### **REQUEST FOR PROPOSALS #2017-07**

### CDBG/VDOT Consultant Engineering Services - County of Sussex, Virginia

### 1.0 GENERAL INFORMATION

Two major redevelopment projects have been funded in Sussex County in part through the Department of Housing and Community Development (DHCD) and the Virginia Department of Transportation (VDOT). The County is now seeking the services of a professional engineering firm for consultant work on these approved projects and future related grant funded projects. The two (2) funded projects shall be developed utilizing DHCD and VDOT standards and policies. The total estimated cost of the proposed projects is approximately \$2,400,000. Design and construction of the projects is anticipated to take approximately three years and the projects will be phased. The objective of the projects is to make capital improvements for the benefit several area of low-to-moderate income neighborhoods, including those damaged during the February 2015 tornado, in areas located in Sussex County. The project area will focus in Sussex County along US 460 between, and inclusive of, the Towns of Waverly and Wakefield. The capital infrastructure improvements will include storm water drainage upgrades, improvements to water and wastewater services, installation of new and replacement sidewalks, new and improved streetlights, a new connector road, and various other projects as provided for in each grant's individual contract. The successful engineering firm will be responsible for providing professional expertise and other resources required to develop design and construction bid documents. Construction project management and inspection services will be included in the contract. A map showing the proposed project is attached as Exhibit 1.

### 2.0 SCOPE OF SERVICES

The successful Firm shall be responsible for providing professional expertise and other resources required to perform project design, construction management and inspection services; including but not limited to the following tasks:

- 1. Coordinate design phase meetings and prepare visual aids as necessary
- 2. Establish survey benchmarks as required for horizontal and vertical controls within the project limits
- 3. Provide 50% design phase construction plans and technical specification document submittal
- 4. Provide 90% design phase construction plans and technical specification document submittal
- 5. Provide final design construction plans and technical specification documents submittal, including complete bidding documents and bid advertisement
- 6. Direct public hearings
- 7. Provide Right-of-Way information submittals
- 8. Provide environmental document submittals
- 9. Direct mandatory construction pre-bid meeting and public construction bid opening
- 10. Evaluate bids received and make award recommendation
- 11. Provide construction management and inspection services The County of Sussex reserves the right to decrease or increase the scope of services described above during contract negotiations with the highest-ranking Firm.

#### 3.0 PROPOSAL CONTENT AND FORMAT

Qualified Firms shall provide appropriate information in accordance with the content and format requirements of this Request for Proposal. The proposals should include a brief written description with graphics as deemed necessary for the following information detailed in Section 4.0 Request For Proposal:

- 3.1 Provide a summary of the Firms understanding of the Scope of Services as they relate to the project objectives.
- 3.2 The proposal should provide a concise description of the Firm's capabilities to satisfy the requirements of this Request for Proposals.
- 3.3 Provide a concise summary plan proposal for accomplishing the project objectives within the timeframe as described in this RFP.
- 3.4 Provide detailed personnel qualifications and experience with a statement describing their roles or duties within the organization for accomplishing tasks requested under the proposed scope of services.
- 3.5 Provide a listing of the types of professional services that will be subcontracted to other organizations.
- 3.6 Provide three or more governmental references of past work experience on similar contracts or relevant
  projects. Provide a listing of relevant projects with a brief description of the project including time frame
  from design through construction of the project. The description should include a statement on the role of
  the Firm's personnel that completed the relevant projects.

### 4.0 REQUEST FOR PROPOSAL (RFP)

The Request For Proposal shall be organized in the following order:

- a. Transmittal letter
- b. Table of Contents
- c. Understanding of Scope of Services
- d. Response to RFP Expression of Interest Items 4.1 through 4.15
  - Firm qualifications
  - Summary project plan proposal
  - Project staffing and qualifications; Listing of sub-consultants and subcontractors: Relevant projects and references; Project team organization chart; GSA Form 255 one combined for the project team; GSA Form 254 one for each firm; and Firm data sheet (RFP Exhibit 2)
    - 4.1 The RFP should emphasize the Firm's qualifications in the following areas of design and project management experience on:
    - 4.1.1 Federally funded projects, VDOT projects and CDBG projects
    - 4.1.2 Storm water drainage systems, water and sewer utilities, asphalt pavement, and other street related infrastructure
    - 4.1.3 Management and administration of construction projects
    - 4.2 The RFP should include information on the Firm's basic plan for approaching the project from conceptual design through the advertisement for bids and construction.
    - 4.3 The RFP should provide information that will indicate the Firm's ability to meet the time schedule for this project. The anticipated latest scheduled dates to complete various task activities are given as follows:
    - 4.3.1 Concept planning meeting March 12, 2018
    - 4.3.2 Construction plans, specifications and bid document review submittals
      - o 20% design completion November 17, 2018
      - o 50% completion December 15, 2018
      - o 90% completion March 9, 2019

- o 100% completion March 30, 2019
- o Bid advertisement authorization submittal April 20, 2019
- o Bid advertisement May 19, 2019
- o Construction complete December 11, 2020
- 4.3.3 Environmental documentation submittal February 10, 2018
- 4.3.4 Right-of-Way information submittal December 15, 2018
- 4.4 Provide statement on Firm's VDOT contract dollar value on present outstanding fees and estimated pending contracts under negotiation.
- 4.5 The RFP should provide information on the qualifications and experience of specific personnel responsible for accomplishing tasks requested under the proposed scope of services.
- 4.6 The RFP should list sub-consultants and subcontractors planned to assist with the project.
- 4.7 The RFP should provide governmental references on past work experience with similar contracts or relevant projects. Provide a listing of relevant projects with a brief description of the project including timeframe from design through construction of the project. The description should include a statement on the role of the Firm's personnel that completed the relevant projects.
- 4.8 The RFP should provide a proposed project team organization chart. Furnish copies of current GSA Forms 254 for each firm involved and one combined GSA Form 255 for the project team. The GSA Form 255 must specify the number of personnel by discipline for each office where the work is to be performed. In Section 4 of GSA Form 255, list only the full-time employees assigned to the office(s) at the time of this submission. Section 8 of GSA Form 255 is limited to one page with not more than 10 projects total (prime and sub-consultants combined) on the one page and should primarily list experience of offices where the work will be performed and of the people shown in the organizational chart. If the experience shown is for a branch office other than where the work will be performed, it should be clearly indicated as such. More detailed descriptions for Section 8b may be expanded into Section 10.
- 4.9 In Section 9 of GSA Form 255, references to "Federal agencies" are to be replaced by "Virginia Department of Transportation or Local Government".
- 4.10 If more than one firm will participate in the contract, state the type of arrangement between the firms, the names and addresses of all firms, description of the work that each firm will perform, and the percentage of work to be performed by each in Section 5 and 6 of GSA Form 255. Indicate office locations at which the work will be performed. A one page organizational chart showing all firms involved and key personnel assignments and responsibilities is required to be included.
- 4.11 In Section 7 of GSA Form 255, indicate KEY PERSONNEL ONLY who will be assigned to this project and give the experience record of each. Key personnel are defined as those to whom the project will be assigned and who will be performing the actual design/services. The project manager shall have a minimum of five years' experience in managing similar type and size projects. In Section 7c, indicate the location of the office where the person is currently working if different from where work is to be performed. In Section 7c, part time personnel, personnel not employed on the date of the form, or personnel used on an "as needed basis" must have their status clearly indicated. Section 7g may be expanded to provide a total of a one page resume per individual. Furthermore, all individuals identified as Key personnel in the EOI shall remain on the Consultant's Team for the duration of the procurement process and, if the consultant is awarded a contract, the duration of the contract. If extraordinary circumstances require a proposed change, it must be submitted in writing to the County of Sussex Project Manager, who, at his/her sole discretion, will determine whether to authorize a change. Unauthorized changes to the Consultant's Team at any time during the procurement process may result in elimination of the Consultant's Team from further consideration.

