

City of Grand Island

Tuesday, July 12, 2016 Council Session

Item G-11

#2016-169 - Approving Certifications Required for Community Development Block Grant Plan Submission

Staff Contact: Charley Falmlen

Council Agenda Memo

From:	Charley Falmlen, Community Development			
Meeting:	July 12, 2016			
Subject:	Certifications Required for Community Development Block Grant Plan Submission			
Presenter(s):	Charley Falmlen, Community Development			

Background

The United States Department of Housing and Urban Development requires that all communities which receive Community Development Block Grant (CDBG) funds must adopt multiple certifications to be eligible for receiving funding. These certifications include agreeing to comply with various federal requirements including Fair Housing practices, Anti-Lobbying practices and Lead – Based Paint rules. In addition to general statement of agreement, various plans and/or statements must be created to comply. The Citizen Participation Plan, adopted by City Council on April 28, 2016 is one example of a required certification, along with the Anti-Displacement and Relocation Plan, Section 3 Plan, and Excessive Force Statement, which are available for review as part of this agenda item.

Discussion

At this time it is requested that Council approve the proposed CDBG Certifications along with adopting the Anti-Displacement and Relocation Plan, Section 3 Plan and Excessive Force Statement.

Alternatives

It appears that the Council has the following alternatives concerning the issue at hand. The Council may:

- 1. Move to approve the Certifications and Plans
- 2. Refer the issue to a Committee
- 3. Postpone the issue to future date
- 4. Take no action on the issue

Recommendation

City Administration recommends that the Council approve the Certifications and Plans.

Sample Motion

Move to approve the Certifications and Plans, and authorize the Mayor to sign all related documents.

CERTIFICATIONS

In accordance with the applicable statutes and the regulations governing the consolidated plan regulations, the jurisdiction certifies that:

Affirmatively Further Fair Housing -- The jurisdiction will affirmatively further fair housing, which means it will conduct an analysis of impediments to fair housing choice within the jurisdiction, take appropriate actions to overcome the effects of any impediments identified through that analysis, and maintain records reflecting that analysis and actions in this regard.

Anti-displacement and Relocation Plan -- It will comply with the acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, and implementing regulations at 49 CFR 24; and it has in effect and is following a residential antidisplacement and relocation assistance plan required under section 104(d) of the Housing and Community Development Act of 1974, as amended, in connection with any activity assisted with funding under the CDBG or HOME programs.

Anti-Lobbying -- To the best of the jurisdiction's knowledge and belief:

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

Authority of Jurisdiction -- The consolidated plan is authorized under State and local law (as applicable) and the jurisdiction possesses the legal authority to carry out the programs for which it is seeking funding, in accordance with applicable HUD regulations.

Consistency with plan -- The housing activities to be undertaken with CDBG, HOME, ESG, and HOPWA funds are consistent with the strategic plan.

Section 3 -- It will comply with section 3 of the Housing and Urban Development Act of 1968, and implementing regulations at 24 CFR Part 135.

Signature/Authorized Official Date

Specific CDBG Certifications

The Entitlement Community certifies that:

Citizen Participation -- It is in full compliance and following a detailed citizen participation plan that satisfies the requirements of 24 CFR 91.105.

Community Development Plan -- Its consolidated housing and community development plan identifies community development and housing needs and specifies both short-term and long-term community development objectives that provide decent housing, expand economic opportunities primarily for persons of low and moderate income. (See CFR 24 570.2 and CFR 24 part 570)

Following a Plan -- It is following a current consolidated plan (or Comprehensive Housing Affordability Strategy) that has been approved by HUD.

Use of Funds -- It has complied with the following criteria:

- <u>Maximum Feasible Priority.</u> With respect to activities expected to be assisted with CDBG funds, it certifies that it has developed its Action Plan so as to give maximum feasible priority to activities which benefit low and moderate income families or aid in the prevention or elimination of slums or blight. The Action Plan may also include activities which the grantee certifies are designed to meet other community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health or welfare of the community, and other financial resources are not available);
- <u>2.</u> Overall Benefit. The aggregate use of CDBG funds including section 108 guaranteed loans during program year(s) ______, (a period specified by the grantee consisting of one, two, or three specific consecutive program years), shall principally benefit persons of low and moderate income in a manner that ensures that at least 70 percent of the amount is expended for activities that benefit such persons during the designated period;
- 3. Special Assessments. It will not attempt to recover any capital costs of public improvements assisted with CDBG funds including Section 108 loan guaranteed funds by assessing any amount against properties owned and occupied by persons of low and moderate income, including any fee charged or assessment made as a condition of obtaining access to such public improvements.

However, if CDBG funds are used to pay the proportion of a fee or assessment that relates to the capital costs of public improvements (assisted in part with CDBG funds) financed from other revenue sources, an assessment or charge may be made against the property with respect to the public improvements financed by a source other than CDBG funds.

The jurisdiction will not attempt to recover any capital costs of public improvements assisted with CDBG funds, including Section 108, unless CDBG funds are used to pay the proportion of fee or assessment attributable to the capital costs of public improvements financed from other revenue sources. In this case, an assessment or charge may be made against the property with respect to the public improvements financed by a source other than CDBG funds. Also, in the case of properties owned and occupied by moderate-income (not low-income) families, an assessment or charge may be made against the property for public improvements financed by a source other than CDBG funds to cover the assessment.

