

NOTICE OF PUBLIC HEARING AND PUBLIC COMMENT PERIOD
SECTION 3 PLAN

NOTICE IS HEREBY GIVEN that the Washington County Housing and Redevelopment Authority has developed its Section 3 Plan in compliance with Section 3 of the Housing and Urban Development Act of 1968. A public hearing to review the plan will be held on Tuesday, March 16, 2010 at 3:30 p.m. at the City of Oakdale Municipal Offices at 1584 Hadley Road, Oakdale, Minnesota. A draft of the Section 3 Plan is available for review at the Housing Authority's office located at 321 Broadway Avenue, St. Paul Park, MN, and available at www.wchra.com. A public comment period is hereby established from date of publication through Tuesday, March 9, 2010 at 4:30 p.m. Anyone interested in commenting on the plan may do so in writing or by attending the public hearing.

The Washington County HRA is subject to Title II of the Americans with Disabilities Act, which prohibits discrimination on the basis of disability by public entities. Information regarding the provisions of the Americans with Disabilities Act is available at the HRA office. Auxiliary aids for disabled persons are available upon request at least 72 hours in advance of an event by calling 651-458-0936. For the hearing impaired only call the MN Relay Service 1-800-627-3529.

Date of Publication: February 10, 2010

BY ORDER OF THE BOARD
OF COMMISSIONERS OF THE
WASHINGTON COUNTY HOUSING
AND REDEVELOPMENT AUTHORITY

/s/ Barbara Dacy
Barbara Dacy
Executive Director



**The Washington County Housing and Redevelopment
Authority Section 3 Plan**

Draft January 27, 2010

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I. General Policy Statement

It is the policy of the Washington County Housing and Redevelopment Authority (“Authority”) to require its contractors to provide equal employment opportunity to all employees and applicants for employment without regard to race, color, religion, sex, national origin, disability, veteran’s or marital status, or economic status and to take affirmative action to ensure that both job applicants and existing employees are given fair and equal treatment.

The Authority implements this policy through the awarding of contracts to contractors, vendors, and suppliers, to create employment and business opportunities for residents of Authority-owned properties and other qualified low- and very low-income persons residing in Washington County and the surrounding Metropolitan Statistical Area.

The policy shall result in a reasonable level of success in the recruitment, employment, and utilization of qualified Section 3 residents and business concerns by contractors working on contracts partially or wholly funded with the United States Department of Housing and Urban Development (HUD) monies. The Authority shall consider a contractor’s or vendor’s potential for success in providing employment and business opportunities to Section 3 residents prior to awarding any proposed contract.

II. Section 3 Purpose

Section 3 of the Housing and Urban Development Act of 1968, as amended (12 U.S.C. 1701u) (Section 3) requires the Authority to ensure that employment and other economic and business opportunities generated by Department of Housing and Urban Development (HUD) financial assistance, to the greatest extent feasible, are directed to public housing residents and other low-income persons, particularly recipients of government housing assistance, and business concerns that provide economic opportunities to low- and very-low income persons.

III. Section 3 in Procurement and Contracting

The Authority has incorporated language regarding the requirements of Section 3 in its existing Procurement Policy. The existing Procurement Policy also contains requirements for awarding contracts to Small Disadvantaged Businesses, formerly Minority and Women Business Enterprises (M/WBE).

All contractors/businesses seeking Section 3 preference must, before submitting bids/proposals to the Authority, complete certifications as acknowledgement of the Section 3 contracting and employment provisions. Such certifications shall be adequately supported with appropriate documentation as referenced in the certification form.

IV. Section 3 Resident Employment & Training And Business Concern Contracting Goals

It is the policy of the Authority to utilize residents and other Section 3 eligible persons and businesses in contracts partially or wholly funded with monies from the Department of Housing and Urban Development (HUD). The Authority has established employment and training goals in order to comply with Section 3 requirements. (Reference 24 CFR 135.30 – Numerical goal for meeting the greatest extent feasible requirement). The numerical goal is:

Thirty percent (30%) of the aggregate number of new hires resulting from the award of HUD Section 3 covered funds in each fiscal year.

