City of Hawkinsville
c/o the Middle Georgia Regional Commission
3661 Eisenhower Parkway, Suite MB102
Macon, Georgia 31206

MEMORANDUM

TO: Qualified Engineering Firms

FROM: The Middle Georgia Regional Commission on behalf of the City of Hawkinsville

SUBJECT: Engineering Services for CDBG Sewer Infrastructure Improvements

DATE: November 25, 2026

Enclosed is a Request for Qualifications for qualified engineering firms interested in working with the City of Hawkinsville in its effort to undertake design and construction management of a neighborhood sewer improvement project.

To be considered, proposals must be received by **5:00 pm, Monday, December 28, 2026,** at the Middle Georgia Regional Commission Attn: Aidan Leahy, 3661 Eisenhower Parkway, Suite MB102, Macon, Georgia 31206. **An electronic copy of the proposal must be included.** This may be submitted on a flash drive, CD, or via email to aleahy@mg-rc.org. Zip files will be rejected via email. All proposals must be sealed and should be clearly labeled. Proposals received after the specified date and time will not be considered.

This selected engineering firm will be expected to work with the City of Hawkinsville to complete preliminary engineering work associated with Community Development Block Grant (CDBG) funded sewer improvements. Funding for project work will be contingent on the award of grant funding.

Please direct all questions to Aidan Leahy, Community Development Specialist, Middle Georgia Regional Commission, (478) 722-6961, aleahy@mg-rc.org. Questions should be submitted no later than **Friday, December 11, 2026.**

Enclosures

Request for Qualifications – Engineering Services, Infrastructure Improvement Project
Checklist for Contents of Preliminary Engineering Reports
Section 3 Solicitation Package

REQUEST FOR QUALIFICATIONS – ENGINEERING SERVICES
SEWER IMPROVEMENTS PROJECT

Background

The City of Hawkinsville is in the process of applying for grant funding to assist with water and sewer improvements. The city is seeking an engineering firm with broad experience to provide design and construction supervision for this project that will utilize funds primarily from the CDBG grant program, if awarded. These grants are funded by the federal government and administered at the state level by the Georgia Department of Community Affairs. Therefore, all activities must be performed in strict adherence to applicable federal and state regulations. All project activities will be coordinated with Sara Myers, City Manager for the City of Hawkinsville.

Project Title for Identification Purposes

South Union Street Sewer System Improvements, Phase Two

Scope

The initial work documents required of the selected firm will consist of the preparation of comprehensive engineering plans, including cost estimates. These must be prepared in close communication with the City of Hawkinsville. The grant writing contact for the project is Aidan Leahy, who can be reached at (478) 722-6961 or by e-mail at aleahy@mg-rc.org.

The following engineering services must be provided <u>at a minimum</u>:

1. Preparation of final design, plans, and specifications.

2. The securing of all necessary permits and clearances as applicable to comply with state and federal mandates. For this project, the engineer will be required to provide engineering plans/drawings showing all dimensions drawn to current engineering standards and the required plans for the contractor to apply for permits.

3. Preparation of bid and contract documents, including advertising and bidding procedures, holding the bidders' conference, bid openings, and evaluations.

4. Post-award services, including securing the construction firm's certifications and review of specifications, warranties, operation manuals, and as-built drawings.

5. Construction services including supervision/administration of construction, review of payment requests, change orders, and other coordination with the construction firm. Periodic construction review (at least one visit per week during regular working hours) and other work as required in assuring proper execution of the work. Periodic construction review must ensure that the construction firm's methods of construction provide for the same.

6. Construction close-out, final inspection, project certification, and coordination with the City of Hawkinsville and the Middle Georgia Regional Commission to provide periodic updates to satisfy all CDBG program requirements.

Schedule

To be considered, proposals must be received by **5:00 pm, December 28, 2026,** at the Middle Georgia Regional Commission, Attn: Aidan Leahy. All proposals must be sealed and should be clearly labeled. Any proposals received after **5:00 pm, December 28, 2026,** or at any location other than the Middle Georgia Regional Commission at 3661 Eisenhower Parkway, Suite MB102, Macon, Georgia 31206 will not be considered. **An electronic copy of the proposal must be included.** This may be submitted on a flash drive, CD, or via email to aleahy@mg-rc.org. Zip files will be rejected via email. The successful respondent will be notified on or before **January 4, 2027.**

In addition to the requirements set forth in the Request for Qualifications, the selected engineering firm will be required to submit a completed Preliminary Engineering Report no later than **5:00 p.m.** on **February 19, 2027**. The selected engineering firm will work with the Middle Georgia Regional Commission to provide all information necessary to meet the anticipated Community Development Block Grant application deadline of **April 2, 2027**.

Preliminary Engineering Reports MUST contain ALL elements listed in the "Contents of Preliminary Engineering Reports" checklist found enclosed with this solicitation.

Proposal Contents

Responses are to be returned to the Middle Georgia Regional Commission where an initial evaluation of the proposals will be completed. Those evaluations will be submitted to the City of Hawkinsville for final selection. Respondents are requested to include letterhead pages immediately behind the cover letter that briefly, directly, and exactly answers the following evaluation criteria questions:

1. Your firm's experience, particularly with CDBG grants as well as other grant projects. Please refer to specific pages in the proposal that answer each category of experience. References must include the names and telephone numbers of local governments, personnel involved, and a brief description of the projects.

