

CDBG-DR Section 3 Contractor 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 contract. HUD requires the City to collect staff information on every contractor/subcontractor that receives a CDBG-DR funded, construction-related contract in excess of \$100,000, to ensure the City's compliance with Section 3 of the U.S. Housing & 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 reporting packet must be completed by all firms working on a Section 3-covered project whose contract amount exceeds \$100,000, even if the firm is not a "Section 3 Business."

You must complete these forms for each year that your CDBG-DR contract is open. **The forms must be submitted to your funding agency in a timely manner and cover the reporting period of Federal Fiscal Year (FFY) 2020 from October 1, 2019 – September 30, 2020.** If you subcontracted with another firm in excess of \$100,000 as part of this project, please forward the subcontractor a separate copy of this form and have them complete **Parts II-V.**

PART I: FOR PRIME CONTRACTORS

Complete this section **ONLY** if you are the prime contractor on a CDBG-DR-funded project.

City Agency Overseeing Contract: _____

Project Name(s): _____

Project Site(s): _____

Name of Firm: _____

Street Address: _____

City: _____ State: _____ Zip Code: _____

Report Period: _____

Contract Amount (if more than one project enter aggregate amount): _____

Date Submitted: _____

PART II: FOR SUBCONTRACTORS

Complete this section **ONLY** if you are a subcontractor on a CDBG-DR-funded project.

Name of Firm: _____

Street Address: _____

City: _____ State: _____ Zip Code: _____

Firm Overseeing Subcontract: _____

Subcontract Amount (if more than one project enter aggregate amount): _____

Date Submitted: _____

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 liaison 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 to city agencies and also found with this CDBG-DR Section 3 reporting package.

Individual Income

Income is defined as the total annual income a person earns and 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 2020** (October 1, 2019 – September 30, 2020) a Section 3 Resident can be defined as a single person who has an annual salary (before taxes) of \$63,700 or less. This income limit went into effect 4/1/2020 and applies to the majority of this reporting period. If income limit data prior to 4/1/2020 data is needed, please contact your agency liaison.

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.

Household Size	Income Ranges
Household Size of 1	Total income equal to or less than \$63,700
Household Size of 2	Total income equal to or less than \$72,800
Household Size of 3	Total income equal to or less than \$81,900
Household Size of 4	Total income equal to or less than \$90,950
Household Size of 5	Total income equal to or less than \$98,250
Household Size of 6	Total income equal to or less than \$105,550
Household Size of 7	Total income equal to or less than \$112,800
Household Size of 8	Total income equal to or less than \$120,100

PART III: EMPLOYMENT AND TRAINING OPPORTUNITIES

<p>1. Did your firm hire or train any new individuals in connection with any CDBG-DR-funded construction projects within the past calendar year?</p> <p style="text-align: center;"><input type="checkbox"/> YES <input type="checkbox"/> NO</p>	<p>2. Did your firm hire any subcontractors in connection with this award?</p> <p style="text-align: center;"><input type="checkbox"/> YES <input type="checkbox"/> NO</p>
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3. If yes, was the value of any of these subcontracts in excess of \$100,000?

YES* NO

*If you answered yes, please forward each subcontractor a separate copy of this form and have them complete Parts II-V

CONTRACTOR EMPLOYMENT AND TRAINING OPPORTUNITIES	Hiring <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>		Training, Part-Time, and Other Employees <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>	
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 Part-Time, Other 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)				
Total				