It is the responsibility of contractors, vendors and suppliers to implement progressive efforts to attain Section 3 compliance. Any contractor that does not meet the Section 3 numerical goals must demonstrate why meeting the goals was not feasible. All contractors submitting bids or proposals to the Authority are required to certify that they will comply with the requirements of Section 3.

The Section 3 Contract Clause specifies the requirements for contractors hired for Section 3 covered projects. The Section 3 Clause must be included in all Section 3 covered projects. The Section 3 Contract Clause is included in Exhibit 1.

Contractors and subcontractors are expected to expend, to the greatest extent feasible, efforts to achieve the numerical goals established by the Authority. The numerical goals are:

10% of total construction contract dollars and 3% of other contract dollars funded wholly or in part by HUD Section 3 covered assistance to be directed to Section 3 business concerns.

V. Assisting Contractors to Achieve Section 3 Goal Hiring and Contracting Goals

The Authority will assist contractors with little or no experience in achieving Section 3 hiring and contracting goals by:

A. Requiring the contractor to present a list of the number of subcontracting and/or new employment opportunities expected to be generated from the initial contract in the Section 3 Compliance Plan (see Exhibit 2);

B. Referring the contractor to marketing avenues targeting qualified Section 3 residents and to applicable agencies/organizations working with qualified Section 3 residents toward the goal of employment; and

C. Referring the contractor to marketing avenues targeting Section 3 business concerns and providing a list of any known and applicable Section 3 business concerns interested and qualified for construction projects.

D. The Authority will review the new hire clause with contractors and subcontractors contracted by the Authority to ensure that the requirement is understood. It is not intended for contractors and subcontractors to terminate existing employees, but to make every effort feasible to employ Section 3 program participants before any other person when hiring additional employees needed to complete proposed work to be performed with HUD funds.

VI. Contractor's Requirements in Employing Section 3 Residents

Contractors and subcontractors are required to provide employment opportunities arising from the award of Section 3 covered contracts according to the applicable priority order listed below when applications are received from Section 3 residents and other applicants who are qualified for the given employment opportunity.

Category 1 – Section 3 Resident

Qualified residents of the housing development or developments for which the contract shall be expended.

Category 2 – Section 3 Resident

Qualified residents of other housing developments owned by the Authority.

Category 3- Section 3 Resident

Qualified participants in HUD Youthbuild programs being carried out in Washington County or the surrounding Metropolitan Area.

Category 4 – Section 3 Resident

Qualified residents receiving rental assistance provided through the Authority as well as all other qualified residents residing in Washington County or the surrounding Metropolitan Area who meet the income guidelines for Section 3 preference (refer to Section 3 Income Limits).

VII. Preference for Contracting with Section 3 Business Concerns

The Authority, in compliance with Section 3 regulations, will require contractors and subcontractors (including professional service contractors) to direct their efforts toward contracts to Section 3 business concerns according to the applicable order of priority listed below.

Category 1: Business concerns that are 51% or more owned by residents of the housing development for which the work is performed, or whose full-time, permanent workforce includes 30% of these persons as employees.

Category 2: Business concerns that are 51% or more owned by residents of Authority-owned or managed housing development(s) other than the housing development where the work is to be performed; or whose full-time permanent workforce includes 30% of these persons as employees.

Category 3: HUD Youthbuild programs being carried out in the Metropolitan Area in which the Section 3 covered assistance is expended.

Category 4: Business concerns that are 51% or more owned by a Section 3 resident(s), or whose permanent, full-time workforce includes no less than 30% Section 3 residents; or that subcontract in excess of 25% of the total amount of subcontracts to Section 3 business concerns.