2. Your firm's prior experience with the City of Hawkinsville. Please refer to specific pages in the proposal that answer each category of experience.

3. At a minimum, the engineering firm's proposal should also provide the following information:

    a. A brief history of the engineering firm and its principal personnel including resumes of the principals.
    b. The length of time the firm has been providing the specific kind of engineering services requested herein.
    c. The name(s) and professional experience of the firm's key personnel who will be assigned to this project. Firm must also state how much direct experience the personnel assigned to this project has had with CDBG-funded projects.
    d. Cost schedules for general services, in addition to cost schedules for additional services.
    e. Fees for reimbursable expenses, if applicable.
    f. The firm must provide a professional services contract. (Note: The contract will be written as "direct costs plus a fixed fee, not to exceed a lump sum." If the engineering firm is contracted for the project, the contract must include additional clauses pertaining to federal regulations that will be supplied by the Middle Georgia Regional Commission). The firm should also include the percentage fee that it normally charges for design and construction supervision on this size project and a list of other services included under contract.
    g. A proposed plan to implement the project, including key timelines and milestones.
    h. A written release authorizing all investigations necessary.
    i. The attached Section 3 solicitation package, if Section 3 preference is being claimed.

Selection
Procedures for selection of an individual/firm will be in accordance with the RFQ package and local procurement requirements, as well as the requirements of the Uniform Administration Requirements ("the common rule") 24 CFR Part 85.

All qualifications will be evaluated in terms of project approach, quality of work, experience, capacity to perform, mobility, and project familiarity. Past performance on other projects may also be assessed in terms of timeliness, completing within budget, and other factors.

Section 3
This is a Section 3 contract opportunity. This project is covered under the requirements of Section 3 of the HUD Act of 1968. Section 3 Residents and Business Concerns are encouraged to apply. This project must ensure that employment and other economic opportunities generated by CDBG funds shall, to the greatest extent feasible, and consistent with federal, state and local laws and regulations, be directed toward low and very low-income persons, particularly those who are recipients of government funding for housing, and to business concerns which provide economic opportunities to low and very low-income persons in coordination with the Section 3 provisions of the Housing and Urban Redevelopment Act of 1968 – 24CFR Part 135.

Fair Housing
This project must affirmatively further fair housing, take steps to analyze impediments to fair housing choice in the City of Hawkinsville, and take steps to overcome any identified impediments in efforts to promote fair housing for city residents.

BABAA Compliance
This agreement is for services related to a project that is subject to the Build America, Buy America Act (BABAA) requirements under Title IX of the Infrastructure Investment and Jobs Act ("IIJA"), Pub. L. 177-58. Absent an approved waiver, all iron, steel, manufactured products, and construction materials used in this project must be produced in the United States, as further outlined by the Office of Management and Budget's Memorandum M-22-11, Initial Implementation Guidance on Application of Buy America Preference in Federal Financial Assistance Programs for Infrastructure, April 18, 2022.

Section 504
This project must ensure that no qualified individual with a disability shall, by reason of such disability, be excluded from the participation in or be denied the benefits of services, programs, or activities of a public entity, or be subjected to discrimination of any such entity as prescribed by law in the Americans with Disabilities Act and Section 504 of the Rehabilitation Act of 1973, 29 U.S.C. 794, as amended.

Disclaimer
The City of Hawkinsville reserves the right to accept or reject any or all proposals. The City of Hawkinsville is an Equal Opportunity Employer.

Contents of Preliminary Engineering Reports

Preliminary planning and engineering reports generally include, but are not limited to, the following:

- ☐ Executive Summary
  - ☐ Brief description of Project Area needs, Conclusions and Recommendations
- ☐ Introduction
  - ☐ Purpose and Scope (project objectives and methodology of evaluation)
  - ☐ Authorization
  - ☐ Previous Studies
- ☐ Background
  - ☐ Target Area description
  - ☐ Plans and photos of Target Area
  - ☐ Population density
  - ☐ Population projections (if available)
  - ☐ Narrative describing existing conditions including description of needs to be addressed
  - ☐ Map of existing conditions, particularly of existing conditions to be addressed with CDBG funds, including pipe sizes and other relevant measures of existing infrastructure
- ☐ Evaluation of Alternatives
  - ☐ Descriptions of alternatives considered, including cost estimates of each alternative (capital, operation and maintenance & user fees)
  - ☐ Street and road projects should include the advantages and disadvantages of alternative typical sections (curb and gutter versus shoulder and ditch section)
  - ☐ Assessment of impacts on Target Area residents & property owners (land, right-of-way and easement acquisition requirements)
- ☐ Description of Proposed Project
  - ☐ Identification of applicable federal, state and local design standards
  - ☐ Drainage projects should include site specific preliminary hydrologic and hydraulic calculations for each drainage shed
  - ☐ Drainage projects should include a description of project outfall(s) and consideration of downstream impacts
  - ☐ Required Permits

- ☐ Operation and maintenance requirements, responsible party (Grantee, GaDOT, other) and operation and maintenance capability (available staff, equipment and expertise)
- ☐ Narrative describing the proposed improvements including a description of the impact of the proposed improvements on the quality of life of target area residents
- ☐ Map of proposed improvements, including pipe sizes and other relevant measures of proposed infrastructure

☐ Detailed Project Budget (Verify the math is correct, including item costs to totals to budget total)

- ☐ Construction and material costs
- ☐ Design and oversight fees
- ☐ Grant Administration
- ☐ Funding sources
- ☐ Projected Operating Revenues and Expenses (if applicable)
- ☐ Projected User Fees (if applicable)

