	HOUSEHOLD SIZE							
	1	2	3	4	5	6	7	8
Extremely Low Income (Limits based on 0-30% of area median income)	14,600	16,650	20,090	24,250	28,410	32,570	36,730	40,890
Very Low Income (Limits based on 31-50% of area median income)	24,300	27,750	31,200	34,650	37,450	40,200	43,000	45,750
Low Income (Limits based on 51-80% of area median income)	38,850	44,400	49,950	55,450	59,900	64,350	68,800	73,200

Source: U.S. Department of Housing and Urban Development, March 6, 2015.

Grantee/Subrecipient:
Include this document in all applicable bid packets.



Texas General Land Office
Community Development Block Grant (CDBG)
Disaster Recovery Program

**Contractor Certification of Efforts to Fully Comply
with Employment and Training Provisions of Section 3**

Economic Opportunities for Low and Very Low-Income Persons

THE BIDDER REPRESENTS AND CERTIFIES AS PART OF ITS BID/OFFER THAT IT:

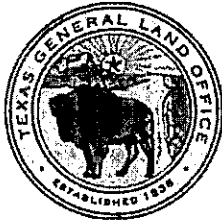
<input type="checkbox"/> Is a Section 3 Business Concern. A Section 3 Business Concern means a business concern: 1. That is 51% or more owned by Section 3 Resident(s); or 2. Whose permanent, full-time employees include persons, at least 30% of whom are currently Section 3 Residents, or 3. That provides evidence of a commitment to subcontract in excess of 25% of the dollar value of all subcontracts to be awarded to Section 3 Business Concerns, that meet the qualifications set forth in paragraphs 1 or 2 herein.
<input type="checkbox"/> Is NOT a Section 3 Business Concern, but who has and will continue to seek compliance with Section 3 by certifying the following efforts to be undertaken.
EFFORTS TO AWARD SUBCONTRACTOR TO SECTION 3 CONCERNS (Check ALL that apply)
<input type="checkbox"/> By contacting business assistance agencies, minority contractors associations and community organizations to inform them of the contracting opportunities and requesting their assistance in identifying Section 3 businesses which may solicit bids for a portion of the work.
<input type="checkbox"/> By advertising contracting opportunities by posting notices, which provide general information about the work to be contracted and where to obtain additional information, in the common areas of the applicable development(s) owned and managed by the Housing Authority.
<input type="checkbox"/> By providing written notice to all known Section 3 Business Concerns of contracting opportunities. This notice should be in sufficient time to allow the Section 3 Business Concerns to respond to bid invitations
<input type="checkbox"/> By following up with Section 3 Business Concerns that have expressed interest in the contracting opportunities.
<input type="checkbox"/> By coordinating meetings at which Section 3 Business Concerns could be informed of specific elements of the work for which subcontract bids are being sought.
<input type="checkbox"/> By conducting workshops on contracting procedures and specific contracting opportunities in a timely manner so that Section 3 Business Concerns can take advantage of contracting opportunities.
<input type="checkbox"/> By advising Section 3 Business Concerns as to where to seek assistance to overcome barriers such as inability to obtain bonding, lines of credit, financing, or insurance and aiding Section 3 Businesses in qualifying for such bonding, financing, insurance, etc....
<input type="checkbox"/> Where appropriate, by breaking out contract work into economically feasible units to facilitate participation by Section 3 businesses.
<input type="checkbox"/> By developing and using a list of eligible Section 3 Business Concerns.
<input type="checkbox"/> By actively supporting and undertaking joint ventures with Section 3 Businesses.
EFFORTS TO PROVIDE TRAINING AND EMPLOYMENT TO SECTION 3 RESIDENTS
<input type="checkbox"/> By entering into a "first source" hiring agreements with organizations representing Section 3 Residents.
<input type="checkbox"/> By establishing training programs, which are consistent with the requirements of the Department of Labor, specifically for Section 3 Residents in the building trades.
<input type="checkbox"/> By advertising employment and training positions to dwelling units occupied by Category 1 and 2 residents.
<input type="checkbox"/> By contacting resident councils and other resident organizations in the affected housing development to request assistance in notifying residents of the training and employment positions to be filled.
<input type="checkbox"/> By arranging interviews and conducting interviews on the job site.
<input type="checkbox"/> By undertaking such continued job training efforts as may be necessary to ensure the continued employment of Section 3 Residents previously hired for employment opportunities.
<input type="checkbox"/> By posting job vacancies in Work-In-Texas or with my local Workforce Solutions Center.