- 4.12 Section 10 of GSA Form 255 is limited to a maximum of ten pages. This section should describe the organization of the proposed project staff indicating the role of each by individual. If sub-consultants are proposed, the role of each sub-consultant should be discussed. It should also include statements that are responsive to the attached Consultant Short List Score Sheet Page 5 of 8 that will be used to evaluate your submission. This is the ONLY section of the submission which may include pictures or graphics (included in the ten-page limit). List any computer and CADD equipment and any specialized computer software packages that you will use on this VDOT project.
- 4.13 "It is the policy of the Virginia Department of Transportation and the County of Sussex that Disadvantaged Business Enterprises (DBEs) as defined in 49 CFR Part 26 shall have the maximum opportunity to participate in the performance of federally funded consultant contracts. A list of Virginia Department of Minority Business Enterprise certified DBE firms is maintained on their web site (http://www.dmbe.state.va.us/ ) under the DBE Directory link. Consultants are encouraged to take all necessary and reasonable steps to ensure that DBEs have the maximum opportunity to compete for and perform services on the contract, including participation in any subsequent supplemental contracts. If the consultant intends to subcontract a portion of the services on the project, the consultant is encouraged to seek out and consider DBEs as potential subcontractors. The consultant is encouraged to contact DBEs to solicit their interest, capability and qualifications. Any agreement between a consultant and a DBE whereby the DBE promises not to provide services to other consultants is prohibited." The DBE contract goal for this procurement is 0 %; however, the Department feels that these services support 10% DBE participation. 49 CFR Part 26 requires VDOT to collect certain data about firms attempting to participate in VDOT contracts. If a DBE is not certified, the DBE must become certified with the Virginia Department of Minority Business Enterprise prior to the consultant's response being submitted. If a DBE is the prime consultant, the firm will receive full credit for planned involvement of their own forces, as well as the work that they commit to be performed by DBE subcontractors. DBE prime consultants are encouraged to make the same outreach efforts as other consultants. DBE credit will be awarded only for work being performed by themselves and their subcontractors only if the subcontractors are DBEs. A DBE must perform or exercise responsibility for at least 30% of the total cost of its contract with its own force. DBE certification entitles consultants to participate in VDOT's DBE program. However, this certification does not guarantee that the firm will obtain VDOT work nor does it attest to the firm's abilities to perform any particular work.
- 4.14 During the performance of this contract, the consultant (referred to as the "contractor"), for itself, its assignees and successors in interest agrees to conditions of "USDOT Order 1050.2 Appendix A" attached to this RFP as Exhibit 3.
- 4.15 If the prime consultant or sub-consultant does not have the in-house capability to provide nonprofessional services, each with an estimated cost of \$5,000 or greater, such as, soil drilling, sampling services or laboratory testing, these services must be subcontracted in accordance with State procurement procedures once a contract is executed, with no DBE or SWaM credit in the selection of the most qualified firm or team. Clearly indicate these services in the Expression of Interest document.

### 5.0 SUBMISSION REQUIREMENTS

Submittals shall be prepared simply and economically, providing a straightforward, concise description of the firm's capabilities to satisfy the requirements of the RFP. Emphasis should be on completeness and clarity of content. Elaborate brochures and other representations beyond that sufficient to present a complete and effective proposal are neither required nor desired.

Five (5) copies of the PROPOSAL shall be submitted on or before 2:00 P.M. Thursday, November 30, 2017 to Mrs. Shilton R. Butts, Assistant to the County Administrator, 20135 Princeton Road, Sussex VA 23884. Proposals may also be mailed to Sussex County Administration, Attention Mrs. Shilton R. Butts, P.O. Box 1397, Sussex, VA. 23884. PROPOSALS should be clearly marked "PROPOSAL for ENGINEERING SERVICES." Proposals by telephone, electronic mail or facsimile will not be accepted. PROPOSALS received after the above-referenced time and date will not be considered. Questions may be directed to Mrs. Butts at (434) 246-1000.

#### 6.0 SELECTION POLICIES

The County of Sussex reserves the right to accept or reject any or all proposals received because of this request; to negotiate with any qualified firm or to modify or cancel in part or in its entirety the Request for Proposal if it is in the best interest of the County to do so. This Request for Proposal does not commit the County of Sussex to award a contract, to pay any costs incurred in the preparation of a proposal for this request, or to procure or contract for services. The County will select a Firm to provide the services requested using the Competitive Negotiation procedure for Professional Services as outlined in the Virginia Public Procurement Act. A selection committee shall evaluate and rank each proposal based on the established selection criteria included within this RFP. Final ranking of the individual Firms shall be based on a majority decision; then one or more Firms may be interviewed prior to making the final selection for contract negotiations. Final negotiations will be initiated with the highest-ranking Firm, as deemed in the best interests of the County. If no agreement is reached with the selected Firm, then negotiations shall be formally ended and negotiations with the next highest-ranking Firm will be initiated. The County of Sussex prohibits discrimination and requires compliance with state and federal immigration laws as defined under the Code of Virginia Chapter 43 Virginia Public Procurement Act. The County is an equal opportunity employer and encourages participation of small businesses, minority owned businesses, women-owned businesses and service disabled veteran owned businesses in all procurement activities. The County of Sussex assures compliance with Title VI of the Civil Rights Act of 1964, as amended. The consultant and all sub consultants selected for this project will be required to submit a Title VI Evaluation Report (EEO-D2) within ten work days of notification of selection when requested by VDOT. This requirement applies to all consulting firms when the contract amount equals or exceeds \$10,000. The County of Sussex does not discriminate against an offeror because of race, religion, color, sex, national origin, age, disability, or any other basis prohibited by state law relating to discrimination in employment. The offeror's attention is directed to the "Equal Opportunity Clause" and the "Standard Federal Equal Employment Opportunity Construction Contract Specifications" as set forth in the Virginia Department of Transportation Special Provision for "Notice of Requirement for Affirmative Action to Ensure Equal Employment Opportunity (Executive Order 11246)", which is attached as Exhibit 6 of this RFP. Any offeror who desires to protest the award of a contract shall submit such protest in writing to the County of Sussex no later than ten days after the announcement of the award. Public announcement of the award shall be posted on the County's internet site and Public Notice board.

### 7.0 SELECTION COMMITTEE AND EVALUATION CRITERIA

A selection committee will be formed to review the RFPSs. The selection committee evaluation and selection process will be used to determine the most qualified Firm. Evaluation criteria will generally involve relevant experience, specific expertise and performance references on previous projects. The following criteria will be considered in evaluating the proposals:

- Qualification and experience information of key personnel and specific staff to be tasked with providing services for the project.
- Scope of Services understanding and quality of proposed preliminary plan for design and construction of the project objectives.
- Evidence of ability to meet project schedule as detailed in the RFP. Firm's present VDOT workload and pending contracts under negotiation.
- Evidence of ability to evaluate and propose cost effective solutions for services described in the scope of services.
- Reference source comments and past record of performance on similar projects.