☐ Project Schedule

☐ **All Preliminary Engineering Reports should include an original signature and an engineering stamp. Points may be deducted for feasibility without these required features.**

Georgia Department of Community Affairs
60 Executive Park South, NE, Atlanta, GA 30329

Mandatory Section 3 Solicitation Package

This mandatory solicitation package has been developed in accordance with DCA's Section 3 Policy for Covered HUD Funded Activities. DCA encourages all recipients, sub-recipients, contractors, and sub-contractors to review this policy prior to completion of the solicitation package. For those solicitations that meet the applicable Section 3 thresholds, this package must be returned in accordance with the applicable instructions to the contracting entity prior to award ***or at the time of submission of a bid/proposal in order to claim a Section 3 preference***. The Section 3 Clause, required forms, and instructions are included in this package.

To be considered for a contract award exceeding $100,000, the entire solicitation package must be satisfactorily completed and submitted prior to award. In order to claim a preference for a contract award exceeding $100,000, the Section 3 Self-Certification and Action Plan and the Section 3 Business Concern Self Certification portions of the solicitation package must be satisfactorily completed and submitted at the time of submission of a bid/proposal.

For Section 3 Covered Assistance of $100,000 or less, the solicitation package must be made available to bidders/offerors in accordance with DCA's Section 3 Policy; however, bidders/offerors are not required to submit the solicitation package unless a preference is being claimed. In this case, only the Section 3 Self-Certification and Action Plan and the Section 3 Business Concern Self Certification must be completed at the time of submission of a bid/proposal

Any bid/proposal claiming a preference must include the completed and signed Section 3 Self-Certification and Action Plan and the Section 3 Business Concern Self Certification, and be submitted by the bid/proposal deadline.

The following Section 3 forms must be completed and returned as instructed:

- Section 3 Self Certification and Action Plan
- Previous Section 3 Compliance Certification
- Assurance of Compliance Certification

Additionally, if the contractor is claiming certification as a 51% Resident Owned Business (ROB) or is certifying as a 30% employer, the Resident Self-Certification and Skills Data Form must be returned for all employees who meet the low- or very low-income requirement as well as the appropriate Section 3 Business Certification.

Section 3 Solicitation Overview and Instructions for Contractors

The DCA Section 3 Policy requires that, when the **Section 3 regulation is triggered,** every effort within the contractor's disposal must be made, to the greatest extent feasible, to offer all available employment and contracting opportunities to Section 3 residents and Section 3 businesses based on the compliance methods below.

All Contracts and All Contractors must meet Section 3 compliance by:

A. Giving notice of any and all opportunities for employment and contracting to residents of the local Public Housing Authority (PHA), and other low and very low income area residents and businesses, by posting the opportunity in community sources generally available to low income residents and the general public. Exercising a ***minimum of three (3)*** of the following listed sources must be completed prior to offering employment to anyone not covered by Section 3 requirements:

   1. The local community newspaper
   2. The most widely distributed newspaper
   3. Company or agency website
   4. The management office of the local housing authority/homeless service agency/local low income housing community
   5. Local Workforce Board (i.e. Department of Labor)
   6. Local office of the Georgia Division of Family and Children Services
   7. Dodge Room http://www.construction.com/dodge/dodge.asp
   8. Other locations as approved by DCA

B. The recipient, sub-recipient or contractor must check the HUD Section 3 Business Registry to determine if there are any Section 3 businesses in the County where the work will be performed. If there are Section 3 businesses in the County that may be able to perform the work, the recipient, sub-recipient or contractor must provide a copy of the contracting opportunity(ies) (e.g., bid notices) to the Section 3 businesses. See the HUD Section 3 Business Registry at: https://portalapps.hud.gov/Sec3BusReg/BRegistry/What.

C. Clearly stating in notices that the position is a "Section 3 covered position under the HUD Act of 1968 and that Section 3 Residents and Business Concerns are encouraged to apply."

D. Placing the Section 3 Clause provided in Appendix A in ALL solicitations.

E. When possible, other activities may be done to demonstrate effort to comply with the Safe Harbor Limits. These other efforts are listed in the appendix to part 135 of the Code of Federal Regulations—24 CFR Part 135 and include:

   1. Distributing or posting flyers advertising positions to be filled;

2. Contacting the local government or housing authority for a list of residents who have expressed interest in Section 3 employment;
3. Holding job informational meetings for residents, contractors, etc…;
4. Contacting agencies administering HUD YouthBuild programs and requesting their assistance in recruiting HUD YouthBuild program participants for training and employment positions.

F. Linking residents or businesses to local resources that may be available to help prepare them for applying for and achieving the opportunity.

G. Working with DCA, the recipient, sub-recipient or contractor as applicable in developing a communication and follow up process to track and report all Section 3 applications and hiring activities to ensure the reporting of compliance efforts, and that contracting and sub-contracting are accurate. Provide preference in hiring and contracting to Section 3 applicants and contractors when employment or contracting opportunities are offered and all requirements are met and remain equal. Contractors must:

1. Provide this package to all sub-contractors when soliciting bids for all contracts or sub-contracts;
2. Meet all the same processes in A-E; and
3. Provide Preference to all sub-contractors meeting the definitions as stated in Section VI of DCA's Section 3 Policy for Covered HUD Funded Activities.