VIII. Evidence of Section 3 Certification for Business Concerns and Individuals

Any business seeking Section 3 preference in the awarding of contracts or purchase agreements with the Authority shall complete the Certification for Business Concerns Seeking Section 3 Preference in Contracting and Demonstration of Capability form, which can be obtained from the Authority (see Exhibit 3). The business seeking Section 3 preference must be able to provide adequate documentation as evidence of eligibility for preference under the Section 3 program.

Certifications for Section 3 preference for business concerns must be submitted prior to the submission of bids for approval. If the Authority previously approved the business concern to be Section 3 certified, then the certification can be submitted along with the bid.

Any individual seeking Section 3 preference in the granting of employment with the Authority or with its contractors or suppliers shall complete the Resident Request for Section 3 Preference form, which can be obtained from the Authority (see Exhibit 5). The individual seeking Section 3 preference must be able to provide adequate documentation as evidence of eligibility for preference under the Section 3 program.

IX. Contractor Documentation Requirements For Employing Section 3 Residents & Contracting with Section 3 Business Concerns

The contractor must document its efforts to comply with Section 3 requirements, by providing to the Authority the following:

A. Names of the Section 3 business concerns to be utilized and documentation of business concern eligibility, including the Certification for Business Concerns Seeking Section 3 Preference in Contracting and Demonstration of Capability (see Exhibit 3) form.

B. Documentation of efforts that will be utilized to seek Section 3 residents for new employment opportunities that arise as a result of the Section 3 covered contract.

C. Documentation of the number of new hires made and total hours worked by qualified Section 3 residents. This documentation will include the Section 3 Employment and Training Report (see Exhibit 4) for the individual contract award and the Resident Request for Section 3 Preference (see Exhibit 5) form for new hires.

X. Efforts to Award Contract Opportunities to Section 3 Business Concerns

The Authority will use the following methods to notify and contract with Section 3 business concerns when contracting opportunities exist.

- A. Advertise contracting opportunities via appropriate channels, including the Authority website, mailings, newspaper, and posting notices that provide general information about the work to be contracted and where to obtain additional information.
- B. Provide written notice of contracting opportunities to known and applicable Section 3 business concerns. The written notice will be provided in sufficient time to enable business concerns the opportunity to respond to the bid invitation.
- C. Conduct annual workshops on Authority contracting procedures to include bonding, insurance, and other pertinent requirements, in an effort to allow Section 3 business concerns the opportunity to take advantage of any upcoming contracting opportunities. Establish relationships with the Workforce Center, trade apprenticeship programs, and other local resources as feasible to direct Section 3 residents to resources for training on contracting or professional skills and entrepreneurship.

XI. Section 3 Residents Recruitment, Training, and Employment Goals

The Authority will develop resources to provide training and employment opportunities to Section 3 program participants by implementing the following:

- A. Eligible employment opportunities will be posted on the Authority website and jobs-line, in common areas of Authority-managed buildings, and distributed to residents and program waiting list applicants, whenever feasible.
- B. Other targeted marketing efforts, including direct mailings to program participants, direct recruiting and referral of qualified Section 3 residents by Authority staff, onsite information and referral for program participants toward employment and training resources, and collaboration with the local Workforce Center to attract Section 3 applicants may be used as feasible and appropriate. Data regarding the recruitment status of Section 3 applicants will be maintained in the Agency's applicant tracking system.
- C. The Authority will specify the hiring preference for qualified Section 3 residents by utilizing a targeted job announcement template to post specific jobs targeting preference applicants, provide the Section 3 Resident Preference form available on the agency website, and incorporate a statement about Section 3 eligibility in the Agency's general employment application. The order of hiring preference is as follows:

1. Section 3 residents currently residing or on the waiting list to reside in the housing development where the employment opportunity is located, for employment opportunities at a Authority-owned or managed housing development;
2. Section 3 residents at other Authority-owned or managed housing developments or receiving housing assistance through the Authority;
3. Participants in a HUD Youthbuild Program, operating within Washington County or the surrounding Metropolitan Area;
4. Other low or very-low income persons residing in Washington County or the surrounding Metropolitan Area.