Contractor Name/Business Name:

Date:

Authorized Representative Name:

Signature:



Texas General Land Office
Community Development Block Grant (CDBG)
Disaster Recovery Program

CERTIFICATION FOR BUSINESS CONCERNS
Seeking Section 3 Preference in Contracting and
Demonstration of Capability

Economic Opportunities for Low and Very Low-Income Persons

Grantee/Subrecipient:

Contract Number:

Date:

CONTRACTOR INFORMATION

Name of Business

Address of Business

Type of Business: ☐ Corporation ☐ Partnership ☐ Non-Profit
☐ Sole Proprietorship ☐ Joint Venture Consortium

Attach the following documentation as evidence of Section 3 eligible status:
(Definition of "Section 3 Business Concern" in 24 CFR 135 describes the three alternative qualifications.)

For Business claiming status as a Section 3 resident-owned enterprise:

- | | |
|---|---|
| <input type="checkbox"/> Copy of resident lease | <input type="checkbox"/> Copy of receipt of public assistance |
| <input type="checkbox"/> Copy of evidence of participation in a public assistance program | <input type="checkbox"/> Other evidence |

For business entity as applicable:

- | | |
|---|---|
| <input type="checkbox"/> Copy of Articles of Incorporation | <input type="checkbox"/> Certificate of Good Standing |
| <input type="checkbox"/> Assumed Business Name Certificate | <input type="checkbox"/> Partnership Agreement |
| <input type="checkbox"/> List of owners/stockholders and % ownership of each appointed officers | <input type="checkbox"/> Corporation Annual Report |
| <input type="checkbox"/> Organization chart with names and titles and brief function statement | <input type="checkbox"/> Latest Board minutes |
| | <input type="checkbox"/> Additional documentation |

For business entity claiming Section 3 status by subcontracting 25 percent of the dollar awarded to qualified Section 3 business(es):

- ☐ List of subcontracted Section 3 business(es) and subcontract amount

For business claiming Section 3 status, by claiming at least 30 percent of their workforce are currently Section 3 residents or were Section 3 eligible residents within 3 years of date of first employment with the business:

- | | |
|---|---|
| <input type="checkbox"/> List of all current full-time employees | <input type="checkbox"/> List of employees claiming Section 3 status |
| <input type="checkbox"/> PHA/IHA Residential lease less than 3 years from day of employment | <input type="checkbox"/> Other evidence of Section 3 status less than 3 years from date of employment |

Evidence of ability to perform successfully under the terms and conditions of the proposed contract:

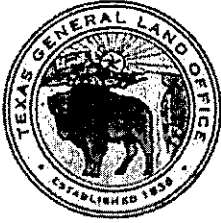
- | | |
|---|--|
| <input type="checkbox"/> Current financial statement | <input type="checkbox"/> Statement of ability to comply with public policy |
| <input type="checkbox"/> List of owned equipment | |
| <input type="checkbox"/> List of all contracts for the past two years | |

Authorized Name and Signature

Date

(Corporate Seal)

Attested By: _____



Texas General Land Office
Community Development Block Grant (CDBG)
Disaster Recovery Program

SECTION 3
RESIDENT EMPLOYMENT OPPORTUNITY DATA
ELIGIBILITY FOR PREFERENCE

Economic Opportunities for Low and Very Low-Income Persons

Grantee/Subrecipient:

Contract Number:

Date:

ELIGIBILITY FOR PREFERENCE

A Section 3 Resident seeking the preference in training and employment provided by this part shall certify, or submit evidence to the Subrecipient, Grantee, Contractor or Subcontractor, if requested, that the person is a Section 3 Resident, as defined in Section CFR 135.5. (An example of evidence of eligibility for the preference is evidence of receipt of public assistance, or evidence of participation in a public assistance program.)

Section 3 Resident Certification
for Worker Seeking Preference in Training
and Employment

RESIDENT COMPLETES THIS SECTION:

I, _____, am a legal resident of the _____

_____ and meet the income eligibility guidelines for a low- or very-low-income person as published on HUD'S income limits www.huduser.org/portal/datasets/il.html and documented on the reverse side of this form.