Excessive Force -- It has adopted and is enforcing:

1. A policy prohibiting the use of excessive force by law enforcement agencies within its

jurisdiction against any individuals engaged in non-violent civil rights demonstrations; and

2. A policy of enforcing applicable State and local laws against physically barring entrance to or exit from a facility or location which is the subject of such non-violent civil rights demonstrations within its jurisdiction;

Compliance With Anti-discrimination laws -- The grant will be conducted and administered in conformity with title VI of the Civil Rights Act of 1964 (42 USC 2000d), the Fair Housing Act (42 USC 3601-3619), and implementing regulations.

Lead-Based Paint -- Its activities concerning lead-based paint will comply with the requirements of 24 CFR Part 35, subparts A, B, J, K and R;

Compliance with Laws -- It will comply with applicable laws.

Signature/Authorized Official Date

OPTIONAL CERTIFICATION CDBG

Submit the following certification only when one or more of the activities in the action plan are designed to meet other community development needs having a particular urgency as specified in 24 CFR 570.208(c):

The grantee hereby certifies that the Annual Plan includes one or more specifically identified CDBG-assisted activities which are designed to meet other community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health or welfare of the community and other financial resources are not available to meet such needs.

Signature/Authorized Official

Date

Specific HOME Certifications

The HOME participating jurisdiction certifies that:

Tenant Based Rental Assistance -- If the participating jurisdiction intends to provide tenant-based rental assistance:

The use of HOME funds for tenant-based rental assistance is an essential element of the participating jurisdiction's consolidated plan for expanding the supply, affordability, and availability of decent, safe, sanitary, and affordable housing.

Eligible Activities and Costs -- it is using and will use HOME funds for eligible activities and costs, as described in 24 CFR § 92.205 through 92.209 and that it is not using and will not use HOME funds for prohibited activities, as described in § 92.214.

Appropriate Financial Assistance -- before committing any funds to a project, it will evaluate the project in accordance with the guidelines that it adopts for this purpose and will not invest any more HOME funds in combination with other Federal assistance than is necessary to provide affordable housing;

Signature/Authorized Official

Date

ESG Certifications

The Emergency Solutions Grants Program Recipient certifies that:

Major rehabilitation/conversion – If an emergency shelter's rehabilitation costs exceed 75 percent of the value of the building before rehabilitation, the jurisdiction will maintain the building as a shelter for homeless individuals and families for a minimum of 10 years after the date the building is first occupied by a homeless individual or family after the completed rehabilitation. If the cost to convert a building into an emergency shelter exceeds 75 percent of the value of the building after conversion, the jurisdiction will maintain the building as a shelter for homeless individuals or family after the date the building is first occupied by a homeles for a minimum of 10 years after the date the building as a shelter for homeless individuals and families for a minimum of 10 years after the date the building is first occupied by a homeless individual or family after the completed conversion. In all other cases where ESG funds are used for renovation, the jurisdiction will maintain the building as a shelter for homeless individuals and families for a minimum of 3 years after the date the building is first occupied by a homeless individual or family after the completed conversion.

Essential Services and Operating Costs – In the case of assistance involving shelter operations or essential services related to street outreach or emergency shelter, the jurisdiction will provide services or shelter to homeless individuals and families for the period during which the ESG assistance is provided, without regard to a particular site or structure, so long the jurisdiction serves the same type of persons (e.g., families with children, unaccompanied youth, disabled individuals, or victims of domestic violence) or persons in the same geographic area.

Renovation – Any renovation carried out with ESG assistance shall be sufficient to ensure that the building involved is safe and sanitary.

Supportive Services – The jurisdiction will assist homeless individuals in obtaining permanent housing, appropriate supportive services (including medical and mental health treatment, victim services, counseling, supervision, and other services essential for achieving independent living), and other Federal State, local, and private assistance available for such individuals.

Matching Funds – The jurisdiction will obtain matching amounts required under 24 CFR 576.201.

Confidentiality – The jurisdiction has established and is implementing procedures to ensure the confidentiality of records pertaining to any individual provided family violence prevention or treatment services under any project assisted under the ESG program, including protection against the release of the address or location of any family violence shelter project, except with the written authorization of the person responsible for the operation of that shelter.

Homeless Persons Involvement – To the maximum extent practicable, the jurisdiction will involve, through employment, volunteer services, or otherwise, homeless individuals and families in constructing, renovating, maintaining, and operating facilities assisted under the ESG program, in providing services assisted under the ESG program, and in providing services for occupants of facilities assisted under the program.

Consolidated Plan – All activities the jurisdiction undertakes with assistance under ESG are consistent with the jurisdiction's consolidated plan.

Discharge Policy – The jurisdiction will establish and implement, to the maximum extent practicable and where appropriate policies and protocols for the discharge of persons from

publicly funded institutions or systems of care (such as health care facilities, mental health facilities, foster care or other youth facilities, or correction programs and institutions) in order to prevent this discharge from immediately resulting in homelessness for these persons.