D. The Authority will continue to work in cooperation with Washington County to employ and/or make training opportunities available to low and very low income youth through county programs.

E. Relationships with local colleges and adult education facilities will continue to be developed and maintained to market employment opportunities to qualified Section 3 residents.

F. The Authority will continue to pursue opportunities such as grants and internships to provide Section 3 employment and training opportunities.

XII. Internal Section 3 Complaint Procedure

In an effort to resolve complaints generated due to non-compliance through an internal process, the Authority encourages submittal of such complaints as follows:

A. Complaints of non-compliance should be filed in writing to the Authority staff member responsible for the contract or employment posting in reference and must contain the name of the complainant and brief description of the alleged violation of 24 CFR 135.

B. Complaints must be filed within thirty (30) calendar days after the complainant becomes aware of the alleged violation.

C. An investigation will be conducted if complaint is found to be valid. An informal, but thorough investigation will be conducted affording all interested parties, if any, an opportunity to submit testimony and/or evidence pertinent to the complaint.

D. The Authority will provide written documentation detailing the findings of the investigation. The Executive Director will review the findings for accuracy and

completeness before it is released to complainants. The findings will be made available no later than thirty (30) days after the filing of complaint.

If complainants wish to have their concerns considered outside of the Authority a complaint may be filed with:

Assistant Secretary for Fair Housing and Equal Opportunity
United States Department of Housing and Urban Development
451 Seventh Street, SW
Washington, DC 20410

The complaint must be received not later than 180 days from the date of the action or omission upon which the complaint is based, unless the time for filing is extended by the Assistant Secretary for good cause shown.

XIII. Definitions

Employment Opportunities Generated by Section 3 Covered Assistance – all employment opportunities generated by the expenditure of Section 3 covered public assistance (i.e., operating assistance, development assistance and modernization assistance, (as described in Section 135.3 (a) (1)). With respect to Section 3 covered housing and community development assistance, this term means all employment opportunities arising in connection with Section 3 covered projects (as described in Section 135.3 (a) (2)), 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.

Housing Development – low-income housing owned, developed, or operated by public housing agencies in accordance with HUD's public housing program regulations codified in 24 CFR Chapter IX.

HUD Youthbuild Programs – programs that receive assistance under subtitle D of Title IV of the National Affordable Housing Act, as amended by the Housing and Community Development Act of 1992 (42 U.S.C. 12899), and provide disadvantaged youth with opportunities for employment, education, leadership development, and training in the construction or rehabilitation of housing for homeless individuals and members of low- and very low-income families.

Low-income person – families (including single persons) whose incomes do not exceed 80 per centum of the median income for the area, as determined by the Secretary, with adjustments for smaller and larger families, except that the Secretary may establish income ceilings higher or lower than 80 per centum of the median for the area on the basis of the Secretary's findings that such variations are necessary because of prevailing levels of construction costs or unusually high or low-income families.

Metropolitan Area – a metropolitan statistical area (MSA), as established by the Office of Management and Budget.

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

Recipient – any entity which receives Section 3 covered assistance, directly from HUD or from another recipient and includes, but is not limited to, any State unit of local government, PHA, or other public body, public or private nonprofit organization, private agency or institution, mortgagor, developer, limited dividend sponsor, builder, property manager, community housing development organization, resident management corporation, resident council, or cooperative association. Recipient also includes any successor, assignee or transferee of any such entity, but does not include any ultimate beneficiary under the HUD program to which Section 3 applies and does not include contractors.

Section 3 – Section 3 of the Housing and Urban Development Act of 1968, as amended (12 U.S.C. 1701u).

Section 3 Business Concern – a business concern,

- 1) That is 51 percent or more owned by Section 3 resident; or
- 2) Whose permanent, full-time employees include persons, at least 30 percent of whom are currently Section 3 residents, or within three years of the date of first employment with the business concern were Section 3 residents; or
- 3) That provides evidence of a commitment to subcontract in excess of 25 percent of the dollar award of all subcontractors to be awarded to business concerns that meet the qualifications set forth in paragraphs 1 or 2 above.