H. In order for Preference as a Section 3 Contractor to be factored into the award decision, all elements of the solicitation criteria must be equal between contracts. This means price and all other factors must be equal. Then the contractors that elect Preference on the Certification and Action Plan form that meet that Preference criterion will be provided Preference in the award of the contract as provided in Part VI., Preferences and Eligibility of DCA's Section 3 Policy for Covered HUD Funded Activities.

Example:
Bill's electrical and Sue's Electrical bid a job where the housing authority has a budget of $500,000. Bill bids $480,000 and elects a Preference as a Section 3 business concern because he qualifies as a 51% Resident Owned Business. Sue bids $450,000 but does not elect any Preference. Both companies met all the other requirements. Sue will be awarded the contract because Bill's bid was higher.

Important items to remember about receiving Preferences in contract award:

All contractors and/or subcontractors that elect a Preference and are awarded a contract must be in compliance prior to the issuance of a Notice to Proceed by DCA, the recipient, sub-recipient, or the contractor based on the policies established for the applicable DCA funding program. The contractor and/or subcontractor must maintain the elected Preference standard during the entire contract or risk having the contract terminated for failure to comply. **See Appendix B for further details.**

When a contractor and/or subcontractor that elected a Preference is unable to identify a Section 3 resident or a Section 3 business for employment or contracting opportunities, the contractor then ***must*** offer employment related training to the Section 3 residents in the county. The training must be provided according to Part VII – Other Economic Opportunities in DCA's Section 3 Policy.

Appendix A
Section 3 Clause

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

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

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

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

Appendix B

Section 3 Contract Non-Compliance Cure /Termination Processes

This language is a component of contract compliance with the work to which you are responding in this solicitation. The full requirements are provided in the Section 3 Clause found elsewhere in this package and in DCA's Section 3 Policy for Covered HUD Funded Activities.

Any recipient, sub-recipient or contractor claiming Preference **must be in compliance prior to issuance of a notice to proceed by DCA, recipient, sub-recipient, or contractor based on the policies established for the applicable DCA funding program. This preference can be met by any of the three qualifications:**

1. Resident Owned Businesses (ROBs) owned and operated at 51% by Section 3 Residents.
2. Businesses that employ Section 3 residents at no less than 30% of the contractors aggregate full time staff.
3. Contractors that at the time of bid show evidence (meaning the specific name and preference met) of their intent to award no less than 25% of their total award to Section 3 business concerns.

The recipient, sub-recipient or contractor must maintain compliance throughout the life of the contract. The contractor understands and agrees that a compliance management firm may be used to conduct routine and certified payroll reviews to ensure compliance. The Contractor agrees to provide the payroll data in an Excel or Word format each time the payroll is processed throughout the contract.

Failure to meet the Section 3 requirements will result in penalties up to and including contract termination. Any contractor triggering the regulation by doing any hiring or contracting once they are awarded the contract through execution must comply with the Section 3 requirements by executing the efforts on their Certification and Action Plan in accordance with DCA's Section 3 Policy.

DCA, the recipient, sub-recipient or contractor shall execute these remedies to achieve compliance in this order:

NON-COMPLIANCE CURE PROCESS

A. Based on the first observation or report of non-compliance with Section 3, the recipient, sub-recipient or contractor will be sent an e-mail by the compliance manager notifying them of their non-compliance issue. The recipient, sub-recipient or contractor will have until the next payroll or 10 business days, whichever is less, to bring the contract into compliance and/or justify in writing why they cannot meet compliance requirements.

B. DCA, the recipient, sub-recipient or contractor must render a response to the violating party within 10 business days of receipt of the violating party's letter of reason for non-compliance. If DCA, the recipient, sub-recipient, or the contractor deems the reason to

be unacceptable, at its option, DCA, the recipient, sub-recipient, or the contractor can extend the response period one time for up to 5 business days to allow the violating party to identify and secure other compliance options.

NON-COMPLIANCE TERMINATION PROCESS

If the violating party fails to take any corrective action to bring the contract into compliance within the allotted time, or DCA, the recipient, sub-recipient, or the contractor rejects any of the corrective plans and justifications for non-compliance, DCA, the recipient, sub-recipient, or the contractor will either terminate the contract immediately or impose liquidated damages equal to $100 a day for every day out of compliance. At DCA's determination, any liquidated damages received must be paid to the recipient, sub-recipient or DCA, at DCA's determination, and be used to promote economic opportunities for Section 3 Residents and Business Concerns.

DCA, the recipient, sub-recipient, or the contractor will hold **all funds due to the violating party until such time that a financial workout is completed**.

Additionally the violating party may be banned by DCA, the recipient, sub-recipient, and the contractor on future HUD funded projects.