Signature/Authorized Official

Date

HOPWA Certifications

The HOPWA grantee certifies that:

Activities -- Activities funded under the program will meet urgent needs that are not being met by available public and private sources.

Building -- Any building or structure assisted under that program shall be operated for the purpose specified in the plan:

- 1. For at least 10 years in the case of assistance involving new construction, substantial rehabilitation, or acquisition of a facility,
- 2. For at least 3 years in the case of assistance involving non-substantial rehabilitation or repair of a building or structure.

Signature/Authorized Official Date

APPENDIX TO CERTIFICATIONS

INSTRUCTIONS CONCERNING LOBBYING:

A. Lobbying Certification

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

RESIDENTIAL ANTI-DISPLACEMENT AND RELOCATION ASSISTANCE PLAN

City of Grand Island

Community Development Division

Version 2016.1

This Residential Anti-displacement and Relocation Assistance Plan (RARAP) is prepared by the City of Grand Island in accordance with the Housing and Community Development Act of 1974, as amended; and HUD regulations at 24 CFR 42.325 and is applicable to our CDBG1, UDAG and/or HOME-assisted projects.

Minimize Displacement

Consistent with the goals and objectives of activities assisted under the Act, the City of Grand Island will take the following steps to minimize the direct and indirect displacement of persons from their homes for projects which receive CDBG funding:

- □ Coordinate code enforcement with rehabilitation and housing assistance programs through the Problem Resolution Team.
- Evaluate zoning standards in reinvestment areas to prevent undue financial burden on established owners and tenants.
- □ Arrange for facilities to house persons who must be relocated temporarily during CDBG funded rehabilitation.
- Maintain Problem Resolution Team procedures which ensure adequate effort is made to avoid displacement when possible.
- □ Maintain CDBG procedures which follow federal relocation guidelines including property determination, owner notification and property acquisition.
- Establish counseling options to provide homeowners and tenants with information on assistance available to help them remain in their neighborhood in the face of revitalization pressures.
- □ Where feasible, give priority to rehabilitation of housing, as opposed to demolition, to avoid displacement.
- □ If feasible, demolish or convert only dwelling units that are <u>not</u> occupied or vacant and occupiable dwelling units (especially those units which are "lower-income dwelling units" (as defined in 24 CFR 42.305).
- Target only those properties deemed essential to the need or success of the CDBG project.

¹ CDBG programs include: Entitlement Community Development Block Grant (CDBG) Program, State CDBG Program, CDBG Small Cities Program, Section 108 Loan Guarantee Program, CDBG Special Purpose Grants Program, and the Neighborhood Stabilization Program (NSP).

Relocation Assistance to Displaced Persons

The City of Grand Island will provide relocation assistance for lower-income tenants who, in connection with an activity assisted under the CDBG Program, move permanently or move personal property from real property as a direct result of the demolition of any dwelling unit or the conversion of a lower-income dwelling unit in accordance with the requirements of 24 CFR 42.350. A displaced person who is not a lower-income tenant, will be provided relocation assistance in accordance with the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, and implementing regulations at 49 CFR Part 24.

One-for-One Replacement of Lower-Income Dwelling Units

The City of Grand Island will replace all occupied and vacant occupiable lower-income dwelling units demolished when the project is assisted with funds provided under the CDBG Program in accordance with 24 CFR 42.375.

Before entering into a contract committing the City of Grand Island to provide CDBG funds for a project that will directly result in demolition or conversion of lower-income dwelling units, the City of Grand Island will make public by public notice in a newspaper of general circulation to include the following:

- 1. A description of the proposed assisted project;
- 2. The address, number of bedrooms, and location on a map of lower-income dwelling units that will be demolished or converted to a use other than as lower-income dwelling units as a result of an assisted project;
- 3. A time schedule for the commencement and completion of the demolition or conversion;
- 4. To the extent known, the address, number of lower-income dwelling units by size (number of bedrooms) and location on a map of the replacement lower-income housing that has been or will be provided. *NOTE: See also 24 CFR 42.375(d)*.
- 5. The source of funding and a time schedule for the provision of the replacement dwelling units;
- 6. The basis for concluding that each replacement dwelling unit will remain a lowerincome dwelling unit for at least 10 years from the date of initial occupancy; and
- 7. Information demonstrating that any proposed replacement of lower-income dwelling units with smaller dwelling units (e.g., a 2-bedroom unit with two 1-bedroom units), or any proposed replacement of efficiency or single-room

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Grand Island

occupancy (SRO) units with units of a different size, is appropriate and consistent with the housing needs and priorities identified in the HUD-approved Consolidated Plan and 24 CFR 42.375(b).

To the extent that the specific location of the replacement dwelling units and other data in items 4 through 7 are not available at the time of the general submission, the City of Grand Island will identify the general location of such dwelling units on a map and complete the disclosure and submission requirements as soon as the specific data is available.

Replacement not Required Based on Unit Availability

Under 24 CFR 42.375(d), the City of Grand Island may submit a request to the U.S. Department of Housing and Urban Development for a determination that the one-for-one replacement requirement does not apply based on objective data that there is an adequate supply of vacant lower- income dwelling units in standard condition available on a non-discriminatory basis within the area.