My permanent address is: _____

I have attached the following documentation as evidence of my status:

☐ Copy of Lease

☐ Copy of receipt of
public assistance

☐ Copy of Evidence of participation
in a public assistance program

☐ Other Evidence

Resident Signature _____

Date _____

Print Name _____

SECTION 3 INCOME LIMITS

All residents of public housing developments of the Housing Authority of _____

Qualify as Section 3 Residents.

Alternatively, individuals residing in the

City of _____

or County of _____

Who meet the income limits set forth below, can also qualify for Section 3 status.

A picture identification card and proof that illustrates applicant is a current resident of the subject area.

HUD updates area median Income (AMI) annually and income limits vary by county. To find the latest income limits visit HUD's website: www.huduser.org/portal/datasets/il.html

Eligibility Guideline

Number in Household	Very Low Income (50% AMI)	Low Income (80%)
1 Individual		
2 Individuals		
3 Individuals		
4 Individuals		
5 Individuals		
6 Individuals		
7 Individuals		
8 Individuals		

Signature Field _____

Date _____

Print Name _____

Certificate for Contracts, Grants, Loans And Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Executed this _____ date of _____, 20_____.

By _____
(Signature)

(Type or Print Name)

(Title)

Covered Action: _____
(Program, Project or Activity)

CONTRACTOR'S LOCAL OPPORTUNITY PLAN – This plan must be submitted with the bid.

_____ agrees to implement the following specific affirmative action steps directed at increasing the utilization of lower income residents and businesses within the County of Harris.

- A. To ascertain from the Grant Recipient's CDBG program official the exact boundaries of the project area and where advantageous, seek the assistance of local officials in preparing and implementing the affirmative action plan.
- B. To attempt to recruit from within the city the necessary number of lower income residents through: local advertising media, signs placed at the proposed site for the project, and community organizations and public or private institutions operating within and servicing the project area such as Service Employment and Redevelopment (SER), Opportunities Industrialization Center (OIC), Urban League, Concentrated Employment Program, Hometown Plan, or the U.S. Employment Service.
- C. To maintain a list of all lower income residents who have applied either on their own or on referral from any source, and to employ such persons, if otherwise eligible and if a vacancy exists.
- D. To insert this plan in all bid documents and to require all bidders on subcontracts to submit an affirmative action plan including utilization goals and the specific steps planned to accomplish these goals.
- E. To insure that subcontracts (greater than \$10,000), which are typically let on a negotiated rather than a bid basis in areas other than the covered project area, are also let on a negotiated basis, whenever feasible, in a covered project area.
- F. To formally contact unions, subcontractors, and trade associations to secure their cooperation in this effort.
- G. To insure that all appropriate project area business concerns are notified of pending sub-contractual opportunities.
- H. To maintain records, including copies of correspondence, memoranda, etc., which document that all of the above affirmative action steps have been taken.
- I. To appoint or recruit an executive official of the company or agency as Equal Opportunity Officer to coordinate the implementation of this plan.
- J. To maintain records concerning the amount and number of contracts, subcontracts, and purchases which contribute to objectives.
- K. To maintain records of all projected work force needs for all phases of the project by occupation, trade, skill level, and number of positions and to update these projections based on the extent to which hiring meets these Local Opportunity objectives.

As officers and representatives of _____, we the undersigned have read and fully agree to this Plan, and become a party to the full implementation of the program and its provisions.

Signature

Title

Date

PROPOSED CONTRACTS BREAKDOWN

Type of Contracts	No. of Contracts	Approx. Total Dollar Amount	Estimated No. to local Business	Estimated \$ Amount Local Business

ESTIMATED PROJECT WORKFORCE BREAKDOWN

Work Classifications	Total Estimated Positions	No. of Positions Currently Filled	No. of Positions not Filled	No. of Positions to fill with L/M Residents
Totals				

General/Subcontractor Profile

Name of Contractor _____ Contractor's FED Tax ID# _____ DUNS # _____

Name of Subcontractor _____ Subcontractor's FED Tax ID# _____ DUNS # _____

Category of Trade (e.g. Carpentry, Electrical, Plumbing, etc.) _____

Type of Business:

- ☐ Sole Proprietor
- ☐ Partnership
- ☐ Corporation
- ☐ Limited Liability Corporation (LLC)