Appendix C
Section 3 Forms

Georgia Department of Community Affairs
Required Submittal - Section 3 Self-Certification and Action Plan

All firms and individuals intending to do business with DCA, its recipients, sub-recipients and contractors MUST complete and submit this Action Plan and submit it with the bid, offer, or proposal in order to claim a preference on any contract or prior to award of a contract exceeding $100,000 if no preference is claimed. ***For contracts exceeding $100,000, this document (signed, and notarized) must be satisfactorily completed to be eligible for award.***

Business Name:		
D.B.A. (if different from above):		
Address:	City:	State/Zip:
Business Phone: ( )	Fax: ( )	
E-Mail:	Business Website:	
Federal Employer Identification Number:	Owner Social Security Number (if no EIN):	
Contact Person & Title:	Contact Phone:	

Trade Description:

☐ Carpentry	☐ Heating (HVAC)	☐ Electrical	☐ Painting
☐ Masonry Restoration	☐ Asbestos	☐ Plumbing	☐ Roofing
☐ Lead (Abatement)	☐ General Contractor	☐ Concrete	☐ Ironwork
☐ Carpet/Flooring	☐ Rubbish Removal/Hauling	☐ Appraisal Services	☐ Landscaping
☐ Demolition	☐ Other:		

Date Business was established (MM/DD/YYYY): _____

Type of Business (Check One): ☐Corporation ☐ Partnership ☐ Sole Proprietorship
☐ Limited Liability Corporation (LLC) ☐ Limited Liability Partnership (LLP) ☐ Joint Venture
☐ Other (Describe):

_____

_____

Number of employees: Full-time: _____ Part-time: _____ Contract: _____ **Total:** _____

Section 3 employees: Full-time: _____ Part-time: _____ Contract: _____ **Total:** _____

I am Certifying as a Section 3 Business Concern and requesting Preference accordingly (Select only One Option):

Option 1

☐ A business claiming status as a Section 3 Resident-Owned Business Concern (ROB) entity:

_____Initial here to confirm selection of this option

Option 2

☐ A business claiming Section 3 status, because at least 30% of the existing or newly hired workforce for this specific contract will be Section 3 residents throughout the entire contract period. If a Prime or General Contractor is electing this option, the 30% employment requirement will be for the entire project including all the sub-contractors' employees:

Check all methods you will employ to secure Section 3 Residents/Persons

Posting the position in community sources that are generally available to low income residents and the general public is a standard requirement. **Check at least three (3) methods you will employ:**

- ☐ The local community newspaper
- ☐ The most widely distributed newspaper
- ☐ Company or agency website
- ☐ The management office of the local housing authority, or homeless service agency, or local low income housing community
- ☐ Local Workforce Board (i.e., Department of Labor)
- ☐ Local office of the Georgia Division of Family and Children Services
- ☐ Local office of the Georgia Department of Public Health
- ☐ Dodge Room http://www.construction.com/dodge/dodge.asp
- ☐ Other locations identified below and subject to DCA approval:

_____

_____

_____Initial here to confirm selection of this option

I anticipate my total number of employees for this contract to be ____ and _____ will be qualified Section 3 Residents/persons.

Option 3

☐ A business claiming Section 3 status by subcontracting 25% of the dollar award to qualified Section 3 Business:

Attach a list of intended subcontract Section 3 business(es) with subcontract amount.

Attach certification & all supporting documentation for each planned subcontract Section 3 Business.

_____Initial here to confirm selection of this option

I am NOT Requesting Preference under Section 3:

☐ *I am **NOT** certifying as a qualified Section 3 Business Concern and I am not requesting a preference.* However ***if*** *I do trigger the regulation by doing any sub-contracting or hiring, I will comply by meeting all requirements of DCA's Section 3 policy and am* committing to do the outreach as specified below.

Check all methods you will employ to secure Section 3 Residents/Businesses

Posting the position/contract opportunity in community sources that are generally available to low income residents and Section 3 Businesses and the general public is a standard requirement. **Check at least three (3) methods you will employ:**

- ☐ The local community newspaper
- ☐ The most widely distributed newspaper
- ☐ Company or agency website
- ☐ The management office of the local housing authority, or homeless service agency, or local low income housing community
- ☐ Local Workforce Board (i.e., Department of Labor)
- ☐ Local office of the Georgia Division of Family and Children Services
- ☐ Local office of the Georgia Department of Public Health
- ☐ Dodge Room http://www.construction.com/dodge/dodge.asp
- ☐ Other locations identified below and subject to DCA approval:

_____

_____

_____Initial here to confirm selection of this option

Signature: _____

Printed/Typed Name:_____

Title:_____

Date:_____

Notarial Affidavit

Sworn to and subscribed before me this _____ day of _____, 20_____.

_____

Signature of Notary Public

_____

Printed Name of Notary Public

Commission Expiration Date: _____

(Notarial Seal)

Georgia Department of Community Affairs
Required Submittal - Previous Section 3 Compliance Certification

Name of Business: _____

Address of Business: _____

Type of Business (Check One): ☐ Corporation ☐ Partnership

☐ Sole Proprietorship ☐ Other

Business Activity: _____

All firms and individuals intending to do business with DCA, its recpients, sub-recipients, or contractors **MUST** complete and submit this certification of prior compliance prior to award of any contract exceeding $100,000. Please check the appropriate line box below and sign and date the form.

1. I am certifying that I have complied with the HUD Section 3 Regulations, when triggered by new hiring or contracting opportunities, in my past contracts **when required** by the recipient, sub-recipient or contractor by either:

i. Certifying as Resident Owned Business (ROB); or,
ii. Employing Section 3 residents for at least 30% of the newly hired workforce; or,
iii. Subcontracting 25% of the total dollar award to a qualified Section 3 Business; or,
iv. Hiring or contracting to the "greatest extent feasible" with Section 3 Residents or Section 3 Businesses.

☐ Check this box

2. I have never done any HUD funded contracting.

☐ Check this box

3. I completed HUD Section 3 covered contracts in the past three years but the regulation was not triggered because either there were no new hires on the contract(s) and/or I did not do any new contracting or subcontracting.