For more scoring details, see Exhibit 4

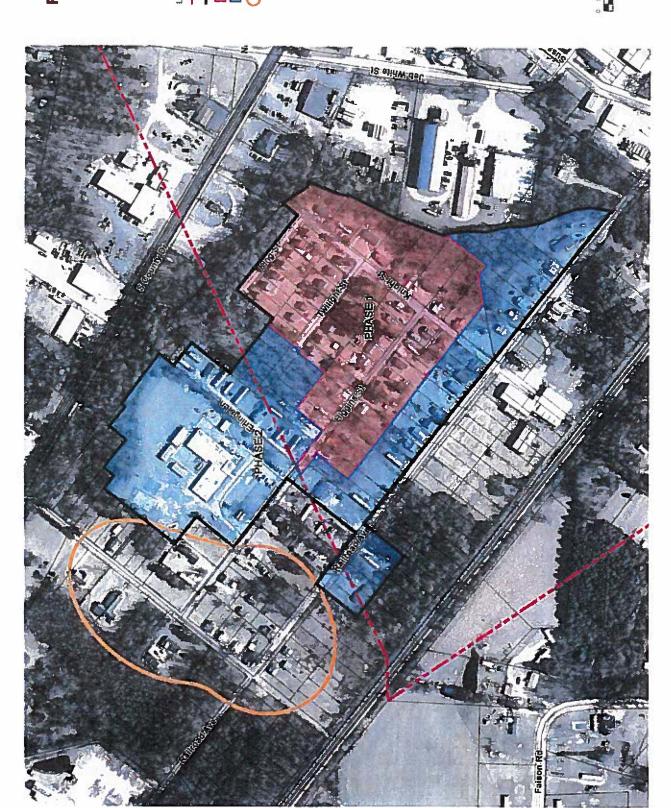
### 8.0 INQUIRIES

Clarification of the terms and conditions of this proposal should be directed to Mrs. Shilton R. Butts, Assistant to the County Administrator 434-246-1002 or at <a href="mailto:sricks@sussexcountyva.gov">sricks@sussexcountyva.gov</a>. All inquiries that affect the nature of the proposed contract or proposal contents will be conveyed to all parties receiving this Request for Proposals. The County shall not be responsible for any information given by way of verbal communication.

### 9.0 ATTACHMENTS

- EXHIBIT 1 Project Site Maps
- EXHIBIT 2 VDOT Firm Data Sheet
- EXHIBIT 3 Certification Regarding Disbarment
- EXHIBIT 4 Consultant Short List Score Sheet
- EXHIBIT 5 USDOT Order 1050.2 Appendix A (VDOT funding only)
- EXHIBIT 6 Requirement for Affirmative Action to Ensure Equal Employment Opportunity (Executive Order 11246)

### **EXHIBIT 1 - PROJECT SITE MAPS**

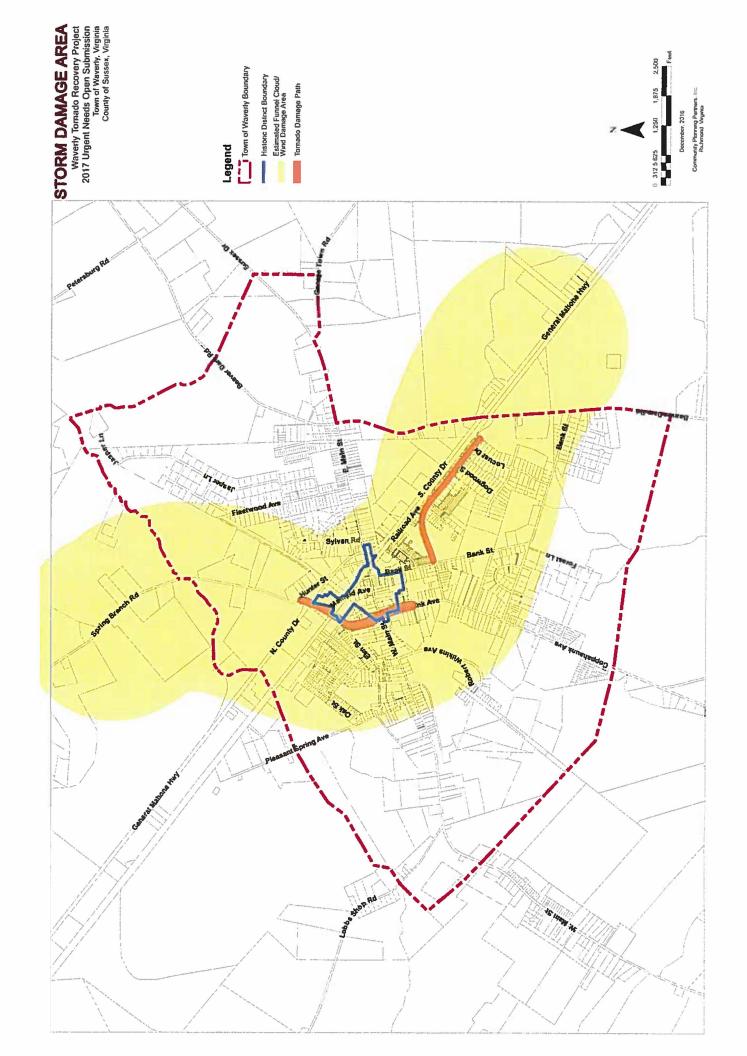


PROJECT AREA MAP
Pochahorias Neighborhood
Town of Wakefield
Sussex County, VA

LEGEND
----- Town Boundary

Propert Area Bouncary
Proposed Phase 1 Bountary
Proposed Prase 2 Boundary

Previous Pochatontas CDBG County Project (completed) -Approximate Boundary



### **EXHIBIT 2 - FIRM DATA SHEET**

Funding: (S=State F=Federal) Project Proje	ct No.: Due Date:		
The prime consultant is responsible for submitting the inferoject team, both <u>prime</u> and <u>all</u> sub consultants. All firm unless the number of firms requires the use of an additional data may result in the Request for Proposals not being consultants.	ns are to be re al sheet. Failu	ported on <u>or</u>	ne combined sheet
Firm's Name, Address and DBE and/or SWAM Certification Number	Firm's DBE or SWaM Status *	Firm's Age	Firm's Annual Gross Receipts
200			

N = DBE or SWaM Firm Not Certified by DMBE

NA = Firm Not Claiming DBE or SWaM Status YS = SWaM Firm Certified by DMBE.

Indicate whether small, woman-owned, or small business. DMBE is the Virginia Department of Minority Business Enterprise

<sup>\*</sup> YD = DBE Firm Certified by DMBE

# **EXHIBIT 3**

# <u>PRIMARY COVERED TRANSACTIONS</u>

(To be completed by a Prime Engineer/Consultant)

		Project:
1)		e prospective primary participant certifies to the best of its knowledge and belief, that it and principals:
		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; and have not been convicted of any violations 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)		here the prospective primary participant is unable to certify to any of the statements in this tification, such prospective participant shall attach an explanation to this proposal.
		dersigned makes the foregoing statements to be filed with the proposal submitted on behalf offeror for contracts to be let by the County of Sussex.
 Sig	natu	re Date Title
Na	me c	of Firm

## **CERTIFICATION REGARDING DEBARMENT**

## LOWER TIER COVERED TRANSACTIONS

(To be completed by a Sub-consultant)

	Project:		
1)	neither it nor its princip	als is presently debarre oluntarily excluded from	s, by submission of this proposal, that d, suspended, proposed for debarment, om participation in this transaction by
2)			anable to certify to any of the statements ant shall attach an explanation to this
	e undersigned makes the for he offeror for contracts to l		filed with the proposal submitted on behalf alth Transportation Board.
Sig	nature	Date	Title
Na	me of Firm		

### **EXHIBIT 4**

# CONSULTANT SHORT LIST SCORE SHEET – FEDERALLY / STATE FUNDED $\underline{ PROJECT}$

# (FOR PROFESSIONAL SERVICES)

DIVISION;	RFP NO.: DATE:
PROJECT:	FERM:
DESCRIPTION:	SUBS;

