

**Certification Regarding
Debarment, Suspension, And Other Responsibility Matters
Primary Covered Transactions**

12/21/2012

Recipient: Okeechobee County Contract Number: 10DB-K27 and 11DB-PS34

Name of Company Selected as a Prime Contractor: _____

DUNS Number: _____

- 1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
 - (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
 - (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph 1)(b) of this certification; and
 - (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Authorized Signature

Date

Name Typed

Title

Street Address

City, State, Zip

(24 CFR 24.510 and 24 CFR, Part 24, Appendix A)

**Certification Regarding
Debarment, Suspension, Ineligibility and Voluntary Exclusion
(Subcontractor)**

12/21/2012

Recipient: Okeechobee County Contract Number: 10DB-K27 and 11DB-PS34

Name of Subcontractor: _____

DUNS Number: _____

Lower Tier Covered Transactions

- (1) The prospective lower tier participant certifies, by submission of this document, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to the above statement, the prospective participant shall attach an explanation to this form.

Authorized Signature

Date

Name Typed

Title

Street Address

City, State, Zip

(24 CFR 24.510 and 24 CFR, Part 24, Appendix A)

Prime Contractor Efforts to Utilize Minority/Woman Subcontractors

Proposed contract Okeechobee County US Hwy 98 Ditch Culvert & Retention Area

Check the applicable category blank, and complete

_____ **The following minority/woman subcontractor(s) will be utilized for this project:**

_____ **The following trades will be subcontracted, but no minority/woman subcontractors will be used because** (describe efforts to hire minority/woman)

Trade: _____ Effort & Result: _____

Trade: _____ Effort & Result: _____

Trade: _____ Effort & Result: _____

Trade: _____ Effort & Result: _____

_____ **No subcontractors are expected to be needed for this project. If subcontracting needs arise, efforts to utilize a minority/woman vendor will be documented and provided to the contracting agency.**

Signature of Owner/Officer _____

Section 3 Participation Report (Construction Prime Contractor)

12/28/2012

Local Government: Okeechobee County CDBG Contract #: 10DB-K27 and 11DB-PS34

Project: US Hwy 98 Ditch Culvert Replacement and Dry Retention Area

This form must be completed by the prime contractor for any construction contract over \$100,000. Voluntary reporting for contracts under \$100,000 is encouraged.

Contractor's Name: _____

Contractor's DUNS Number: _____ Contract Amount: \$ _____

| | |
|---|--|
| 1. Does the business qualify as a "Section 3 Business Concern" because | |
| a) It is at least <u>51% owned</u> by Section 3 residents*, or | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| b) At least 30% of its <u>permanent full-time employees</u> are | |
| i) Currently Section 3 residents*, or | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| ii) Were Section 3 residents* within first three years of employment, or | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| c) Will at least 25% (dollar value) of construction subcontracts (no material/supplies/equipment vendors unless they are also installing same) be to businesses meeting (a) or (b) above? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| If yes , list any Section 3 subcontractors and subcontract amount: | |
| Subcontractors | Subcontract Amount |
| | \$ |
| | \$ |
| | \$ |
| 2. Will the contractor be hiring any additional staff (office or field) for this project? | |
| <input type="checkbox"/> Yes <input type="checkbox"/> No | |
| • If yes , what types of jobs will be filled, and how many additional hires are estimated in each job type? | |
| | |

***Section 3 resident means:**

- (1) A public housing resident; or
- (2) An individual who resides in the metropolitan area or nonmetropolitan 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 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; 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 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.
- (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.

Note: This contract is funded with federal funds, and this information is required for construction contracts over \$100,000 for reporting purposes. See Section 3 portion of **CDBG Supplemental Conditions for Construction Projects** for additional information.

Section 3 Participation Report (Construction Subcontractor)

12/28/2012

Local Government: Okeechobee County CDBG Contract #: 10DB-K27 and 11DB-PS34

Project: US Hwy 98 Ditch Culvert Replacement and Dry Retention Area

This form must be completed by construction subcontractors when the prime contract is at least \$100,000. (Do not include the cost of equipment or material suppliers unless you are installing also.) Voluntary reporting is encouraged when the prime contract is under \$100,000.