☐ Check this box

Signature: _____
Print Name: _____
Title: _____

Required Submittal - Assurance of Compliance Certification
Section 3 Action Plan
Housing and Urban Development Act of 1968
(12 U.S.C. 1701 U)

Contract/Solicitation Name or Number:

_____

DCA Funding Program:_____

Entity Receiving DCA Funding Award:_____

Purpose: To ensure that regulations promulgated under 24 CFR Part 135 Employment Opportunities for Businesses and Lower Income Persons in Connection with Assisted Projects and the Section 3 Policy of DCA, its recipients, sub-recipients and contractors to the greatest extent feasible is adhered to, and to serve as the "assurance of compliance" certification and action plan as required in the bid documents, supplemental general conditions, and required forms for the contract for any HUD work funded by DCA.

Description of the project's work detail: The project work will be as listed in the final scope of work in the contract with DCA, its recipients, sub-recipients and contractors including any change orders. List all known subcontractors below:

Subcontractor(s): _____

Subcontractor(s): _____

Subcontractor(s): _____

Subcontractor(s): _____

Subcontractor(s): _____

Subcontractor(s): _____

Subcontractor(s): _____

Subcontractor(s): _____

Use an additional sheet if required.

Note: If subcontractors are unknown at this time, print UNKNOWN on the line above. Also, the contractor must notify DCA or recipient or sub-recipient if subcontractors are added or changed during the contract. Any changes to this certification requires a resubmission of this form to DCA or recipient or sub-recipient.

Preliminary Statement for Work Force Needs:

DCA intends to meet Section 3 compliance at the highest level and it is our intent to identify any short-term and long-term employment or contracting opportunities for qualified Section 3 persons and Business Concerns during the course of the contract funded by DCA via its recipients or sub-recipients and contractors. Please list the status of all planned employment positions and opportunities for this contract. **Preference for all opportunities must be given to low and very low-income residents if they qualify. If awarded a contract,** regardless of whether your firm has elected a preference, **you are <u>required</u> to provide a list of your aggregate workforce on this project. Any changes to that workforce during the project will constitute NEW hires. You must notify DCA, its recipient, sub-recipient or contractor (respectively) overseeing your contract of any new hire opportunities that arise during the life of your contract.** The a*nticipated workforce list may be provided on a separate sheet or in a different format.*

<u>List All Employees</u>	<u>Date Hired</u>	<u>Section 3 Resident (Yes/No)</u>	<u>Job Title/Trade</u>	<u>Salary Range</u>
Name: Address: City, ZIP:				
Name: Address: City, Zip Code:				
Name: Address: City, Zip Code:				
Name: Address: City, Zip Code:				

Use additional pages as needed.

"To the Greatest Extent Feasible":

The Contractor has identified ___ # of **OPEN** positions with respect to this contract. The positions are filled by the _____ (Position title) of the Contractor.

Should the scope of work or duties of the contractor change to a degree requiring a modification of the work force needs, the contractor shall put forth a reasonable effort to fill vacant positions with eligible Section 3 residents.

Documentation of "To the Greatest Extent Feasible":

The contractor will work with DCA, its recipients, sub-recipients, and contractors staff to notify residents of any opportunities afforded under the contract. The contractor will partner with DCA, its recipients, sub-recipients, and contractors by giving preference of any employment opportunities to the Section 3 persons or businesses.

The contractor shall recruit or attempt to recruit from the Section 3 area the necessary number of low-income and very low-income residents and Section 3 businesses, as applicable. The contractor must also document their recruiting efforts and any impediments to compliance with DCA's Section 3 policy and the requirements of this solicitation package. This documentation must be submitted to the recipient or sub-recipient.

1. DCA, its sub-recipients and contractors shall: Maintain a list of all low-income area residents who have applied, either on their own or from referral from any source, and employ such person if otherwise eligible and if a trainee vacancy exists.
2. Conduct solicitation in accordance with DCA's Section 3 policy and the requirements outlined in the solicitation package.

The contractor shall review all employment applications and determine if low-income and very low-income residents or Section 3 businesses meet minimum hiring or contracting qualifications. If these applicants meet such minimum qualifications, but are not hired due to lack of employment opportunities or for other reasons, they will be placed on a priority list and offered positions/contracts upon the occurrence of the first available appropriate opening.

Utilization of Section 3 Businesses Located Within the County:

The recipient, sub-recipient or contractor does ___ does not ___ intend to subcontract any of the work identified in the scope of work cited in the bid specifications, scope of work or General Conditions. Should the scope of work or needs of the contractor change, the contractor shall, to the greatest extent feasible, assure that subcontracts be awarded to business concerns within the Section 3 covered area, or to business concerns owned in the substantial part (at least 51%) by persons residing in the Section 3 covered area.

Record Keeping:
The recipient, sub-recipient, contractor or subcontractor, as applicable, shall maintain on file all records related to employment and job training of low-income and very low-income residents or other such records, advertisements, legal notices, brochures, flyers, publications, assurances of compliance from sub-contractors, etc., in connection with this contract. If a report is needed in the future, the recipient,

sub-recipient, contractor or subcontractor, as applicable, agrees to provide all records upon request. The contractor shall, upon request, provide such records or copies of records to HUD, DCA, their recipients, sub-recipients, contractors, staff, or agents. Records shall be maintained for at least three (3) years after the close of the contract.

Reports:
The recipient, sub-recipient or contractor shall provide reports as required in connection with the contractor specifications. All certified and regular payrolls shall clearly detail which employees qualify under Section 3.