Contacts

The Community Development Division is responsible for tracking the replacement of lower income dwelling units and ensuring that they are provided within the required period, when CDBG funding is involved.

The Community Development Division is responsible for providing CDBG relocation payments and other CDBG relocation assistance to any lower-income person displaced by the demolition of any dwelling unit or the conversion of lower-income dwelling units to another

Section 3 Plan

City of Grand Island

Community Development Division

Version 2016.1

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Definitions

Business Concern – a business entity formed in accordance with State law, and which is licensed under State, county or municipal law to engage in the type of business activity for which it was formed.

Contractor - any entity which contracts to perform work generated the expenditure of Section 3 covered assistance, or for work in connection with a Section 3 covered project.

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 N 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.

JTPA-The Job Training Partnership Act (29 U.S.C. 1579 (a)).

Low-income person-families (including single persons) whose incomes do not exceed 80 percent of the median income for the area, as determined by HUD, with adjustments for smaller and larger families, except that HUD may establish income ceilings higher or lower than 80 percent 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 Contracts – a contract which includes CDBG funded activities and the full contract amount is over \$100,000.

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 CDBG funds.

Section 3 Resident – a public housing resident or an individual who resides in the boundaries of Grand Island in which the Section 3 covered assistance is expended and who is considered to be

a low-to very low-income person.

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

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

It is the policy of the Community Development Division of the City of Grand Island 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 Community Development Division implements this policy through the awarding of contracts to contractors, vendors, and suppliers, to create employment and business opportunities for low-and very low-income persons.

The policy shall result in a reasonable level of success in the recruitment, employment, and utilization of Grand Island's Section 3 businesses for contracts partially or wholly funded with Section 3 covered funding from the United States Department of Housing and Urban Development (HUD). The Community Development Division shall examine and consider a contractor's or vendor's potential for success by providing employment and business opportunities to Section 3 residents prior to acting on any proposed contract award.

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 Community Development Division to ensure that employment and other economic and business opportunities generated by the Department of Housing and Urban Development (HUD) Section 3 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.

The Community Development Division will adopt a Section 3 Contracting Policy and Procedure to be included in all procurements generated for use with covered HUD funding. The policy and procedure contains goal requirements for awarding contracts to Section 3 Business Concerns.

All contractors/businesses meeting Section 3 requirements must complete certifications, as appropriate, as acknowledgement of the Section 3 contracting and employment provisions required Community Development Division before receiving a Notice to Proceed for their contracted project. Such certifications shall be adequately supported with appropriate documentation as referenced in the Section 3 Business Application.

Section 3 Plan

The Community Development Division will maintain a Section 3 Plan to identify the goals, objectives, and actions that will be implemented to ensure compliance with the requirements of Section 3. In addition, contractors will be required to submit a Section 3 Plan on each project.

Section 3 Employment & Training Goals

The Community Development Division has established employment and training goals that contractors and subcontractors should meet in order to comply with Section 3 requirements.

It is the responsibility of contractors, vendors and suppliers to implement progressive efforts to attain Section 3 compliance. All contractors submitting bids or proposals to the Community Development Division are aware of their requirement to comply with Section 3, as the information will be included in the bid materials.

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.

The Community Development Division will assist contractors in achieving Section 3 hiring and contracting goals by:

- 1. Requiring the contractor to submit a Section 3 Plan, to the Community Development Division.
- 2. Community Development Division will provide contractor with a list of Section 3 business concerns interested and qualified for construction projects.
- 5. Community Development Division will review the new hire clause with contractors and subcontractors to ensure that the requirement is understood. It is not intended for contractors and subcontractors to terminate existing employees, but when hiring additional employees needed to complete proposed work to be performed with HUD (federal) funds.

Section 3 Business Certification Procedure

Any business seeking Section 3 preference in the awarding of contracts with the Community Development Division shall complete the Section 3 Business Certification form (see Exhibit 3), which can be obtained from the Community Development Division. The business seeking Section 3 preference must be able to provide adequate documentation as evidence of eligibility for preference under the Section 3 Program, including documentation of Section 3 Resident Employment

Certifications for Section 3 preference for business concerns must be submitted to the Community Development Division 3 days prior to the submission of bids for approval. If the Community Development Division previously approved the business concern to be Section 3 certified, then the certification can be submitted along with the bid. Section 3 business concerns certifying as "Subcontracting Commitment" must be certified on a per-project basis.

Efforts to Award Contract Opportunities to Section 3 Business Concerns

The Community Development Division may use the following methods to notify and contract with Section 3 business concerns when contracting opportunities exist.

- Advertise contracting opportunities via newspaper, mailings, posting notices that provide general information about the work to be contracted and where to obtain additional information.
- Provide written or electronic notice of contracting opportunities. The notice will be provided in sufficient time to enable business concerns the opportunity to respond to the bid invitation
- Conduct workshops on contracting procedures to include boding and insurance requirements, Section 3 Resident requirements, and other pertinent requirements, in a timely manner in an effort to allow Section 3 businesses the opportunity to take advantage of any upcoming contracting opportunities.
- Establish relationships with Small Business Administration (SBA,) Minority and Women's Businesses Enterprises, Community Development Corporations and other sources necessary to assist with educating and mentoring residents with a desire to start their own business.