Section 3 Covered Assistance –

- 1) public housing development assistance provided pursuant to Section 5 of the 1937 Act;
- 2) public housing operating assistance provided pursuant to Section 9 of the 1937 Act;
- 3) public housing modernization assistance provided pursuant to Section 14 of the 1937 Act;
- 4) assistance provided under any HUD housing or community development program that is expended for work arising in connection with housing rehabilitation, construction, or other public construction project (which includes other buildings or improvements, regardless of ownership).

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 arising in connection with a Section 3 covered project.

Section 3 covered contracts do not include contracts awarded under HUD's procurement program, which are governed by the Federal Acquisition Regulation (FAR). Section 3 covered contracts also 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 Covered Project - 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 assistance.

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

Service Area – the geographical area in which the persons benefitting from the section 3 covered project reside. The service area shall not extend beyond the unit of general local government in which the section 3 covered assistance is expended. In HUD's Indian housing

programs, the service area, for IHAs established by an Indian tribe as a result of the exercise of the tribe's sovereign power, is limited to the area of tribal jurisdiction.

Very low-income person – families (including single persons) whose income do not exceed 50 per centum of the median family income for the area, as determined by the Secretary with adjustments for smaller and larger families, except that the Secretary may establish income ceilings higher or lower than 50 per centum of the median for the area on the basis of the Secretary's findings that such variations are necessary because of unusually high or low family incomes.



Exhibit 1: Section 3 Clause

All Section 3 covered contracts shall include the following clause (referred to as the Section 3 Clause):

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.

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.

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.

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.

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.

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.

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 (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 are subject to the provisions of Section 3 to the maximum extent feasible, but not in derogation of compliance with section 7(b).

Exhibit 2: Section 3 Compliance Plan



Section 3 Compliance Plan

Project Name _____ **Date** _____

Contractor Name _____ **Contact** _____

This Compliance Plan is to be completed by the General Contractor as a bid submittal item.

The General Contractor and each Subcontractor will be required to complete the attached *Section 3 Employment Compliance Report* for any contract that is a) over \$100,000 or b) for a project at one of the Authority's public housing "MHOP" properties before the final payment is disbursed.

Purpose The goal of the Section 3 clause of the HUD Act of 1968 is to provide job training and employment opportunities from programs that receive HUD funding to lower income residents and the businesses they own or that employ them from the area connected with the project.

Goals Section 3 residents or business concerns will comprise of 30% of new hires, 10% of construction contracts, and 3 % of non-construction contracts. The contractor must provide documentation of how new employment and business opportunities were directed to the greatest extent feasible to Section 3 residents and business concerns to achieve these goals.

Contractor Responsibilities

- The General Contractor is to ensure their subcontractors are aware of and follow their Section 3 responsibilities,
- Documented attempts by all contractors to recruit potential Section 3 residents for employment opportunities and Section 3 business concerns for any subcontracting opportunities through methods such as: local advertising, mailings, website postings, signs placed at the project site, local community organizations, and utilization of Authority Section 3 business concern lists.
- Utilize assistance from the Authority to help meet the Section 3 goals through referrals to the local workforce center and marketing avenues targeting qualified Section 3 residents for employment of Section 3 residents and contracting with Section 3 business concerns.
- Complete the *Section 3 Employment Compliance Report*.