Certification:
The recipient, sub-recipient or contractor will certify that any vacant employment positions, including training positions that filled:

1) After the recipient, sub-recipient or contractor is selected but before the contract is executed, and
2) With persons other than those to who the regulations of 24 CFR Part 135 require employment opportunities to be directed, were not filled to circumvent the subcontractor's obligations under 24 CFR Part 135.

Grievance and Compliance:
The recipient, sub-recipient, contractor or subcontractor hereby acknowledges that they understand that any low-income and very low-income resident of the project area, for him/her or as representatives of persons similarly situated, seeking employment or job training opportunities in the project area, or any eligible business concerns seeking contract opportunities may file a grievance if efforts to the greatest extent feasible were not executed. The grievance must be filed with HUD not later than one hundred eighty (180) calendar days from the date of the action (or omission) upon which the grievance is based.

I attest that the information on the preceding pages is true and correct.

_____ _____

Signature Date

_____

Print Name

_____

Title

RESIDENT SECTION 3 SELF-CERTIFICATION AND SKILLS DATA FORM

The purpose of this form is to comply with HUD Section 3 administration and certification regulations.

Certification for Section 3 Residents or other Low-Income Persons Seeking Employment, Training or Contracting

I, _____, am a legal resident of the United States and meet the income eligibility and federal guidelines for a Section 3 Resident as defined within this Certification.

My home address is: _____

Must be a **Street** address not a P O Box # Apt Number

_____

City State Zip Home # Cell #

_____

County of Residence

Graduated High School or GED (month/year): _____ I Read and Speak English Fluently: Yes or No

Attended College, Trade, or Technical School: Yes or No Graduated? Yes or No Year Graduated:_____

Check the Skills, Trades, and/or Professions in which you have been employed or contracted to do for others:

☐Drywall Hanging	☐Drywall Finishing	☐Interior Painting	☐Framing
☐HVAC	☐Electrical	☐Interior Plumbing	☐Exterior Plumbing
☐Siding	☐Cabinet Hanging	☐Door Replacement	☐Trim/Carpentry
☐Stucco	☐Window/Door Replacement	☐Construction Cleaning	☐Exterior Framing
☐Data Entry	☐Receptionist	☐ Sales	☐Telephone Customer Service
☐Administrative	☐Teaching/Training	☐Personal Care Aide	☐Landscaping
☐CDL License	☐Roofing	☐Concrete/Asphalt Work	☐Heavy Equipment Operator
☐Fencing	☐Metal/Steel Work	☐Welding	
☐Other		☐Other	

I am certifying as a Section 3 Resident**:** ☐ **Person seeking Training** **or** ☐ **Person seeking employment**

(Check all that apply):

☐ I am a public housing or section 8 Leaseholder ☐ I live in the service area

My total annual household income is $_____. There are a total of _____ people living in my household.

I certify that all of the information given on this Certification is true and correct. If found to be inaccurate, I understand that I may be disqualified as an applicant and/or a certified Section 3 individual which may be grounds for termination of training, employment, or contracts that resulted from this certification. I attest under penalty of perjury that my total household income annually, based on my total household size as listed above is at or below the income amount for that specific size at the time of this document is being signed and notarized. I understand that proof of this statement may be requested in the future.

_____ _____

Signature Date

Printed Name: _____

Purpose:
The purpose of Section 3 of the Housing and Urban Development of 1968 (12 U.S.C. 1701u) (Section 3) is to ensure that employment and other economic and business opportunities generated by HUD Financial Assistance shall be directed to the Authority Residents and other low- and very low-income persons, particularly those who are recipients of government housing assistance and to business concerns which provide economic opportunities to Residents and other low- and very low-income persons.

Section 3 resident means:

(1) A public housing resident; or

(2) An individual who resides in the metropolitan area or non-metropolitan county in which the section 3 covered assistance is expended, and who is:
   I. A low-income person, as this term is defined in section 3(b)(2) of the 1937 Act (42 U.S.C. 1437a(b)(2)). Section 3(b)(2) of the 1937 Act defines this term to mean families (including single persons) whose incomes do not exceed 80% 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 80% 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; or

   II. A very low-income person, as this term is defined in section 3(b)(2) of the 1937 Act (42 U.S.C. 1437a(b)(2). Section 3(b)(2) of the 1937 Act (42 U.S.C. 1437a(b)(2) defines this term to mean families (including single persons) whose incomes do not exceed 50% of the median family income for the area, as determined by the Secretary with adjustments made for smaller or larger families, except that the Secretary may establish income ceilings higher or lower than 50% 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.

(3) A person seeking the training and employment preference provided by section 3 bears the responsibility of providing evidence (if requested) that the person is eligible for the preference.

Service area means the geographical area in which the persons benefiting from the Section 3-covered project reside.

The figures below represent very low-income families; bottom figures represent low-income families. The most recent income limits established for each county may be found at:
http://www.hud.gov/offices/cpd/affordablehousing/programs/home/limits/income/.

Subrecipient or Contractor to Insert 2013 Income Limits for Project Location

FY 20XX Income Limit Area	Median Income	FY 20XX Income Limit Category	1 Person	2 Person	3 Person	4 Person	5 Person	6 Person	7 Person	8 Person
		Very Low (50%) Income Limits								
		Low (80%) Income Limits								

RESIDENT SECTION 3 SELF-CERTIFICATION
AND SKILLS DATA FORM
AFFADAVIT

STATE OF _____

County of _____

I, _____, a Notary Public of the City/County of _____, State of _____, do hereby certify that, _____, whose name is signed to the writing above bearing date on the _____ Day of _____, 20_____, has acknowledged the same before me in my State aforesaid.