Section 3 Resident Requirements

The Section 3 program requires that recipients of certain HUD financial assistance, to the greatest extent possible, provide job training, employment, and contract opportunities for low- or very-low income residents in connection with projects and activities in their neighborhoods. Designation as a Section 3 resident does not guarantee employment in HUD-funded projects.

A "Section 3 Resident" is: 1) a public housing resident; or 2) a low- or very low-income person residing in the metropolitan area or Non-metropolitan County in which the HUD-funded project is undertaken.

A section 3 resident seeking the consideration as such in training and employment provided by this part shall certify, or submit evidence to the recipient contractor or subcontractor, if 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.)

Under the City of Grand Island Section 3 Program, contractors and subcontractors are required to:

- Maintain a current Section 3 Plan on file.
- Notify the Community Development Division of their interests regarding new employees prior to hiring.
- Document the performance actions required as part of the Section 3 Plan (positive and negative.)
- Immediately notify Community Development Division if an employee quits, walks off, or is terminated for any reason. The contractor must provide written documentation of all such incidents to support such decisions to Community Development Division to determine if an investigation is warranted.

In an effort to resolve complaints generated due to non-compliance through an internal process, Community Development encourages submittal of such complaints to its Section 3 Coordinator as follows:

Complaints of non-compliance should be filed in writing and must contain the name of the complaint and brief description of alleged violation of 24 CFR 135.

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

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

The Community Development Division will provide written documentation detailing the findings of the investigation. The Community Development Division 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 Community Development Division, 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

All Section 3 covered contracts shall include the following clause, referred to as the Section 3 Clause.



Section 3 Contract Clause

- 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 and all subcontractors will create and maintain a written Section 3 Plan before contract commencement.
- E. The contractor will certify that any vacant employment positions, including training positions, that are filled (1) after the contractor is selected but before the contract is executed, and (2) with persons other than those to whom the regulations of 24 CFR part 135 require employment opportunities to be directed, were not filled to circumvent the contractor's obligations under 24 CFR part 135.
- F. Noncompliance with HUD's regulations in 24 CFR part 135 may result in sanctions, termination of this contract for default, and debarment or suspension from future HUD assisted contracts.
- G. No segregated facilities will be maintained.

SPECIAL EQUAL OPPORTUNITY PROVISIONS

A. Activities and Contracts Not Subject to Executive Order 11246, As Amended

(Applicable to Federally assisted construction contracts and related subcontracts \$10,000 and under)

During the performance of this contract.

- (1) The Contractor shall not discriminate against any employee or applicant for employment because of race, color, religion, sex, or national origin. The contractor shall take affirmative action to ensure that applicants for employment are employed, and that employees are treated during employment, without regard to their race, color, religion, or national origin. Such action shall include, but not be limited to: employment upgrade, demotion, or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay, or other forms of compensation; and selection for training, including apprenticeship.
- (2) The contractor shall post in conspicuous places, available to employees and applicants for employment, notices to be provided by contracting officer setting forth the provisions of the nondiscrimination clause. The contractor shall state that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex, or national origin.
- (3) Contractors shall incorporate foregoing requirements in all subcontracts.
- B. Executive Order 11246 (contract/subcontracts above \$10,000)
 - 1. SEC. 202. Except in contracts exempted in accordance with Section 204 of this order, all Government contracting agencies shall include in every government contract hereafter entered into the following:

During the performance of this contract:

- (1) The contractor will not discriminate against any employee an applicant for employment because of race, color, religion, sex, or national origin. The contractor will take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without regard to their race, color, religion, sex or national origin. Such action shall include, but not be limited to: employment upgrade, demotion, or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay, or other forms of compensation; and selection for training, including apprenticeship. The contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided by the contracting officer setting forth the provisions of the nondiscrimination clause.
- (2) The contractor will, in all solicitations or advancements for employees placed by or on behalf of the contractor, state that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex or national origin.
- (3) The contractor will send to each labor union or representative of workers with which he has a collective bargaining agreement or other contract or understanding, a notice, to be provided by the [Contract Compliance Officer], advising the labor union or workers' representative of the contractor's commitments under Section 202 of Executive Order No. 11246 of September 24, 1965, and shall post copies of the notice in conspicuous places available to employees and applicants for employment.
- (4) The contractor will comply with all provisions of Executive Order No. 11246 of Sept. 24, 1965, and the rules, regulations, and relevant orders of the U.S. Secretary of Labor.
- (5) The contractor will furnish all information and reports required by Executive Order No. 11246 of September 24, 1965, and by the rules, regulations, and orders of the Secretary of Labor, or pursuant thereto, and will permit access to their books, records, and accounts by the [Department] and the Secretary of Labor for purposes of investigation to ascertain compliance with such rules, regulations, and orders.
- (6) In the event of the contractor's noncompliance with the nondiscrimination clauses of this contract, or with any of such rules, regulations, or orders, this contract may be cancelled, terminated, or suspended in whole or in part and the contractor may be declared ineligible for further government contracts in accordance with procedures authorized in Executive Order No. 11246 of Sept. 24, 1965, and such other sanctions may be imposed and remedies invoked as provided in Executive Order No. 11246 of September 24, 1965, or by rule, regulation, or order of the Secretary of Labor, or as otherwise provided by law.
- (7) The contractor will include the provisions of paragraphs (1) through (7) in every subcontract or purchase order unless exempted by rules, regulations, or orders of the Secretary of Labor issued pursuant to Section 204 of Executive Order No. 11246 of September 24, 1965, so that such provisions will be binding upon each subcontractor or vendor. The contractor *will* take such action with respect to any subcontract or purchase order as may be directed by the [Department and the] Secretary of Labor as a means of enforcing such provisions, including sanctions for noncompliance: Provided, however, that in the event the contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction [by the Department], the contractor may request the United States to enter into such litigation to protect the interests of the United States [italics added]."