Subcontractor's Name: _____

Subcontractor's DUNS Number: _____ Subcontract Amount: \$ _____

| | |
|---|--|
| 1. Does the business qualify as a "Section 3 Business Concern" because | |
| a) It is at least <u>51% owned</u> by Section 3 residents*, or | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| b) At least 30% of its <u>permanent full-time employees</u> are | |
| i) Currently Section 3 residents*, or | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| ii) Were Section 3 residents* within first three years of employment, or | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 2. Will the subcontractor be hiring any additional staff (office or field) for this project? | |
| <input type="checkbox"/> Yes <input type="checkbox"/> No | |
| <ul style="list-style-type: none"> • If yes, what types of jobs (e.g., laborer, equipment operator) will be filled, and how many additional hires are estimated in each job type? | |
| | |

***Section 3 resident** means:

- (1) A public housing resident; or
- (2) An individual who resides in the metropolitan area or nonmetropolitan 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 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; 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 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.
- (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.

Note: This contract is funded with federal funds, and this information is required for reporting purposes for projects costing over \$100,000. See Section 3 portion of **CDBG Supplemental Conditions for Construction Contracts** for additional information.

SUBCONTRACTOR SECTION 3 CERTIFICATION (07.02)

Name of Sub Contractor

Okeechobee County CDBG Culvert & Retention
Project Name & Number

The undersigned hereby certifies that

- (a) Section 3 provisions are included in the Contract;
- (b) A written Section 3 plan was prepared and submitted as part of the bid proceedings (if bid equals or exceeds \$100,000); and,
- (c) No segregated facilities will be maintained as required by Title VI of the Civil Rights Act of 1964.

Name & Title of Signer (print or type)

Signature

Date

Documentation for Business Claiming Section 3 Status

12/28/2012

Name of Business: _____

DUNS Number of Business: _____

Address of Business: _____

Type of Business: Corporation Partnership
 Sole Proprietorship Joint Venture

Attached is the following documentation as evidence of our Section 3 status:

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

- List of Section 3 subcontractor(s) and subcontract amount(s).

For a business claiming Section 3 status based on at least 30 percent of their workforce currently qualifying as Section 3 residents or having been qualified as Section 3 eligible residents within three years of date of first employment with the business

- List of all current full-time employees, and
- List of employees claiming Section 3 status and for each such employee:
 - PHA/IHA Residential lease less than three years from date of employment, or
 - Other evidence of Section 3 status less than three years from day of employment.

I certify that the above information is correct.

Signature

Type Name and Title

Date

Note: The local government shall maintain this form and supporting documentation in the CDBG project files for review during monitoring.

Section 3 Resident Certification for Employees or Job Applicants

Name of Business: _____

County of Certification: Okeechobee

Applicants for Employment:

_____ (initials) I hereby certify that I am a current legal resident of Okeechobee County.

_____ (initials) My current household size is _____ and my current household annual income is not more than the amount listed below (the current year) for my household size.

2013 Income Limits For Household Size:

| | |
|-------------------|-------------------|
| 1 person \$27,900 | 5 people \$43,050 |
| 2 people \$31,900 | 6 people \$46,250 |
| 3 people \$35,900 | 7 people \$49,450 |
| 4 people \$39,850 | 8 people \$52,650 |

Current Employees:

_____ (initials) I hereby certify that I am a current legal resident of Okeechobee County.

Option A _____ (initials) I am an employee of _____. My current household size is _____ and my current household annual income is not more than the amount listed above for my household size.

OR

Option B _____ (initials) I have been employed by _____ since _____ (not more than 3 years). At the time I was hired, my household size was _____ and my household income was not more than the amount listed for the year of my hiring.

Income Limits For Household Size:

| | <u>2012</u> | <u>2011</u> |
|----------|-------------|-------------|
| 1 person | \$26,660 | \$25,400 |
| 2 people | \$30,400 | \$29,000 |
| 3 people | \$34,200 | \$32,650 |
| 4 people | \$38,000 | \$36,250 |
| 5 people | \$41,050 | \$39,150 |
| 6 people | \$44,100 | \$42,050 |
| 7 people | \$47,150 | \$44,950 |
| 8 people | \$50,200 | \$47,850 |

Name _____

Address _____

Signature _____

Date _____