Given under my hand and official seal, this the _____ day of _____, 20___.

_____
Signature of Notary Public

_____
Printed Name of Notary Public

Commission Expiration Date: _____

(Notarial Seal)

SECTION 3 BUSINESS CONCERN SELF CERTIFICATION

The Georgia Department of Community Affairs (DCA) is seeking to extend the benefits of and to promote compliance with Section 3 by identifying Section 3 Business Concerns and targeting Section 3 Business Concerns for business opportunities, events and educational programs.

In an effort to comply with Federal Section 3 Regulations which promote contract, employment and training opportunities for State of Georgia residents, DCA has instituted a Section 3 Self Certification process.

Businesses seeking certification must complete and submit the attached Section 3 Business Concern Self Certification forms as follow:

1. If your company is qualified because it is owned (51% or more) by one or more Section 3 residents, then complete **Form A, "Section 3 Business Concern – Resident Business Owner(s) Verification";**

   OR

2. If your company is qualified because 30% or more of its full time permanent workforce are Section 3 Residents*, then complete **Form B, "Section 3 Business Concern – 30% + Workforce".**

   OR

3. If more than 25% of all subcontract work to be awarded shall be performed by Section 3 business concerns as described above, then complete **Form C, "Section 3 Business Concern-Subcontractor".**

Please answer all questions, sign the completed forms, and notarize the affidavit.

Completed packets must be returned to the sub-recipient or contractor as follows:

Name of sub-recipient/contractor: _____
Attn: _____
Mailing Address: _____
_____

If you have any questions or require assistance, please contact:

Name: _____
Phone Number: _____
Email Address: _____

Form A
SECTION 3 BUSINESS CONCERN
Resident Business Owner(s) Verification

A business can be certified as a Section 3 Business Concern if the business is owned (51% or more) by Georgia Section 3 Resident(s).

Name of Owner: _____

Home Street Address: _____

Home City, County, & Zip Code:_____

Name of Business: _____

Percentage of Ownership: _____%

Low- to – Moderate Income (80% of Median)
Check the appropriate box for your family size and income *if your total household income is equal to or less than the Gross Household Income Maximum amount listed for your appropriate household size*:

Check Box	# of Persons in Household	Gross Household Income Maximum
	1 Individual	
	2 Individuals	
	3 Individuals	
	4 Individuals	
	5 Individuals	
	6 Individuals	
	7 Individuals	
	8 Individuals	

(Effective _____, 2013)

If the business is owned by more than one Section 3 resident, list each owner below and each should submit a separate Resident Business Owner Verification Form (Form A).

Please list additional Section 3 Resident owners of the business below:

Name	Position	% Percentage of Ownership

I certify that I am a resident of the State of Georgia and my total household income last year was not more than the amount shown above for my family size. I further certify the information provided is true and accurate and agree to provide upon request, documents verifying the information submitted to qualify as a Section 3 Business Concern.

Print: _____ Signature: _____ Date: _____

Form B

SECTION 3 BUSINESS CONCERN

30% + Workforce

A business can be certified as a Section 3 Business Concern if at least 30% of its permanent, full-time employees are Section 3 residents, or were Section 3 residents within three years of the date of the first employment with the business. You may also certify as a Section 3 Business Concern if, for this award, you will hire Section 3 residents for at least 30% of your permanent, full-time employees for this specific project. For your firm to be eligible UNDER THIS CRITERIA, you must provide the following information for **all permanent, full-time employees.**

You may attach additional copies of this chart, if necessary.

List All Employees	**Date Hired**	**Section 3 Resident**	**Job Title/Trade**	**Salary Range**
Name: Address: City/Zip:				
Name: Address: City/Zip:				
Name: Address: City/Zip:				
Name: Address: City/Zip:				
Name: Address: City/Zip:				
Total Number of Employees:	**Full-Time:** _____	**Part-Time:** _____	**Contract:** _____	
Number of Section 3 Residents:				
Section 3 % of Total Workforce:				

I certify that the information provided is true and accurate and agree to provide upon request, any/all documents verifying the information submitted to qualify as a Section 3 Business Concern.

Print Name: _____

Title: _____

Company Name: _____

Signature: _____

Date: _____

Form C
SECTION 3 BUSINESS CONCERN
Subcontractor Awarded

A business can be certified as a Section 3 Business Concern if the firm makes a commitment to subcontract in excess of twenty-five percent (25%) of the total amount of subcontracts to be awarded to: A) Section 3 Resident Owned Businesses; or B) Businesses for which 30% or more of their permanent full-time workforce is comprised of Section 3 Residents.

List all work performed by Section 3 Business Concerns Identified (This Form is to be updated as Section 3 Business Concerns are awarded through the completion of the project):

Name of Business	Qualifying Conditions	Total Contract Award

All identified Section 3 Business Concerns listed above are required to complete a Section 3 Self Certification Application (Forms A – C as appropriate) or provide proof of Section 3 Certification status. Attach all required documents to this form.

I certify that the information provided is true and accurate and agree to provide upon request, any/all documents verifying the information submitted to qualify as a Section 3 business concern.

Print Name: _____

Title: _____

Company Name: _____

Signature: _____

Date: _____