ACCESS TO AND MAINTENANCE OF RECORDS

The Consultant/Contractor agrees to maintain such records and follow such procedures as may be required under HUD Community Planning and Development (CPD) subpart J, 570.502 (paragraph a. 16.) and 24CFR85.42 (paragraphs (b) and (c)) and any such procedures that the department may prescribe. In general such records will include information pertaining to the contract, obligations and unobligated balances, assets and liabilities, outlays, equal opportunity, labor standards (as appropriate), and performance.

All such records and all other records pertinent to this contract and work undertaken under this contract shall be retained by the Consultant/Contractor or grantee for a period of three years after the final audit of the grantee's CDBG project, unless a longer period is required to resolve audit findings or litigation. In such cases, the grantee shall request a longer period for record retention.

The grantee, the department and duly authorized officials of the state and federal government shall have full access and the right to examine any pertinent documents, papers, records and books of the Consultant/Contractor involving transactions to this local program and contract.

Conflict of Interest

From 24CFR85.36, no officer, employee or agent of the Grantee who will participate in the selection, the award, or the administration of this grant, may obtain a personal or financial interest or benefit from the activity or have an interest in any contract, subcontract or agreement with respect thereto, or the proceeds thereunder either for themselves or those with whom they have family or business ties, during their tenure or for one year thereafter. It is further required that this stipulation be included in all subcontracts to this Contract. Upon written request, exceptions may be granted upon a case by case basis when it is determined that such an exception will serve to further the purposes of the Act and the effective and efficient administration of the recipient's program or project. These exceptions are granted by the Department of Housing and Urban Development.



Section 3 Acknowledgement

By signing below, you are acknowledging that you have read the City of Grand Island Section 3 Contract Clause and understand the requirements of Section 3 as it applies to your agency and that your agency will comply with all Section 3 requirements and submit necessary documentation to the City of Grand Island.

Any failure to comply with Section 3 regulations may result in revocation of funds from the City of Grand Island and may jeopardize future funding opportunities from the City of Grand Island.

Signature of Authorized

Official Name of Authorized

Official Title

Date

All Section 3 covered contractors and subcontractors must maintain a written Section 3 Plan. The entity may create one, or use the Sample Plan provided. A Plan which is created by the contractor, apart from the sample plan, will require approval from the City of Grand Island before construction commences.

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CONTRACTOR

Section 3 Plan

agrees to implement the following specific affirmative action steps

directed at increasing the utilization of lowest income residents and businesses within

the City of Grand Island.

- To ascertain from the locality's CDBG program official the exact boundaries of the Section 3 covered project area and where advantageous, seek the assistance of local officials in preparing and implementing the affirmative action plan.
- To attempt to recruit from within the city the necessary number of lower income residents through local advertising media; signs placed at the proposed site for the project; and community organizations and public or private institutions operating within or serving the Grand Island area.
- To maintain a list of all lower income residents who have applied either on their own or on referral from any source, and to employ such persons, if otherwise eligible and if a vacancy exists.
- To insert this Section 3 plan in all bid documents, and to require all bidders and subcontracts to submit a Section 3 plan that includes utilization goals and the specific steps planned to accomplish these goals.
- To insure that subcontracts (typically let on a negotiated rather than bid basis in areas other than Section 3 covered project areas), also are let on a negotiated basis, where feasible, when let in a Section 3 covered project area.
- To formally contact unions, subcontractors and trade associations to secure their cooperation for this program, if applicable.
- To insure that all appropriated project area business concerns are notified of pending subcontractual opportunities.
- To maintain records, including copies of correspondence, memoranda, etc., that document all above affirmative action steps have been taken.
- To appoint or recruit an executive official of the company or agency as Equal Opportunity Officer to coordinate the implementation of the Section 3 plan.

If a business wishes to seek bid preference for HUD-funding projects, the application must be completed and submitted to the City of Grand Island's Community Development Division at least 3 days before the formal bid is placed.

