

CDBG Project Proposal Form

Please refer to the Instructions for the Project Proposal Form before filling out this document. If you need additional space to answer any section, attach additional sheets of paper.

Contact Information	
Provide a proposed project title.	Project Title:
Indicate the name of the individual, organization, or neighborhood proposing the project.	Name:
Indicate the name of the person to direct questions regarding the proposed project.	Contact Person:
Provide the mailing address and e-mail for the contact person.	Address/ E-mail:
Provide the daytime phone number for the contact person.	Phone:
Additional Information	
Section 3 Certification – if applicable. Please complete the Section 3 certification attached to this form and submit it with the Project Proposal.	
Travis County Administrative Fiscal Review (AFR) - If the organization has a <u>current</u> AFR on file with Travis County, please indicate that here. If not, please complete the AFR attached to this form and submit it with the Project Proposal.	
Letters of Interest from other funding sources – if applicable. If other funders have committed funds to the project being proposed, please submit letters of commitment from those funders.	

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Description of Problem/Need

Problem/Need - Describe the problem or need to be addressed in enough detail to convey its seriousness and magnitude.

Project Description

Project Description - Describe the proposed activities and explain how the project addresses the problem or need.

Type of Project - Please choose from the following list to indicate the category that best represents your project.

- | | |
|---|---|
| <input type="checkbox"/> Business and Jobs | <input type="checkbox"/> Infrastructure Needs |
| <input type="checkbox"/> Community Services | <input type="checkbox"/> Public Buildings & Facilities |
| <input type="checkbox"/> Housing | <input type="checkbox"/> Populations with Specialized Needs |

Type of Activity – Please choose from the list of activities on pages 5-6 of the instructions, and indicate below the activity that best matches your project.

Project Description continued

Project Location & Service Area - Indicate the location of the proposed activities. For public improvement projects such as street or water improvements, include all of the street names and address ranges for all persons that would benefit from the activity. Describe the area to be served by the project. If possible, include a map.

Number of People Impacted – Indicate the number of persons, and/or households to be served. If known, indicate an estimate of the number and/or percentage of low-moderate income persons to be served.

Project Cost and Timelines	
If known, provide the total project cost and a copy of the cost estimate or budget.	Estimated Cost of the Project:* \$
If known, indicate the amount of CDBG funds requested.	Amount of CDBG funds requested: \$
If any additional funding sources are needed, indicate the sources and amounts to ensure full funding of the project. Attach any letters of financial commitment. Any additional funds must be committed in writing prior to CDBG project approval. If this is a housing project, please attach a proforma.	Amount and Source of Other Funds:
If applicable, indicate the source of the cost estimate.	Source of the cost estimate:
If known, indicate the proposed schedule for project completion. If a timeline is not available, indicate an approximate number of days for project completion. Keep in mind that grant funding for the Program Year Cycle is generally available no earlier than November 1.	Timeline for Implementation of Project:
*Technical assistance on project cost estimates may be able to be provided by County staff.	

Additional Notes and Information	
Answer the question by selecting Yes or No.	Has this project received Travis County CDBG funding in the past? <input type="checkbox"/> Yes <input type="checkbox"/> No
If yes, describe the project’s past performance – Indicate the number of years of funding and details on successes and barriers.	
Answer the question by circling Yes or No.	Does your organization have experience working with CDBG or other HUD funds? <input type="checkbox"/> Yes <input type="checkbox"/> No
If yes, describe your organization’s past performance – Indicate the number of years of funding and details on successes and barriers.	

Thank you for your participation!

Compliance with Section 3 Travis County Community Development Block Grant (CDBG) Program Section 3 Overview

Section 3 Overview

Section 3 of the Housing and Urban Development Act of 1968, as amended, requires that recipients of financial assistance provided by the U.S. Department of Housing and Urban Development (HUD), including developers, owners, and contractors and their subcontractors, provide, "to the greatest extent feasible", training and employment opportunities for low income area residents and contract opportunities for the performance of work by local businesses owned by and/or employing low income residents.

Applicability

Section 3 preference requirements apply to recipients of CDBG for a covered project for which the amount of assistance exceeds \$200,000. Contractors and subcontractors are subject to Section 3 requirements when the amount of assistance exceeds \$200,000 and the amount of the contract or subcontract exceeds \$100,000. If the amount of assistance exceeds \$200,000, but no contract exceeds \$100,000, the Section 3 preference requirements apply only to the recipients. Section 3 applies to subrecipients, professional services or construction work for housing rehabilitation, housing construction or other public construction projects.