		NUMERICAL VALUE				AVG	WEIGHT	WEIGHTED EVALUATION
FIRM/TEAM'S EXPERIENCE IN SIMILAR T	YPE OF SERVICES							
(Expertise, experience and qualifications of tear related to the scope of services) (1=least, 10=mo		1-10					20%	
PERSONNEL'S EXPERIENCE IN SIMILAR 7	TYPE OF SERVICES							
(Expertise, experience and qualifications of tear related to the scope of services) (1=least, 10=mo		1-10					40%	
QUALIFICATIONS OF PROJECT MANAGER	2		8					
(Expertise, experience and qualifications in proj to the scope of services) (1=least, 10=most)	ect management as related	1-10					10%	
ORGANIZATIONAL CAPABILITY								
(Ability to complete work in a timely manner, size of firm(s) relative to size of project, proposed project staff resources, proposed use of subconsultants) (1=least, 10=most)		1-10					20%	
PRESENT WORKLOAD WITH	Above \$4,000,000	0			l.			
DEPARTMENT	3,500,001-4,000,000	ı						
(Dollar value of present outstanding fee including estimated pending contracts under	3,000,001-3,500,000	2		_				
negotiation. For limited services term contracts, include the amount of all task	2,500,001-3,000,000	3						
orders executed or under negotiation. Work being performed under the Public Private	2,000,001-2,500,000	4						
Transportation Act (PPTA) shall not be	1,500,001-2,000,000	5					10%	
included. Work being performed as a prime, joint venture or sub-consultant on a Design-	1,000,001-1,500,000	6						
Build project shall be included.) † (Only Category <u>B&amp;D</u> workload is counted on this selection*)	750,001-1,000,000	7						
	500,001-750,000	8						
	250,001-500,000	9						
	0-250,000	10						

TOTAL

#### \*CATEGORIES OF WORKLOAD:

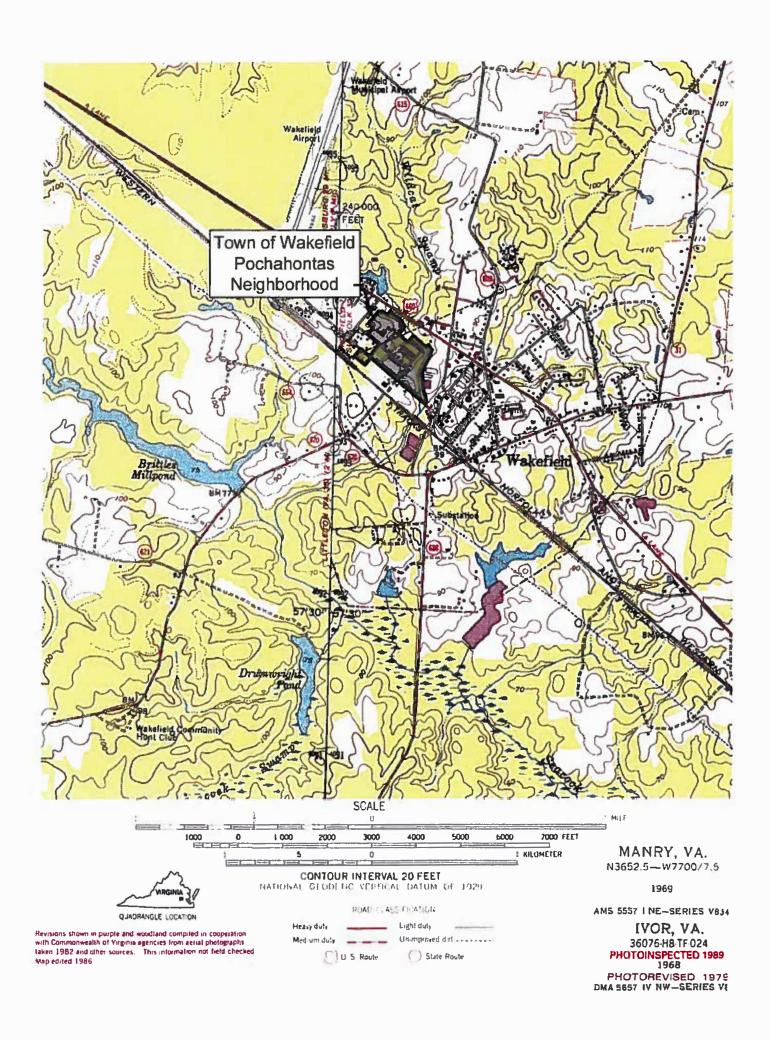
- A TERM SURVEYING AND UTILITY DESIGNATION/LOCATION CONTRACTS
- B PRELIMINARY ENGINEERING CONTRACTS includes transportation planning and environmental studies, utility relocation and design, and roadway and bridge design.
- C CONSTRUCTION ENGINEERING CONTRACTS includes construction inspection, preparation of final estimates, and bridge and traffic structure safety inspection.
- D OPERATION AND MAINTENANCE CONTRACTS includes operation and maintenance of traffic management systems.
- † The outstanding workload of any certified DBE or SWaM prime and sub-consultant may be reduced up to \$4M and the remainder (>\$0) added to the team's total workload. When a DBE or SWaM firm graduates from the program, their workload incurred while a DBE or SWaM may be reduced up to \$4M for the next three years. Any new work obtained after graduating from the program will be counted.

In determining the final short list, the top ranked firms and their sub-consultants will have their VDOT Consultant Performance Reports reviewed and/or references checked.

### **EXHIBIT 5**

# Maps, Census Data and Compliance Form, Beneficiary Form

USGS Map – Project Area
Project Area Map w/ Phases
Needs Assessment Map
Survey Map
Proposed Improvement Program Map
Census Data and Compliance Form
Beneficiary Data Form





PROJECT AREA MAP
Pochahontas Neighborhood
Town of Wakefield Sussex County, VA

#### LEGEND

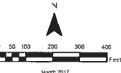
---- Town Boundary

Project Area Boundary

Proposed Phase 1 Boundary

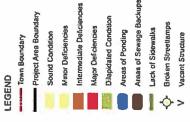
Proposed Phase 2 Boundary

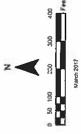
Previous Pochahontas CDBG County Project (completed) -Approximate Boundary