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CERTIFICATION FOR BUSINESS SEEKING DESIGNATION AS A SECTION 3 BUSINESS CONCERN

Name of Business			
Address of Business			
County in which located	Business is		

Attached is the following documentation as evidence of status:

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

• List of all owners and Copy of Certification for Residents Seeking Designation as a Section 3 Resident for all Section 3 owners

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) with indication of whether the subcontractor business is a Section 3 business concern (attach Certification of Business Seeking Designation as Section 3 for each Section 3 subcontractor to this form)

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:

• Affidavit to this form that 25% or more of the dollar award of HUD funds will be awarded to subcontracts that qualify as Section 3 business concerns (above criteria) and the business will collect Certification for Business Seeking Designation as Section 3 for Contracting forms from these contractors

Authorizing Name and Signature

(Corporate Seal)

Attested		
by:		

The Section 3 program requires that recipients of certain HUD financial assistance, to the greatest extent possible, provide job training, employment, and contract opportunities for low- or very-low income residents in connection with projects and activities in their neighborhoods. Designation as a Section 3 Business Concern does not guarantee selection for contract opportunities.

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

1) 51 percent or more owned by Section 3 residents; or

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- 2) 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
- 3) Provides evidence, as required, of a commitment to subcontract in excess of 25 percent of the dollar award of all subcontracts to be awarded to business concerns that meet the qualifications in the above two paragraphs.

More information can be found at http://www.hud.gov/offices/fheo/section3/section3.cfm

Exhibit 4 – Section 3 Resident Application

If a resident wishes to be listed as a Section 3 resident, the following application must be submitted to the Community Development Division.

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CERTIFICATION FOR RESIDENT SEEKING DESIGNATION AS A SECTION 3 RESIDENT

Certification for Resident Seeking Section 3 de Employment	signation in Training and
, am a legal resident I, of the	
very-	eligibility guidelines for a low- or
low-income person as published on the reverse. My permanent address is:	
County in which I reside: I have attached the following documentation as evidence	e of my status:
• Copy of public housing lease • Copy	of receipt of public assistance
• Copy of Evidence of participation • Copy	of Tax Return indicating income
Annual Income \$	
Signature	
Print Name Da	te

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SECTION 3 INCOME LIMITS				
All residents of pu developments of t Authority qualify a the County of	he	Hall County ents. Additionally, individu	Housing als residing in	
and/or City				
Hall	of	Grand Island		
Who meet the HUD income limits applicable to the year of project contract creation, can also qualify for Section 3 status. A picture identification card, including current address, is required.				

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Excessive Force Policy Statement

City of Grand Island

Community Development Division

Version 2016.1

Statement

The City of Grand Island hereby adopts an Excessive Force Policy that is in accordance with the applicable Federal Regulations, i.e., Section 519 of Public Law 101-144, (1990 HUD Appropriations Act) requiring units of government receiving CDBG funds to adopt and enforce *Excessive Force Provision*. The City, as the recipient of federal Community Development Block Grant Funds, acknowledges its responsibility to and will adhere to the aforesaid federal Excessive Force Regulations.

Grand Island Police Department's General Order Number O2703 on the topic Less-Lethal Force, addresses the definitions and procedures regarding the use of Less-Lethal Force and applicable reporting requirements. General Order Number O2703 became effective in August 2009.

The City adopts General Order Number O2703 as its Excessive Force Policy and will enforce its requirements by prohibiting the use of excessive force by law enforcement agencies within its jurisdiction against any and all individuals engaged in non-violent civil rights demonstrations, and is adopting and will enforce a policy of enforcing applicable state and local laws against physically barring entrance to or exit from a facility or location which is the subject of such non-violent civil rights demonstration within Grand Island.

GRAND ISLAND POLICE DEPARTMENT GENERAL ORDER

Topic:	Less-Lethal Force
Number:	O2703
Issued by:	Chief Lamken
Effective date:	August 2009

I. Policy

Officers are faced with encounters that require the use of force to affect an arrest or subdue a person that do not reach the threshold of requiring deadly force. The level of less-lethal force needed can range from verbal commands and handcuffing to a much higher level. Officers are required to use a level of force necessary to overcome resistance. Only force which is reasonable and necessary to accomplish a police function shall be applied and should cease immediately upon the accomplishment of the police function.

II. Procedure

- A. Less-lethal force is that force which is intended to control a situation or overcome physical resistance an officer may encounter when attempting to carry out a police function. The use of less-lethal force is preferable to lethal force and should be used in accordance with the resistance/control continuum adopted by the Department.
 - 1. Officers are authorized to use Department issued or approved less-lethal tactics and weapons which include defensive tactics, the baton, Taser, OC spray and impact munitions.
 - 2. Officers shall be instructed in each approved method of defensive tactics and use of less-lethal weapons prior to authorization to use or carry such, and will be periodically required to demonstrate a proficiency in the use of the method. Officers shall use and provide care after the use of less-lethal weapons in accordance with Department approved training.

- B. Less-lethal force is used to overcome resistance and gain compliance. Officers shall use only the force judged necessary in conjunction with their training and policy to overcome resistance and gain compliance.
- C. A Department use of force report shall be completed for every instance in which physical force, including the use of less-lethal weapons, is used to overcome or restrain an individual. The arrest of a person involving handcuffing without resistance does not require a use of force report.