Section 3 Residents and Business Concerns

A "section 3 resident" is: 1) a public housing resident; or 2) a low- or very low-income person residing in the metropolitan area or Non-metropolitan County in which the Section 3 covered assistance is expended. Refer to Exhibit 1 for a definition of low and very low income resident.

A "Section 3 business concerns" are businesses that can provide evidence that they meet one of the following: 1) 51 percent or more owned by Section 3 residents; or 2) At least 30 percent of its fully time employees include persons that are currently Section 3 residents, or within three years of the date of first employment with the business concern were Section 3 residents; or 3) Provides evidence, as required, of a commitment to subcontract in excess of 25 percent of the dollar award of all subcontracts to be awarded to business concerns that meet the qualifications in the above two paragraphs.

Section 3 Compliance

To comply with Section 3 requirements, the Travis County CDBG program will examine and consider amongst other factors the contractor's or vendor's potential for success by providing employment and business opportunities to low- and very low-income residents prior to acting on any proposed contract award. Towards this end, the County will include a local

opportunity plan for CDBG-sponsored projects. As part of the response to bid solicitations, request for proposals, services or qualifications, businesses will be required to certify that a Section 3 Local Opportunity Plan will be submitted to the County if they are awarded a CDBG-funded contract.

Section 3 Local Opportunity Plan

A sample local opportunity plan is attached as Exhibit 2 along with Section 3 definitions on Exhibit 3. Recipients will be expected to maintain documentation of activities and outreach attempts. Recipients can use the form in Exhibit 4 to document the eligibility of their workers as Section 3 eligible residents. Additional information about Section 3 can be found on HUD's website at the following URL:

<http://www.hud.gov/offices/fheo/section3/section3.cfm> .

Reporting

Contractors, consultants, subrecipients and subcontractors will be expected to complete the "Section 3 Report" found in Exhibit 5 to document efforts made to direct the employment toward low-and very low income persons and to document whether Section 3 residents were hired to fill any available positions. Reports must be submitted to the County on a quarterly basis throughout the contract period and a final report will be due 5 days after the project/contract close-out date. The quarterly reports will be due according to the following schedule:

- January 5th for activities undertaken from October through December;
- April 5^h for activities undertaken from January through March;
- July 5th for activities undertaken from April through June; and
- October 5th for activities undertaken from July through September.

If the 5th falls on a weekend or a holiday, the quarterly reports are due to Travis County on the next business day.

Exhibit 1: Section 3 Income Limits

All residents of public housing developments of the Travis County Housing Authority qualify as Section 3 residents. Additionally, individuals residing in Travis County who meet the low income limits set forth below can also qualify for Section 3 status.

Eligibility Guideline (Effective March 6, 2015)	
Number in Household	Low Income
1 individual	\$43,050
2 individuals	\$49,200
3 individuals	\$55,350
4 individuals	\$61,450
5 individuals	\$66,400
6 individuals	\$71,300
7 individuals	\$76,200
8 individuals	\$81,150



Exhibit 2: Section 3 Local Opportunity Plan

(Name of Contractor), hereby agrees to implement the following specific affirmative action steps to increase the utilization of business concerns located within the Travis County boundaries.

1. Implement procedures to notify Section 3 residents and business concerns about training and employment opportunities generated by Section 3 covered assistance.
2. Implement procedures to notify Section 3 business concerns about the availability of contracting and subcontracting opportunities generated by Section 3 covered assistance.
3. Use notification methods to reach a broad segment of Section 3 residents that may include advertising in local advertising media, placing signs at the project site, contacting the Travis County Housing Authority, and contacting community organizations, employment agencies, and other public or private institutions operating and servicing the project area.
4. Notify potential contractors and subcontractors contemplating work on Section 3 covered projects of their responsibilities.
5. Incorporate the Section 3 Clause (verbatim) into all covered solicitations and contracts as per Section 24 CFR Part 135.38.
6. Refrain from entering into contracts with contractors or subcontractors that are in violation of the Section 3 regulations.
7. Appoint or recruit a staff member to act as Equal Opportunity Officer to coordinate the implementation of this plan.
8. Submit quarterly reports as required by the Travis County CDBG program reporting Section 3 employment activities.
9. Maintain records, including copies of correspondence, memoranda, etc., which document that all of the above affirmative action steps have been taken.