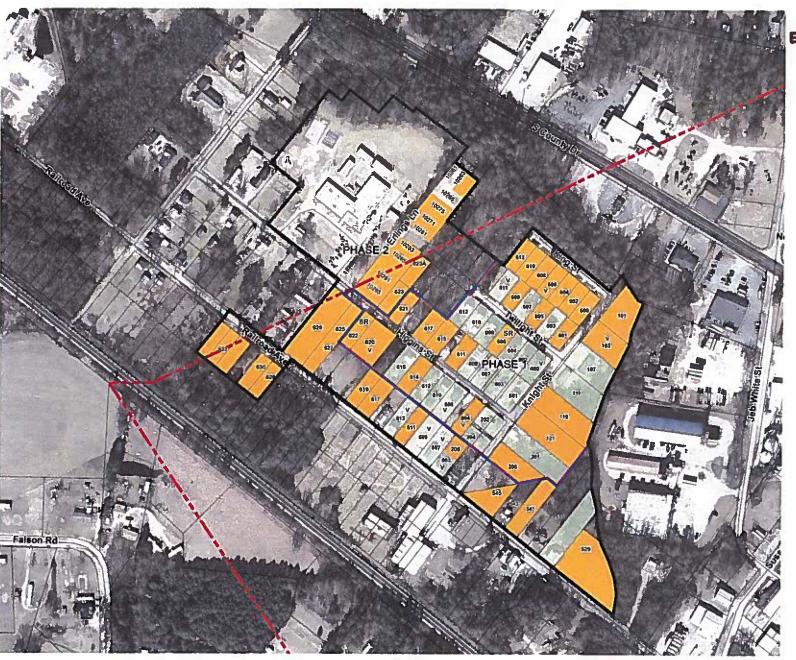


Community Planning Parguers Inc. Richard Virginia

NEEDS ASSESSMENT
Pochahontas Neighborhood
Town of Wakefield
Sussex County, VA







Pochahontas Neighborhood
Town of Wakefield
Sussex County, VA

#### LEGEND

Town Boundary

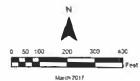
Project Area Boundary

Interested in Rehabilitation

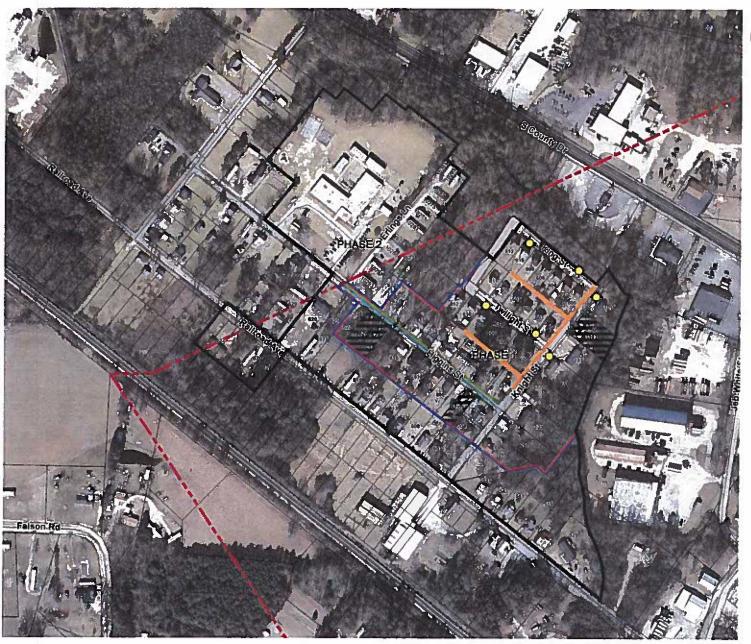


Survey Completed V Vacant Structure

SR Substantial Reconstruction

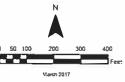


Carmonly Planning Parkers Inc. Restricted, Vigoria

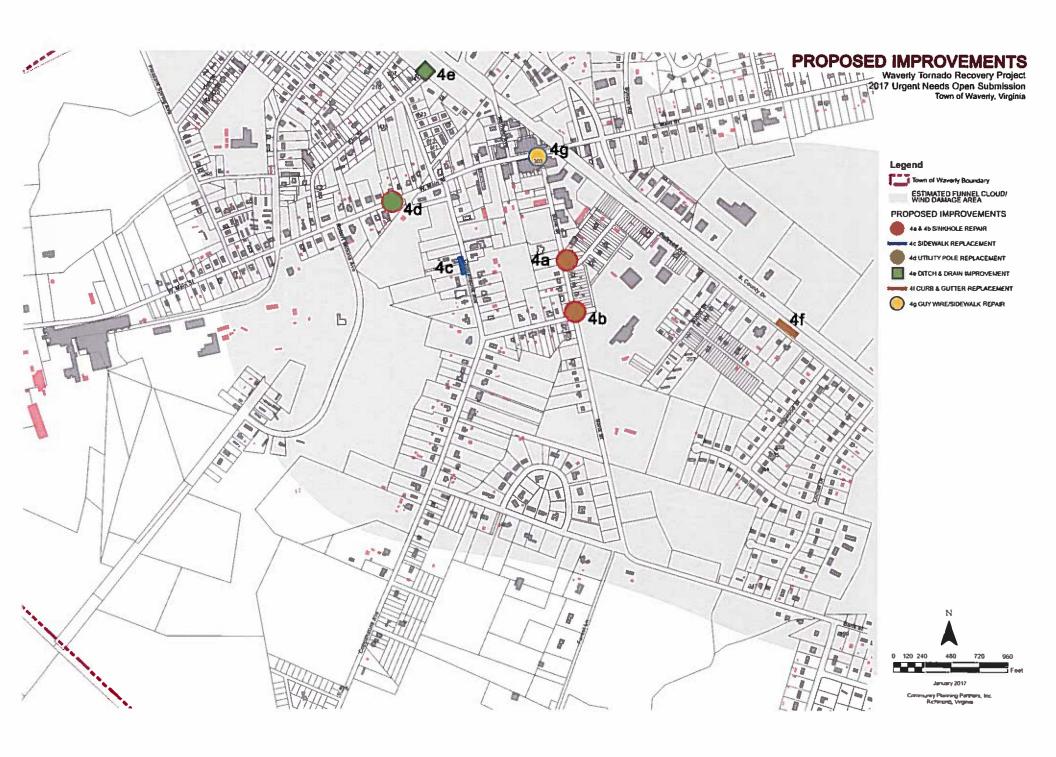


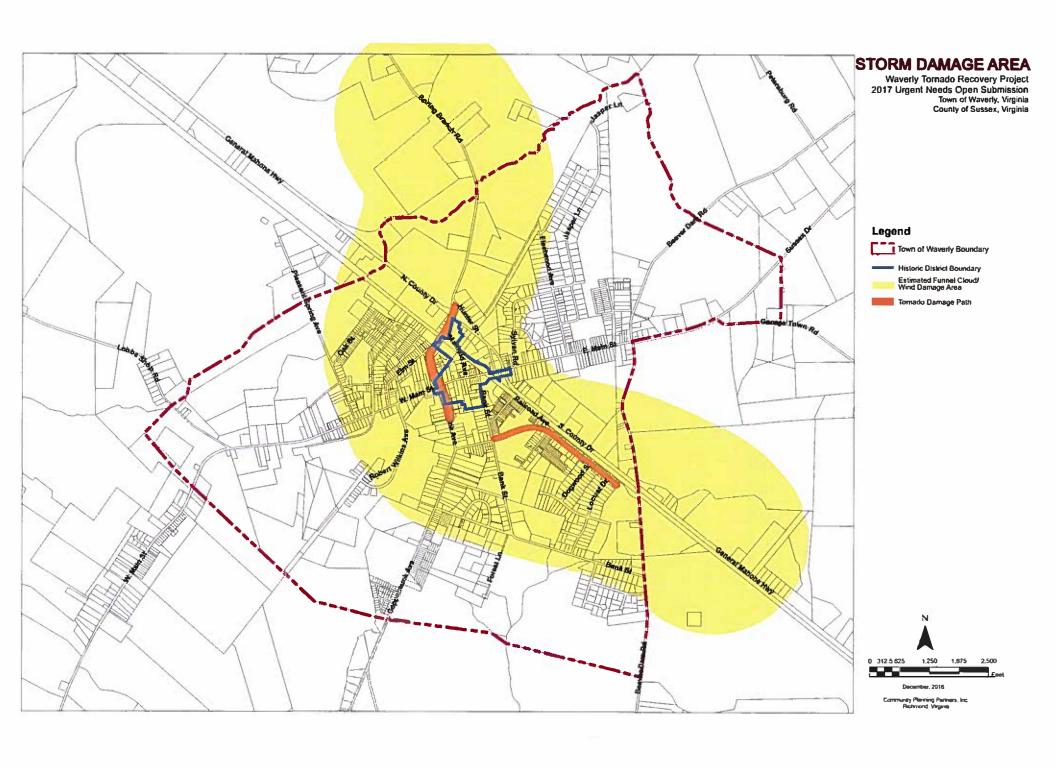
PROPOSED IMPROVEMENTS
Pochahonlas Neighborhood
Town of Wakefield
Sussex County, VA





Community Planning Parciers Inc., Richmond Virginia





#### CENSUS INFORMATION AND COMPLIANCE DATA

Using the American Community Survey or the 2010 Census, please list the Census tracts for the area(s) to be served. If the area includes entire Census tracts, do not list individual block groups within such tracts. If the service area contains less than the total Census tract, you must enter the block groups covered by the service area. Follow this link for 2010 Reference Maps for Virginia Census Tracts.

### Please complete this form in its entirety.

CENSUS PLACE CODE	CENSUS TRACT(S)	BLOCKS/BLOCK GROUPS
e.g. Essex County 057	e.g. Tract 9506	e.g. Block Group 1
Sussex County	Tract 8704	Block Group 1
	- Control - Cont	

**For all projects** please fill out the following Compliance Charts with demographic information about race, ethnicity and households in the locality as a whole *and* the Project Area.