New Hires

List any expected new full time employment opportunities as a result of this project:

<u>Number</u>	<u>Position</u>
_____	_____
_____	_____
_____	_____

- Any new full time employment opportunity must be directed to Section 3 residents,
 - A Section 3 resident is defined as 1) a public housing resident; or 2) a HUD defined low- or very low-income person residing in the Minneapolis-St. Paul metro area. For current Minneapolis-St. Paul metro area income limits go to: <http://www.huduser.org/DATASETS/il/il09/index.html>
 - To be qualified as a Section 3 resident, any applicant must complete the attached *Resident Request for Section 3 Preference* form,
- Maintain a list of all lower income residents or qualified Section 3 residents who apply for employment and a copy of their completed *Section 3 Preference* form(s),
- When considering employment of a Section 3 resident, to use the order of priority as outlined in the Authority's Section 3 Plan that gives preference to residents at Authority properties and will be provided upon bid award,
- Properly document any new hires to complete *Section 3 Employment Compliance Report*.

Sub-Contracting Opportunities

List any expected sub-contracting opportunities as a result of this project

<u>Profession/Trade</u>	<u>Amount</u>
_____	\$ _____
_____	\$ _____
_____	\$ _____

- Any subcontracting opportunity must be directed to local Section 3 business concerns,
 - A Section 3 business concern are businesses that can provide evidence that they meet one of the following:
 - 51 percent or more owned by Section 3 residents; **or**
 - At least 30 percent of its full 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**
 - 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 either paragraph above.
 - To be qualified as a Section 3 business concern, a contractor must complete the attached *Certification for Business Concerns Seeking Section 3 Preference* form,
- Document any Section 3 business concerns that expressed interest in the sub contracting opportunity and a copy of their *Certification for Business Concerns Seeking Section 3 Preference* form,
- When considering the award of contracts to business concerns, to use the order of priority as outlined in the Authority's Section 3 Plan that gives preference to businesses that are owned or employ Section 3 resident and will be provided upon bid award,
- Properly document any subcontractors to complete *Section 3 Employment Compliance Report*.

I certify that I have read this Section 3 Compliance Plan and will work to implement all aspects of this program.

Signature: _____

Print name: _____

Company Name & Title: _____

Date: _____

Exhibit 3: Certification for Business Concerns

CERTIFICATION FOR BUSINESS CONCERNS SEEKING SECTION 3 PREFERENCE IN CONTRACTING AND DEMONSTRATION OF CAPABILITY

Name of Business _____

Address of Business _____

Type of Business: Corporation Partnership
 Sole Proprietorship Joint Venture

Attached is the following documentation as evidence of status:

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

- Copy of resident lease
- Copy of receipt of public assistance
- Copy of evidence of participation in a public assistance program
- Other evidence

For business entity as applicable:

- Copy of Articles of Incorporation
- Certificate of Good Standing
- Assumed Business Name Certificate
- Partnership Agreement
- List of owners/stockholders and % ownership of each
- Corporation Annual Report
- Organization chart with names and titles and brief function statement
- Latest Board minutes appointing officers
- Additional documentation

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

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

For business claiming Section 3 status, 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:

- List of all current full-time employees
- List of employees claiming Section 3 status
- PHA/IHA Residential lease less than 3 years from day of employment
- 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:

- Current financial statement
- Statement of ability to comply with public policy
- List of owned equipment
- List of all contracts for the past two years

(Corporate Seal)

Authorizing Name and Signature

Attested by: _____

Exhibit 4: Section 3 Employment & Training Report



Section 3 Employment & Training Report

To be completed by General Contractor and each Subcontractor

Project Name _____ **Date** _____

Property Address _____

General Contractor/Subcontractor Name _____

Contact Person _____ **Phone** _____ **Email** _____

CDBG/NSP Award Amount \$ _____ **Project Contract Amount \$** _____

Part I					
A Job Category	B # of New Hires on the Project	C # of New Hires in Column B that were Section 3 Residents	D % of New Hires that are Section 3	E % of Total Hours Worked on Project by Section 3 Employees	F # of Section 3 Trainees
Professionals					
Technicians					
Office/Clerical					
Officials/Managers					
Sales					
Skilled trades					
Semiskilled Trade					
Unskilled Laborers					
Service Workers					