We, the officers / representatives of _____, have read and fully agree to this plan, and agree to become a party to the full implementation of this program.

IN WITNESS WHEREOF, the undersigned, being duly authorized, has caused this document to be executed in its name

on the _____ day of _____, _____.

Signature of Authorized Representative

Title



Exhibit 3: Section 3 Definitions

Employment Opportunities Generated by Section 3 Covered Assistance – all employment opportunities generated by the expenditure of Section 3 covered projects including management and administrative jobs. Management and administrative jobs include architectural, engineering, or related professional services required to prepare plans, drawings, specifications, or work write-ups; and jobs directly related to administrative support of these activities, e.g. construction manager, relocation specialist, payroll clerk, etc.

Low Income Person – families (including single persons) whose incomes do not exceed 80% of the area median family income, with adjustments for smaller and larger families.

New Hires – full-time employees for permanent, temporary, or seasonal employment opportunities.

Section 3 – Section 3 of the Housing and Urban Development Act of 1968, as amended (12 USC 1701u)

Section 3 Business Concern – a business concern,

- a. That is 51% or more owned by Section 3 residents; or
 - b. Whose permanent, full-time employees include persons, at least 30-percent of whom are currently Section 3 residents, or within three years of the date of first employment with the business concern were Section 3 residents; or
 - c. That provides evidence of a commitment to subcontract in excess of 25% of the dollar award of all subcontractors to be awarded to business concerns that meet the qualifications set forth in paragraph “a” or “b” above.
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Section 3 Definitions (continued)

Section 3 Covered Assistance –

- a. Assistance provided under any HUD housing or community development program that is expended for work arising in connection with the construction, reconstruction, conversion, or rehabilitation of housing (including reduction and abatement of lead-based paint hazards), other public construction which includes buildings or improvements (regardless of ownership) assisted with housing or community development funds.
- b. Public housing development assistance provided pursuant to Section 4 of the 1937 Act;
- c. Public housing operating assistance provided pursuant to Section 9 of the 1937 Act;
- d. Public housing modernization assistance provided pursuant to Section 14 of the 1937 Act;

Section 3 Covered Contracts – a contract or subcontract (including a professional service contract) awarded by a recipient or contractor for work generated by the expenditure of Section 3 covered assistance, or for work generated by the expenditures of Section 3 covered assistance, or for work arising in connection with a Section 3 covered project. Section 3 covered contracts do not include contracts for the purchase of supplies and materials. However, whenever a contract for materials includes the installation of the materials, the contract constitutes a Section 3 covered contract.

Section 3 Resident – a public housing resident or an individual who resides in the metropolitan area or non-metropolitan county in which the Section 3 covered assistance is expended and who is considered to be a low to very-low income person.

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

Very low-income person – families (including eligible single persons) whose income does not exceed 50% of the area median family income, with adjustments for smaller and larger families.

Exhibit 5: Section 3 Report

Part I Agency and Contractor Information

Subrecipient /Contractor/Subcontractor Name:	Project Name:
	Contract Amount:
Report Date:	Contact Person Name: Phone Number:

Indicate the efforts you made to direct the employment and other economic opportunities generated by the CDBG financial assistance to the greatest extent feasible, toward low-and very low income persons, particularly those who are recipients of government assistance for housing. (Check all that apply.)

- _____ Attempted to recruit low income residents through: local advertising media, signs prominently displayed at the project site, contacts with community organizations and public or private agencies operating within the metropolitan area (or non-metropolitan county) in which the Section 3 covered project is located or similar methods
- _____ Participated in a HUD program or other program which promotes the training or employment of Section 3 residents
- _____ Participated in a HUD program or other program that promotes the award of contracts to businesses that meet the definition of a Section 3 business.
- _____ Coordinated with Youthbuild Programs administered in the metropolitan area in which the Section 3 covered projects is located.
- _____ Other; describe below.