TOTAL

NUMBER

### Information below is for the Locality

**ETHNICITY** 

Hispanic or Latino	268
Not Hispanic or Latino	12087
Total Population	2149
HOUSEHOLD TYPE	TOTAL NUMBER
Female-headed	336
Elderly	1179
With Handicap	n/a
Total Households	3934

RACE	TOTAL NUMBER
White alone	4747
Black/African American alone	7023
Asian alone	14
Am. Indian/Alaskan Native alone	7
Native Hawaiian/Other Pacific Islander alone	0
Am. Indian/Alaskan Native & White	19
Asian and White	10
Black/African American & White	39
Am. Indian/Alaskan Native & Black/African American	22
Other Multi-racial	154
Other Multi-racial	52
Total Population	12087

### Information below is for the **Project Area**

TOTAL

ETHNICITY	NUMBER
Hispanic or Latino	0
Not Hispanic or Latino	84
Total Population	84
HOUSEHOLD TYPE	TOTAL NUMBER
Female-headed	3
Elderly	16
With Handicap	17
Total Households	46

RACE	TOTAL NUMBER
White alone	0
Black/African American alone	84
Asian alone	0
Am. Indian/Alaskan Native alone	0
Native Hawaiian/Other Pacific Islander alone	0
Am. Indian/Alaskan Native & White	0
Asian and White	0
Black/African American & White	0
Am. Indian/Alaskan Native & Black/African American	0
Other Multi-racial	0
Other Multi-racial	0
Total Population	84

NOTE: Due to the large damage path the entire listed census track is the boundary of the project area but only those homes surveyed and impacted by the storm were used in the calculations of the Project Area information total for population and household characteristics.

### **Beneficiary Data**

- a. For Low and Moderate Income Benefit projects complete Sections 1 and 2 for your neighborhood or project area survey. This is required for all projects seeking LMI benefit. Please submit a copy of the survey instrument and results summary.
- b. For Slum and Blight Elimination projects complete Sections 1 and 4 using information for your project area. Please submit copy of your assessment tool.
- c. For Comprehensive, Housing, Community Facility and Economic Development Job Creation projects complete Sections 1 and 3.

### 1) Low- to Moderate-Income Benefit

In the chart below, please fill in the results of your neighborhood or project area survey. This is required for all projects seeking LMI benefit. Please attach a copy of the survey instrument and results summary. You must provide data for households and persons. Failure to provide this data could result in your application not being considered for funding.

	HOUSEHOLDS (HH)	PERSONS
Total population in project area	46	84
Total number of LMI in project area	40	84
Total LMI population / Total population (%)	100.00 %	100.00 %
Total number surveyed	46	84
Total number of LMI responses	19	35

2) For <u>Comprehensive</u>, <u>Housing</u>, <u>Community Facility and Economic Development Job</u>

<u>Creation projects</u> please fill in the following Expected Benefits Chart for your project. You must provide data for households and persons. *Failure to provide* this data could result in your application not being considered for funding.

PROJECT PRODUCTS	HH SERVED	LMI HH SERVED	TOTAL PERSONS SERVED	TOTAL LMI PERSONS SERVED	LMI PERSONS/TOTAL PERSONS (%)
Housing Rehab	19	19	29	29	100%
Housing Production	2	2	2	2	100%
Water	46	46	84	84	100%
Sewer	46	46	84	84	100%
Streets	46	46	84	84	100%
Drainage	46	46	84	84	100%
Jobs Created					%
Other	311				%

**Production is Reconstruction Numbers** 

3) For Community Service Facility or other projects that do not fit the specifications in the chart above (i.e. target a broad service area), please specify in the chart below the number of people and households to receive measurable benefit; do not include those that receive passive benefit like recreation, general training, etc. List each expected service separately. You must provide data for persons and LMI persons. Failure to provide this data could result in your application not being considered for funding.

PROJECT SERVICES	HH SERVED	LMI HH SERVED	TOTAL PERSONS SERVED	TOTAL LMI PERSONS SERVED	LMI PERSONS/TOTAL PERSONS (%)
					%
					%
					%
					%

4) <u>Slum and Blight Elimination Projects.</u> Please fill in the following Project Area Summary table with information for your project area and attach a copy of the assessment tool. You must provide data for all buildings in your project area. *Failure to provide* this data could result in your application not being considered for funding.

	TOTAL	ш	11		#BLIGHTED/
STRUCTURE TYPE	#	# OCCUPIED	# UNOCCUPIED	# BLIGHTED	TOTAL # (%)
Commercial	15	10	5	4	27%
Publicly Owned	2	0	2	2	100%
Choose an					%
item. Choose un item.					%
Choose an item.					%
Choose an item.					%
Choose an item.					%
Choose an item.					%

Choose an				1	%
item.					/0
Choose an					%
item.			_		/0
Other (specify)					%
Other (specify)					%
Other (specify)					%
Total	0	0	0	0	%

How many businesses are located	ed in the Project Area?	
How many businesses have closyears?	eed within the last three	
Number:	Percent of total businesses:	%
Approximately how many employed	oyees have been displaced as a result of	these closings?
Number:	Percent of total employees:	%

### Exhibit 6 – Executive Order 11246 - Equal Employment Opportunity

SOURCE: The provisions of Executive Order 11246 of Sept. 24, 1965, appear at 30 FR 12319, 12935, 3 CFR, 1964-1965 Comp., p.339, unless otherwise noted.

Under and by virtue of the authority vested in me as President of the United States by the Constitution and statutes of the United States, it is ordered as follows:

Part I - Nondiscrimination in Government Employment

[Part I superseded by EO 11478 of Aug. 8, 1969, 34 FR 12985, 3 CFR, 1966-1970 Comp., p. 803]

Part II - Nondiscrimination in Employment by Government Contractors and Subcontractors

Subpart A - Duties of the Secretary of Labor

SEC. 201. The Secretary of Labor shall be responsible for the administration and enforcement of Parts II and III of this Order. The Secretary shall adopt such rules and regulations and issue such orders as are deemed necessary and appropriate to achieve the purposes of Parts II and III of this Order.

[Sec. 201 amended by EO 12086 of Oct. 5, 1978, 43 FR 46501, 3 CFR, 1978 Comp., p. 230]

Subpart B - Contractors' Agreements

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 provisions:

"During the performance of this contract, the contractor agrees as follows:

- "(1) The contractor will not discriminate against any employee or 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 the following: employment, upgrading, 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 this 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 agency contracting 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 afl provisions of Executive Order No. 11246 of Sept. 24, 1965, and of the rules, regulations, and relevant orders of the 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 his books, records, and accounts by the contracting agency 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 win take such action with respect to any subcontract or purchase order as may be directed by 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, the contractor may request the United States to enter into such litigation to protect the interests of the United States." [Sec. 202 amended by EO 11375 of Oct. 13, 1967, 32 FR 14303, 3 CFR, 1966-1970 Comp., p. 684, EO 12086 of Oct. 5, 1978, 43 FR 46501, 3 CFR, 1978 Comp., p. 230]
- SEC. 203. Each contractor having a contract containing the provisions prescribed in Section 202 shall file, and shall cause each of his subcontractors to file, Compliance Reports with the contracting agency or the Secretary of Labor as may be directed. Compliance Reports shall be filed within such times and shall contain such information as to the practices, policies, programs, and employment policies, programs, and employment statistics of the contractor and each subcontractor, and shall be in such form, as the Secretary of Labor may prescribe.
- (b) Bidders or prospective contractors or subcontractors may be required to state whether they

have participated in any previous contract subject to the provisions of this Order, or any preceding similar Executive order, and in that event to submit, on behalf of themselves and their proposed subcontractors, Compliance Reports prior to or as an initial part of their bid or negotiation of a contract.

- (c) Whenever the contractor or subcontractor has a collective bargaining agreement or other contract or understanding with a labor union or an agency referring workers or providing or supervising apprenticeship or training for such workers, the Compliance Report shall include such information as to such labor union's or agency's practices and policies affecting compliance as the Secretary of Labor may prescribe: Provided, That to the extent such information is within the exclusive possession of a labor union or an agency referring workers or providing or supervising apprenticeship or training and such labor union or agency shall refuse to furnish such information to the contractor, the contractor shall so certify to the Secretary of Labor as part of its Compliance Report and shall set forth what efforts he has made to obtain such information.
- (d) The Secretary of Labor may direct that any bidder or prospective contractor or subcontractor shall submit, as part of his Compliance Report, a statement in writing, signed by an authorized officer or agent on behalf of any labor union or any agency referring workers or providing or supervising apprenticeship or other training, with which the bidder or prospective contractor deals, with supporting information, to the effect that the signer's practices and policies do not discriminate on the grounds of race, color, religion, sex or national origin, and that the signer either will affirmatively cooperate in the implementation of the policy and provisions of this Order or that it consents and agrees that recruitment, employment, and the terms and conditions of employment under the proposed contract shall be in accordance with the purposes and provisions of the order. In the event that the union, or the agency shall refuse to execute such a statement, the Compliance Report shall so certify and set forth what efforts have been made to secure such a statement and such additional factual material as the Secretary of Labor may require.

[Sec. 203 amended by EO 11375 of Oct. 13, 1967, 32 FR 14303, 3 CFR, 1966-1970 Comp., p. 684; EO 12086 of Oct. 5, 1978, 43 FR 46501, 3 CFR, 1978 Comp., p. 230]

SEC. 204. The Secretary of Labor may, when he/she deems that special circumstances in the national interest so require, exempt a contracting agency from the requirement of including any or all of the provisions of Section 202 of this Order in any specific contract, subcontract, or purchase order. The Secretary of Labor may, by rule or regulation, also exempt certain classes of contracts, subcontracts, or purchase orders (1) whenever work is to be or has been performed outside the United States and no recruitment of workers within the limits of the United States is involved; (2) for standard commercial supplies or raw materials; (3) involving less than specified amounts of money or specified numbers of workers; or (4) to the extent that they involve subcontracts below a specified tier. The Secretary of Labor may also provide, by rule, regulation, or order, for the exemption of facilities of a contractor which are in all respects separate and distinct from activities of the contractor related to the performance of the contract: Provided, That such an exemption will not interfere with or impede the effectuation of the purposes of this Order: And provided further, That in the absence of such an exemption, all facilities shall be covered by the provisions of this Order.

Subpart C - Powers and Duties of the Secretary of Labor and the Contracting Agencies

SEC. 205. The Secretary of Labor shall be responsible for securing compliance by all Government contractors and subcontractors with this Order and any implementing rules or regulations. All contracting agencies shall comply with the terms of this Order and any implementing rules, regulations, or orders of the Secretary of Labor. Contracting agencies shall cooperate with the Secretary of Labor and shall furnish such information and assistance as the Secretary may require.

[Sec. 205 amended by EO 12086 of Oct. 5, 1978, 43 FR 46501, 3 CFR, 1978 Comp., p. 230]

SEC. 206. The Secretary of Labor may investigate the employment practices of any Government contractor or subcontractor to determine whether or not the contractual provisions specified in Section 202 of this Order have been violated. Such investigation shall be conducted in accordance with the procedures established by the Secretary of Labor.

(b) The Secretary of Labor may receive and investigate complaints by employees or prospective employees of a Government contractor or subcontractor which allege discrimination contrary to the contractual provisions specified in Section 202 of this Order.

[Sec. 206 amended by EO 12086 of Oct. 5, 1978, 43 FR 46501, 3 CFR, 1978 Comp., p. 230]

SEC. 207. The Secretary of Labor shall use his/her best efforts, directly and through interested Federal, State, and local agencies, contractors, and all other available instrumentalities to cause any labor union engaged in work under Government contracts or any agency referring workers or providing or supervising apprenticeship or training for or in the course of such work to cooperate in the implementation of the purposes of this Order. The Secretary of Labor shall, in appropriate cases, notify the Equal Employment Opportunity Commission, the Department of Justice, or other appropriate Federal agencies whenever it has reason to believe that the practices of any such labor organization or agency violate Title VI or Title VII of the Civil Rights Act of 1964 or other provision of Federal law.

[Sec. 207 amended by EO 12086 of Oct. 5, 1978, 43 FR 46501, 3 CFR, 1978 Comp., p. 230]

SEC. 208. The Secretary of Labor, or any agency, officer, or employee in the executive branch of the Government designated by rule, regulation, or order of the Secretary, may hold such hearings, public or private, as the Secretary may deem advisable for compliance, enforcement, or educational purposes.

(b) The Secretary of Labor may hold, or cause to be held, hearings in accordance with Subsection of this Section prior to imposing, ordering, or recommending the imposition of penalties and sanctions under this Order. No order for debarment of any contractor from further Government contracts under Section 209(6) shall be made without affording the contractor an opportunity for a hearing.

Subpart D - Sanctions and Penalties

SEC. 209. In accordance with such rules, regulations, or orders as the Secretary of Labor may issue or adopt, the Secretary may:

- (1) Publish, or cause to be published, the names of contractors or unions which it has concluded have complied or have failed to comply with the provisions of this Order or of the rules, regulations, and orders of the Secretary of Labor.
- (2) Recommend to the Department of Justice that, in cases in which there is substantial or material violation or the threat of substantial or material violation of the contractual provisions set forth in Section 202 of this Order, appropriate proceedings be brought to enforce those provisions, including the enjoining, within the limitations of applicable law, of organizations, individuals, or groups who prevent directly or indirectly, or seek to prevent directly or indirectly, compliance with the provisions of this Order.
- (3) Recommend to the Equal Employment Opportunity Commission or the Department of Justice that appropriate proceedings be instituted under Title VII of the Civil Rights Act of 1964.
- (4) Recommend to the Department of Justice that criminal proceedings be brought for the furnishing of false information to any contracting agency or to the Secretary of Labor as the case may be.
- (5) After consulting with the contracting agency, direct the contracting agency to cancel, terminate, suspend, or cause to be cancelled, terminated, or suspended, any contract, or any portion or portions thereof, for failure of the contractor or subcontractor to comply with equal employment opportunity provisions of the contract. Contracts may be cancelled, terminated, or suspended absolutely or continuance of contracts may be conditioned upon a program for future compliance approved by the Secretary of Labor.
- (6) Provide that any contracting agency shall refrain from entering into further contracts, or extensions or other modifications of existing contracts, with any noncomplying contractor, until such

contractor has satisfied the Secretary of Labor that such contractor has established and will carry out personnel and employment policies in compliance with the provisions of this Order.

(b) Pursuant to rules and regulations prescribed by the Secretary of Labor, the Secretary shall make reasonable efforts, within a reasonable time limitation, to secure compliance with the contract provisions of this Order by methods of conference, conciliation, mediation, and persuasion before proceedings shall be instituted under subsection (a)(2) of this Section, or before a contract shall be cancelled or terminated in whole or in part under subsection (a)(5) of this Section.

[Sec. 209 amended by EO 12086 of Oct. 5, 1978, 43 FR 46501, 3 CFR, 1978 Comp., p. 230]

SEC. 210. Whenever the Secretary of Labor makes a determination under Section 209, the Secretary shall promptly notify the appropriate agency. The agency shall take the action directed by the Secretary and shall report the results of the action it has taken to the Secretary of Labor within such time as the Secretary shall specify. If the contracting agency fails to take the action

directed within thirty days, the Secretary may take the action directly.

[Sec. 210 amended by EO 12086 of Oct. 5, 1978, 43 FR 46501, 3 CFR, 1978 Comp., p 230]

SEC. 211. If the Secretary shall so direct, contracting agencies shall not enter into contracts with any bidder or prospective contractor unless the bidder or prospective contractor has satisfactorily complied with the provisions of this Order or submits a program for compliance acceptable to the Secretary of Labor.

[Sec. 211 amended by EO 12086 of Oct. 5, 1978, 43 FR 46501, 3 CFR, 1978 Comp., p. 230]

SEC. 212. When a contract has been cancelled or terminated under Section 209(a)(5) or a contractor has been debarred from further Government contracts under Section 209(a)(6) of this Order, because of noncompliance with the contract provisions specified in Section 202 of this

Order, the Secretary of Labor shall promptly notify the Comptroller General of the United States.

[Sec. 212 amended by EO 12086 of Oct. 5, 1978, 43 FR 46501, 3 CFR, 1978 Comp., p. 230]

Subpart E - Certificates of Merit

SEC. 213. The Secretary of Labor may provide for issuance of a United States Government Certificate of Merit to employers or labor unions, or other agencies which are or may hereafter be engaged in work under Government contracts, if the Secretary is satisfied that the personnel and employment practices of the employer, or that the personnel, training, apprenticeship, membership, grievance and representation, upgrading, and other practices and policies of the labor union or other agency conform to the purposes and provisions of this Order.

SEC. 214. Any Certificate of Merit may at any time be suspended or revoked by the Secretary of Labor if the holder thereof, in the judgment of the Secretary, has failed to comply with the provisions of this Order.

SEC. 215. The Secretary of Labor may provide for the exemption of any employer, labor union, or other agency from any reporting requirements imposed under or pursuant to this Order if such employer, labor union, or other agency has been awarded a Certificate of Merit which has not been suspended or revoked.

Part III - Nondiscrimination Provisions in Federally Assisted Construction Contracts

SEC. 301. Each executive department and agency, which administers a program involving Federal financial assistance shall require as a condition for the approval of any grant, contract, loan, insurance, or guarantee thereunder, which may involve a construction contract, that the applicant for Federal assistance undertake and agree to incorporate, or cause to be

incorporated, into all construction contracts paid for in whole or in part with funds obtained from the

Federal Government or borrowed on the credit of the Federal Government pursuant to such grant, contract, loan, insurance, or guarantee, or undertaken pursuant to any Federal program involving such grant, contract, loan, insurance, or guarantee, the provisions prescribed for Government contracts by Section 202 of this Order or such modification thereof, preserving in substance the contractor's obligations thereunder, as may be approved by the Secretary of Labor, together with such additional provisions as the Secretary deems appropriate to establish and protect the interest of the United States in the enforcement of those obligations. Each such applicant shall also undertake and agree (1) to assist and cooperate actively with the Secretary of Labor in obtaining the compliance of contractors and subcontractors with those contract provisions and with the rules, regulations and relevant orders of the Secretary, (2) to obtain and to furnish to the Secretary of Labor such information as the Secretary may require for the supervision of such compliance, (3) to carry out sanctions and penalties for violation of such obligations imposed upon contractors and subcontractors by the Secretary of Labor pursuant to Part II, Subpart D, of this Order, and (4) to refrain from entering into any contract subject to this Order, or extension or other modification of such a contract with a contractor debarred from Government contracts under Part II, Subpart D, of this Order.

[Sec. 301 amended by EO 12086 of Oct. 5, 1978, 43 FR 46501, 3 CFR, 1978 Comp., p. 230]

SEC. 302. "Construction contract" as used in this Order means any contract for the construction, rehabilitation, alteration, conversion, extension, or repair of buildings, highways, or other improvements to real property.

- (b) The provisions of Part II of this Order shall apply to such construction contracts, and for purposes of such application the administering department or agency shall be considered the contracting agency referred to therein.
- (c) The term "applicant" as used in this Order means an applicant for Federal assistance or, as determined by agency regulation, other program participant, with respect to whom an application for any grant, contract, loan, insurance, or guarantee is not finally acted upon prior to the effective date

of this Part, and it includes such an applicant after he/she becomes a recipient of such Federal assistance.

SEC. 303. The Secretary of Labor shall be responsible for obtaining the compliance of such applicants with their undertakings under this Order. Each administering department and agency is directed to cooperate with the Secretary of Labor and to furnish the Secretary such information and assistance as the Secretary may require in the performance of the Secretary's functions under this Order.

- (b) In the event an applicant fails and refuses to comply with the applicant's undertakings pursuant to this Order, the Secretary of Labor may, after consulting with the administering department or agency, take any or all of the following actions: (1) direct any administering department or agency to cancel, terminate, or suspend in whole or in part the agreement, contract or other arrangement with such applicant with respect to which the failure or refusal occurred; (2) direct any administering department or agency to refrain from extending any further assistance to the applicant under the program with respect to which the failure or refusal occurred until satisfactory assurance of future compliance has been received by the Secretary of Labor from such applicant; and (3) refer the case to the Department of Justice or the Equal Employment Opportunity Commission for appropriate law enforcement or other proceedings.
- (c) In no case shall action be taken with respect to an applicant pursuant to clause (1) or (2) of subsection (b) without notice and opportunity for hearing.

[Sec. 303 amended by EO 12086 of Oct. 5, 1978, 43 FR 46501, 3 CFR, 1978 Comp., p. 230]

SEC. 304. Any executive department or agency which imposes by rule, regulation, or order requirements of nondiscrimination in employment, other than requirements imposed pursuant to this Order, may delegate to the Secretary of Labor by agreement such responsibilities with respect to compliance standards, reports, and procedures as would tend to bring the administration of such requirements into conformity with the administration of requirements imposed under this Order:

Provided, That actions to effect compliance by recipients of Federal financial assistance with requirements imposed pursuant to Title VI of the Civil Rights Act of 1964 shall be taken in conformity with the procedures and limitations prescribed in Section 602 thereof and the regulations of the administering department or agency issued thereunder.

Part IV - Miscellaneous

SEC. 401. The Secretary of Labor may delegate to any officer, agency, or employee in the Executive branch of the Government, any function or duty of the Secretary under Parts II and III of this Order.

[Sec. 401 amended by EO 12086 of Oct. 5, 1978, 43 FR 46501, 3 CFR, 1978 Comp., p. 230]

SEC. 402. The Secretary of Labor shall provide administrative support for the execution of the program known as the "Plans for Progress."

SEC. 403. Executive Orders Nos. 10590 (January 19, 1955), 10722 (August 5, 1957), 10925 (March 6, 1961), 11114 (June 22, 1963), and 11162 (July 28, 1964), are hereby superseded and the President's Committee on Equal Employment Opportunity established by Executive Order No. 10925 is hereby abolished. All records and property in the custody of the Committee shall be transferred to the Office of Personnel Management and the Secretary of Labor, as appropriate.

(b) Nothing in this Order shall be deemed to relieve any person of any obligation assumed or imposed under or pursuant to any Executive Order superseded by this Order. All rules, regulations, orders, instructions, designations, and other directives issued by the President's Committee on Equal Employment Opportunity and those issued by the heads of various departments or agencies under or pursuant to any of the Executive orders superseded by this Order, shall, to the extent that they are not inconsistent with this Order, remain in full force and effect unless and until revoked or superseded by appropriate authority. References in such directives to provisions of the superseded orders shall be deemed to be references to the comparable provisions of this Order.

[Sec. 403 amended by EO 12107 of Dec. 28, 1978, 44 FR 1055, 3 CFR, 1978 Comp., p, 264]

SEC. 404. The General Services Administration shall take appropriate action to revise the standard Government contract forms to accord with the provisions of this Order and of the rules and regulations of the Secretary of Labor.

SEC. 405. This Order shall become effective thirty days after the date of this Order.