OMB Number: 4040-0004 Expiration Date: 8/31/2016

Application for Federal Assistance SF-424			
* 1. Type of Submission: * 2. Type of Application; * If Revision, select appropriate letter(s):			
Preapplication New			
Application Continuation * Other (Specify):			
Changed/Corrected Application			
* 3. Date Received: 4. Applicant Identifier:			
5a. Federal Entity Identifier: 5b. Federal Award Identifier:			
State Use Only:			
6. Date Received by State: 7. State Application Identifier:]		
8. APPLICANT INFORMATION:			
* a. Legal Name: City of Grand Island			
* b. Employer/Taxpayer Identification Number (EIN/TIN): * c. Organizational DUNS:			
47-6006205			
d. Address:			
* Street1: 100 East 1st Street			
Street2:			
City: Grand Island			
County/Parish:			
'State: NE: Nebraska			
Province:	_		
Country: USA: UNITED STATES	-		
Zip / Postal Code: 68801-1968	-		
e. Organizational Unit:			
Department Name: Division Name:			
Regional Planning Community Development Division			
f. Name and contact information of person to be contacted on matters involving this application:			
Prefix: * First Name: Charley			
/iddle Name:			
Last Name: Falmlen			
Suffix:			
Itle: Community Development Administrator			
Organizational Affiliation:			
* Telephone Number: 308-389-0288 Fax Number:			
Email: charleyf@grand-island.com			

Application for Federal Assistance SF-424
* 9. Type of Applicant 1: Select Applicant Type:
C: City or Township Government
Type of Applicant 2: Select Applicant Type:
Type of Applicant 3: Select Applicant Type:
* Other (specify):
* 10. Name of Federal Agency:
Department of Housing and Urban Development
11. Catalog of Federal Domestic Assistance Number:
14.218
CFDA Title:
Community Development Block Grant (CDBG) Program
* 12. Funding Opportunity Number:
N/A
* Title:
N/A
13. Competition Identification Number:
Title:
N/A
14. Areas Affected by Project (Cities, Counties, States, etc.):
Add Attachment Delete Attachment View Attachment
* 15. Descriptive Title of Applicant's Project:
Community Development Block Grant Program
Attach supporting documents as specified in agency instructions.
Add Attachments Delete Attachments View Attachments

<u> </u>					
Application	Application for Federal Assistance SF-424				
16. Congress	ional Districts Of:				
* a. Applicant	3rd	* b.	Program/Project 3rd		
Attach an addit	ional list of Program/Project C	ngressional Districts if needed.			
		Add Attachment De	lete Attachment View Attachment		
17. Proposed	Project:				
* a. Start Date:	10/01/2016		* b. End Date: 09/30/2019		
18. Estimated	Funding (\$):				
* a. Federal		348,927.00			
* b. Applicant	4	0.00			
* c. State		0.00			
* d. Local		0.00			
* e. Other		0.00			
* f. Program In	come	0.00			
* g. TOTAL		348,927.00			
* 19. Is Applic	ation Subject to Review B	State Under Executive Order 12372 Process			
🔲 a. This ap	plication was made availab	to the State under the Executive Order 12372	Process for review on		
🔲 b. Prograr	n is subject to E.O. 12372 t	t has not been selected by the State for review	Ν.		
🔀 c. Program	n is not covered by E.O. 12	2.			
* 20. Is the Ap	plicant Delinquent On Any	ederal Debt? (If "Yes," provide explanation	in attachment.)		
Yes	No No				
lf "Yes", provi	de explanation and attach				
		Add Attachment De	tete Attachment View Attachment		
21. *By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)					
🔀 ** I AGRE	E				
** The list of c specific instruct		r an internet site where you may obtain this lis	t, is contained in the announcement or agency		
Authorized Re	presentative:				
Prefix:		* First Name: Jeremy			
Middle Name:	I				
* Last Name:	Jensen				
Suffix:					
* Title:	iyor				
* Telephone Nu	mber: 308-389-0140	Fax Num	per:		
* Email: mayor@grand-island.com					
* Signature of A	uthorized Representative:		* Date Signed:		

001

RESOLUTION 2016-169

WHEREAS, on August 25, 2015, the City of Grand Island became an Entitlement Community; and

WHEREAS, the United States Department of Housing and Urban Development requires multiple certifications in order to comply with the Community Development Block Grant Program requirements; and

WHEREAS, documentation of the required certifications is to be submitted along with the 2016-2019 Consolidated Plan and 2017 Annual Action Plan; and

WHEREAS, the Community Development Department created the required documentation to serve under the Entitlement Program.

NOW, THEREFORE, BE IT RESOLVED BY THE MAYOR AND COUNCIL OF THE CITY OF GRAND ISLAND, NEBRASKA that the City of Grand Island, Nebraska is hereby approves and adopts Community Development Block Grant Certifications; and the Mayor is hereby authorized to sign such certifications on behalf of the City of Grand Island.

- - -

Adopted by the City Council of the City of Grand Island, Nebraska, July 12, 2016.

Jeremy L. Jensen, Mayor

Attest:

Nicki Stoltenberg, Assistant to the City Administrator

Approved as to Form	¤		
July 8, 2016	¤	City Attorney	