Type of Contract:

- ☐ Construction
- ☐ Supply
- ☐ Service

Name of Principle Owner(s) _____

Name of Contact Person _____

Company Address _____

Phone _____

Email _____

Estimated Amount of Contract or Subcontract: \$ _____

Women Owned ☐ Yes ☐ No

Minority Owned ☐ Yes ☐ No

Section 3 Business ☐ Yes (if yes, must attach the Section 3 Business Certificate Form) ☐ No

Race:

- ☐ White
- ☐ Black/ African American
- ☐ Asian
- ☐ American Indian/Alaskan Native
- ☐ Native Hawaiian/ Other Pacific Islander
- ☐ American Indian/Alaskan Native/ White
- ☐ Asian and White
- ☐ Black/African American and White
- ☐ American Indian/Alaskan Native and Black/African American
- ☐ Other Multi-racial

Ethnicity:

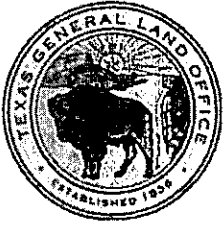
- ☐ Hispanic
- ☐ Non-Hispanic

Date: _____

FOR HCCSD USE ONLY

_____ Eligibility Verification _____ (see attached)

Debarment Eligibility Verification (see attached Publication Source <http://www.sam.gov/> and OFAC)



Texas General Land Office
Community Development Block Grant (CDBG)
Disaster Recovery Program

**NEW HIRES SECTION 3 ☐
MONTHLY COMPLIANCE REPORT**

Reporting Month:

Economic Opportunities for Low and Very Low-Income Persons

This form is distributed to the General Contractor (GC) at the Pre-Construction Meeting. GC is also required to provide this form to any subcontractor firms that they anticipate hiring for this project.

CONTRACTOR INFORMATION

Name of Business:

Address of Business:

Authorized Representative for this contract:

Authorized Signatory:

ADDITIONALLY, PLEASE REVIEW AND COMPLY WITH STEPS 1 - 3 BELOW:

1. You must sign and date this form for the each applicable reporting month in connection with awarded project and deliver to:

NELLIE VEGA
8410 LANTERN POINT DRIVE
HOUSTON, TEXAS 77054
713-578-2000

2. When you hire a Section 3 resident in connection with this project, you must also complete this form and submit it to the Section 3 Coordinator identified above. Even if there were no new hires this form must be completed and submitted to the Section 3 Coordinator identified above.

☐ I have not hired any new employees during the reporting Month specified.

I have hired ☐ Section 3 employees and/or ☐ non-Section 3 employees during the reporting month shown here.

The following is a list of the new hires and the trades:

	New Hire Name	Job Category/Trade	Full-time? Yes or No
1.			<input type="text"/>
2.			<input type="text"/>
3.			<input type="text"/>
4.			<input type="text"/>

I have taken one or more of the following recruitment steps to hire a Section 3 Resident with the highest training and employment priority ranking. Provide a brief description of actions taken:

I have taken steps to find a Section 3 Resident in the applicable targeted areas where the project(s)/assistance will take place. List areas:

- ☐ Placed signs or posters at prominent places in each of the above listed areas. *Photographs were taken to document this action.*

I have advertised to fill vacancy(ies) at the site(s), where work is taking place, in connection with this project. List advertisements (name publication, e.g. Work in Texas, Houston Chronicle, and/or website(s):

- ☐ Distributed employment flyers to the administrative office of the local Public Housing Authority.
- ☐ Provided notice of positions available to the Texas Workforce Commission for potential applicants. *Provide copy of notice.*
- ☐ Contacted employment referrals or Youthbuild Program referrals. List contacts:

- ☐ Contacted with applicable parties to ensure that any HUD Youthbuild programs currently operating in the project(s) area/ assistance will take place.
- ☐ Kept a log of all applicants and indicate the reasons why Section 3 Residents who applied were not hired.
- ☐ Retained copies of any employment applications completed by public housing, Section 8 certificate or voucher holders or other Section 3 Residents.
- ☐ Sent a notice about Section 3 training and employment requirements and opportunities to labor organizations or to worker representatives with whom our firm has a collective bargaining or other agreement.

3. Verification

- ☐ I have attached proof of all checked items.

Authorized Name and Signature

Date/Time Field

Text

Attested By:

