

**CDBG-DR Section 3 Agency Reporting Form**

The U.S. Department of Housing and Urban Development (HUD), through Community Development Block Grant-Disaster Recovery (CDBG-DR), funds all or a portion of your program. HUD requires the City to collect staff information on every program that uses CDBG-DR program funds for construction/rehabilitation work in excess of \$100,000, to ensure the City's compliance with Section 3 of the U.S. Housing and Urban Development Act of 1968.

Section 3 requires recipients of HUD financial assistance to provide training, employment, and contracting opportunities to Section 3 residents and businesses to the greatest extent feasible, consistent with existing federal, state, and local laws and regulations.

The forms in this package must be completed by all agencies working on a Section 3-covered project whose budgeted amount exceeds \$100,000. You must complete these forms for each year that this program uses CDBG-DR funding. **The forms must be submitted to the NYC Office of Management and Budget by February 15, 2019, and cover the reporting period of Federal Fiscal Year (FFY) 2018 from October 1, 2017 – September 30, 2018.** You must also submit any "Summary Report Forms" that are completed by your **contractors and their subcontractors** with CDBG-DR-funded contracts in excess of \$100,000.

The Section 3 information provided will be aggregated and reported to HUD on a citywide basis. HUD reviews the City's annual reports, investigates complaints, and reserves the right to monitor the performance of the City's contractors. In the event of a monitoring, HUD will examine employment and contract records for evidence of actions taken to train and employ Section 3 residents and to award contracts to Section 3 businesses.

Specifically, HUD will review:

- Whether all contracts awarded by the City contain the required Section 3 clause in all applicable contracts
- The number of Section 3 training opportunities coordinated by the City;
- Whether 30% of all new hires by contractors were "Section 3 residents"; and
- Whether at least 10% of the total dollar amount of all contracts' building trades work and 3% of the total dollar amount of all other applicable contracts were awarded consistent with the requirements of being a "Section 3 Business."
- If any agency does not meet the three minimum numerical goals for the reporting period, an explanation regarding best efforts is required.

For **Part I to Part III** this information is based off the data collected in your Agency in the Employee Self-Certification forms. If your agency oversees multiple CDBG-DR funded programs please list all programs in the space below.

For **Part IV** this information is based off the data collected from Prime Contractors and Subcontractors in the CDBG-DR Section 3 Contractor Reporting Forms submitted to the agency.

For additional instructions on completing this form please refer to the "CDBG-DR Policy and Reporting Procedures" and "Appendix" documents provided as part of the reporting packet.

**PART I: AGENCY INFORMATION**

City Agency: \_\_\_\_\_

CDBG-DR Program Name (s): \_\_\_\_\_

Reporting Period: \_\_\_\_\_

Date Submitted to OMB: \_\_\_\_\_

**PART II: SIGNATURE**

I affirm that the statements contained in this report are true, complete, and correct to the best of my knowledge and belief.

\_\_\_\_\_  
Signature of Authorized Representative of City Agency

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Title

**INFORMATION ABOUT SECTION 3 RESIDENTS**

A Section 3 resident is a public housing resident or an individual who resides in the five boroughs and who is considered to be a low- or moderate-income person.

Under the New York City CDBG-DR program, there are two provisions that set the guidelines for determining who can be considered a Section 3 resident. These two provisions are **Individual Income** and **Income Based on Household Size**. *Please note that the Section 3 Resident income provisions for the New York City CDBG Disaster Recovery grant are different than the guidelines for City's traditional CDBG program.* Please contact your agency's OMB representative for questions related to determining Section 3 residents.

To document the income of your employees, you should utilize the "Employee Self-Affirmation Form" distributed by OMB and also found with this CDBG-DR Section 3 reporting package.

**Individual Income**

Income is defined as the total annual income a person earns, all sources of income must be counted. Employees should refer to their tax returns from the year prior to their hire to determine whether their income falls below the limits. For example, an employee hired on January 1, 2016 would refer to their 2015 income.

For the **current reporting period** FFY 2018 (Oct 1<sup>st</sup>, 2017 – Sept 30<sup>th</sup>, 2018) Section 3 Resident can be defined as a single person who has an annual salary (before taxes) of \$58,450 or less. This income limit went into effect 4/1/2018 and applies to the majority of this reporting period. If income limit data prior to 4/1/2018 is needed, please contact the CDBG-DR Unit at OMB.

**Income Based on Household Size**

Income is defined as the total annual income of all family and non-family members 18+ years old living within the household. All sources of income must be counted from all persons in the household.

<b>Household Size</b>	<b>Income Ranges</b>
Household Size of 1	Total income equal to or less than \$58,450
Household Size of 2	Total income equal to or less than \$66,800
Household Size of 3	Total income equal to or less than \$75,150
Household Size of 4	Total income equal to or less than \$83,450
Household Size of 5	Total income equal to or less than \$90,150
Household Size of 6	Total income equal to or less than \$96,850
Household Size of 7	Total income equal to or less than \$103,500
Household Size of 8	Total income equal to or less than \$110,200

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**PART III: AGENCY EMPLOYMENT AND TRAINING OPPORTUNITIES**

Note: This section only applies to your employees and the employees your agency may hire.

<p>1. In the past year (based on reporting period), did your agency hire or train any new employees in connection with any CDBG-DR funded construction projects?</p> <p style="text-align: center;"><input type="checkbox"/> YES                      <input type="checkbox"/> NO</p>	<p>2. Did your agency participate in a program that promotes the training or employment of Section 3 residents?</p> <p style="text-align: center;"><input type="checkbox"/> YES                      <input type="checkbox"/> NO</p>
<p>3. Did your agency recruit low- or moderate-income residents through local advertising media; signs prominently displayed at the project sites; contacts with community organizations, and/or private or public agencies operating within the five boroughs?</p> <p style="text-align: center;"><input type="checkbox"/> YES                      <input type="checkbox"/> NO</p>	<p>4. Did your agency participate in a HUD program or other program that promotes the awards of contracts to business concerns which meet the definition of Section 3 business concerns?</p> <p style="text-align: center;"><input type="checkbox"/> YES                      <input type="checkbox"/> NO</p>
<p>5. Other Efforts for achieving compliance, barriers encountered etc. <b>If you are not reporting any new activity please indicate why. Please provide a detailed response to this section and use as much space as needed (attach a new page if necessary). If no new hires or contracts were used please note this in your comments in the text field below.</b></p>	

<b>AGENCY EMPLOYMENT AND TRAINING OPPORTUNITIES</b>	<b>Hiring</b>	<b>Training, Part-Time, and Other Employees</b>		
	<p>A New Hire refers to a person who was hired in connection with the Section 3-covered project and was hired during the period covered by this report. A Section 3 New Hire refers to a person from a low- and moderate-income household (as defined by the Employee Self Certification form) who was hired in connection with the Section 3-covered project.</p>	<p>Training and Other Employment Related Opportunities: Include all employment opportunities generated by the expenditure of CDBG-DR funds on a section 3 covered project. Examples: use of "upward mobility", "bridge" and trainee positions to fill vacancies; hiring section 3 residents in management and maintenance positions within other housing developments; and hiring section 3 residents in part-time positions.</p>		
Job Category	TOTAL Number of New Hires	Number of New Hires That Are Section 3 Residents (last 3 years)	TOTAL Number of Part-Time, Other Employees and Trainees	Number of Employees and Trainees That Are Section 3 Residents
Professionals				
Technicians				
Office and Clerical				
Officials and Managers				
Inspectors				
Craft Workers (skilled)				
Operatives (semi-skilled)				
Laborers (unskilled)				
Service Workers				
Other (List below)				
<b>Total</b>				

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**PART IV: CONTRACTOR EMPLOYMENT AND TRAINING OPPORTUNITIES**

Note: This section only applies to any contractors that are awarded CDBG-DR contracts by your agency.

1. Did your agency hire any contractors in connection with this award?  <input type="checkbox"/> YES <input type="checkbox"/> NO	2. Was the value of any of these contracts in excess of \$100,000?  <input type="checkbox"/> YES <input type="checkbox"/> NO
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**CONTRACTING DETAIL**

If your agency awarded any contracts in excess of \$100,000, please summarize your contractors' and their subcontractors' Section 3 employment information in the chart below. Also, if you awarded contracts for less than \$100,000, but the firm voluntarily hired low- and very-low income persons; you may enter those figures here as well. If no new contractors were needed, please note this by filling in "0" in the boxes below and make sure to provide an explanation in the text box for Part III, Question 5.

	<b>Construction Contracts Only</b> (includes housing construction, rehabilitation, demolition or other public construction)	<b>All Other Contracts</b> (Non-Construction including any Job Training Contracts and non-trade works contracts)
<b>Number of All Contracts</b> awarded using CDBG-DR Funds.	#	#
<b>Dollar Amount of All Contracts</b> awarded using CDBG-DR Funds.	\$	\$
<b>Number of Contracts</b> awarded to <b>Section 3 Businesses</b> using CDBG-DR Funds.	#	#
<b>Dollar Amount of Contracts</b> awarded to <b>Section 3 Businesses</b> using CDBG-DR Funds.	\$	\$

<b>CONTRACTOR AND SUBCONTRACTOR EMPLOYMENT AND TRAINING OPPORTUNITIES</b>	<b>Hiring</b> <small>A New Hire refers to a person who was hired in connection with the Section 3-covered project and was hired during the period covered by this report. A Section 3 New Hire refers to a person from a low- and moderate-income household (as defined by the Employee Self Certification form) who was hired in connection with the Section 3-covered project.</small>	<b>Training, Part-Time, and Other Employees</b> <small>Training and Other Employment Related Opportunities: Include all employment opportunities generated by the expenditure of CDBG-DR funds on a Section 3 covered project. Examples: use of "upward mobility", "bridge" and trainee positions to fill vacancies; hiring section 3 residents in management and maintenance positions within other housing developments; and hiring Section 3 residents in part-time positions.</small>
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Office and Clerical				
Officials and Managers				
Inspectors				
Craft Workers (skilled)				
Operatives (semi-skilled)				
Laborers (unskilled)				
Service Workers				
Other (List below)				
<b>Total</b>				