Others (list)				
Total				

Part II Contract Awards

1. Construction Contracts

- a. Total dollar amount of all construction contracts awarded on the project. \$ _____
- b. Total dollar amount of all construction contracts awarded to Section 3 businesses. \$ _____
- c. Percentage of the total dollar amount that was awarded to Section 3 businesses. _____ %
- d. Total number of Section 3 businesses receiving construction contracts. _____

2. Non-Construction Contracts

- a. Total dollar amount of all non-construction contracts awarded on the project. \$ _____
- b. Total dollar amount of all non-construction contracts awarded to Section 3 businesses. \$ _____
- c. Percentage of the total dollar amount that was awarded to Section 3 businesses. _____ %
- d. Total number of Section 3 businesses receiving non-construction contracts. _____

Part III Summary

Indicate the efforts made to direct the employment and other economic opportunities generated by HUD financial assistance for housing and community development programs, 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).

_____ Recruited 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 nonmetropolitan county) in which the Section 3 covered program or 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 which promotes the award of contracts to business concerns which meet the definition of Section

_____ Coordinated with Youthbuild Programs and administered in the metropolitan area in which the Section 3 covered project is located.

_____ Other; describe below.

Section 3 Report Instructions

Part I

Column A contains various job categories.

Columns B enter the number of new full time hires who were not the payroll for employment at the time of selection for this project

Columns C enter the number of new hires who are Section 3 residents who were not the payroll for employment at the time of selection for this project. A Section 3 resident is defined as 1) a public housing resident; or 2) a low- or very low-income person residing in the greater Minneapolis-St. Paul metro area. For current Minneapolis-St. Paul metro area income limits go to: <http://www.huduser.org/DATASETS/il/i109/index.html>.

Column D enter the percentage of the new hires that are new Section 3 staff hires (% new Section 3 hires = new Section 3 hires/ total new hires)

Column E enter the percentage of the total project hours that are performed by Section 3 hires (% Section 3 employee hours = Section 3 employee hours / total employee hours including all full and part time)

Column F enter the number of trainees that are Section 3 employees

Part II

Use the definition below to complete the self explanatory questions.

A Section 3 business concern are businesses that can provide evidence that they meet one of the following:

- a) 51 percent or more owned by Section 3 residents; **or**
- b) At least 30 percent of its full 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**
- c) 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 a or b

See list of certified Section 3 business provided by HRA if necessary.

Exhibit 5: Resident Request for Section 3 Preference

**WASHINGTON COUNTY HOUSING AND REDEVLEOPMENT AUTHORITY ("Authority")
RESIDENT REQUEST FOR SECTION 3 PREFERENCE**

Eligibility for Preference

A section 3 resident seeking preference in training and employment provided by this part shall certify, or submit evidence to the Authority, recipient contractor, or subcontractor, as requested, that the person is a Section 3 resident, as defined in Section 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 INCOME LIMITS

All residents of housing developments managed by the Authority qualify as Section 3 residents. Additionally, individuals residing in Washington County or the surrounding metropolitan area who meet the income limits set forth below can also qualify for Section 3 status for applicable opportunities.

A picture identification card and proof of current residency is required.

(2010) Eligibility Guideline		
Number in Household	Very Low Income	Low Income
1 individual	29,350	44,800
2 individuals	33,550	51,200
3 individuals	37,750	57,600
4 individuals	41,950	64,000
5 individuals	45,300	69,100
6 individuals	48,650	74,250
7 individuals	52,000	79,350
8 individuals	55,350	84,500

Washington County, as a part of the Minneapolis-St. Paul-Bloomington; MN-WI MSA

Certification for Resident Seeking Section 3 Preference in Training and Employment

I, _____, am a legal resident of _____ and meet the income eligibility guidelines for a low- or very-low-income person as published on this form

My permanent address is: _____

I have attached the following documentation as evidence of my status

- Copy of Evidence of participation in a public assistance program
- Copy of receipt of public assistance Copy of lease Other evidence

Signature

Print Name

Date