Part II Information Regarding Agency/ Contractor Employment

Subrecipient / Contractor/Subcontractor Name:		Project Name:			
		Contact Person Name:			
Report Date:		Phone Number:			
<p>For Subrecipients: Did your agency receive \$200,000 or more of CDBG funds for this project?</p> <p>For Contractors/Consultants: Is your contract in excess of \$100,000? If yes continue, if no then stop. <i>(note for subcontractors: Section 3 applies if the primary contract exceeds \$100,000)</i></p>		Yes	No		
<p>Were there any new hires by your organization that were generated in connection with the CDBG award/project? <i>“New hire” is defined as full time positions that are either permanent, temporary or seasonal. A new hire can be for a new position or replacement of an existing position that became vacant. If yes, please complete the following table in its entirety. If no, then stop.</i></p>		Yes	No		
Job Category	Number of New Hires	Number of New Hires that are Sec 3 Residents	% of Aggregate Number of Staff Hours of New Hires that are Section 3 Residents	% of Total Staff Hours for Section 3 Employees and Trainees	Number of Section 3 Employees and Trainees
Professionals					
Technicians					
Office/Clerical					
Construction by Trade (List)					
Trade					
Trade					
Other (List)					
Total					

Section 3 resident/employee definition: A resident of public housing (regardless of income), or an individual residing in the metropolitan area or non metropolitan county in which the CDBG assistance is expended and whose income is below 80% of the metropolitan or county median income as published by HUD.



Exhibit 6: Section 3 Certification

(to be added to the contract)

- A. The work to be performed under this contract is subject to the requirements of section 3 of the Housing and Urban Development Act of 1968, as amended, 12 U.S.C. 1701u (Section 3). The purpose of Section 3 is to ensure that employment and other economic opportunities generated by HUD assistance or HUD-assisted projects covered by Section 3, shall, to the greatest extent feasible, be directed to low- and very low-income persons, particularly persons who are recipients of HUD assistance for housing.
 - B. The parties to this contract agree to comply with HUD's regulations in 24 CFR part 135, which implement Section 3. As evidenced by their execution of this contract, the parties to this contract certify that they are under no contractual or other impediment that would prevent them from complying with the part 135 regulations.
 - C. The contractor agrees to send to each labor organization or representative or workers with which the contractor has a collective bargaining agreement or other understanding, if any, a notice advising the labor organization or workers' representative of the contractor's commitments under this Section 3 clause, and will post copies of the notice in conspicuous places at the work site where both employees and applicants for training and employment positions can see the notice. The notice shall describe the Section 3 preference, shall set forth minimum number and job titles subject to hire, availability of apprenticeship and training positions, the qualifications for each; and the name and location of the person(s) taking applications for each of the positions; and the anticipated date the work shall begin.
 - D. The contractor agrees to include this Section 3 clause in every subcontract subject to compliance with regulations in 24 CFR part 135, and agrees to take appropriate action, as provided in an applicable provision of the subcontract or in this Section 3 clause, upon a finding that the subcontractor is in violation of the regulations in 24 CFR part 135. The contractor will not subcontract with any subcontractor where the contractor has notice or knowledge that the subcontractor has been found in violation of the regulations in 24 CFR part 135.
 - E. The contractor will certify that any vacant employment positions, including training positions, that are filled (1) after the contractor is selected but before the contract is executed, and (2) with persons other than those to whom the regulations of 24 CFR part 135 require employment opportunities to be directed, were not filled to circumvent the contractor's obligations under 24 CFR part 135.
 - F. Noncompliance with HUD's regulations in 24 CFR part 135 may result in sanctions, termination of this contract for default, and debarment or suspension from future HUD assisted contracts.
 - G. With respect to work performed in connection with Section 3 covered Indian housing assistance, section 7(b) of the Indian Self-Determination and Education Assistance Act .
 - H. (25 U.S.C. 450e) also applies to the work to be performed under this contract. Section 7(b) requires that to the greatest extent feasible (i) preference and opportunities for training and employment shall be given to Indians, and (ii) preference in the award of contracts and subcontracts shall be given to Indian organizations and Indian-owned Economic Enterprises. Parties to this contract that are subject to the
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provisions of Section 3 to the maximum extent feasible, but not in derogation of compliance with section 7(b).

- I. The contractor also agrees to adopt a Local Opportunity Plan, maintain documentation to support its implementation and report not less than a quarterly basis the results of their Section 3 efforts.

Certification

"I certify that I understand and will follow the Section 3 requirements presented above and have the capacity to comply, document, and report as necessary."

WARNING: Falsifying information on this certification is a felony. HUD will prosecute false claims and statements. Conviction may result in civil and/or criminal penalties. (18 U.S.C. §§ 1001, 1010, 1012, 3559, 3571; 31 U.S.C. §§ 3729, 3802).

Name of Contractor: _____

By: _____

Title: _____

Date: _____

