

NEW YORK CITY HOUSING AUTHORITY

SECTION 3 & RESIDENT ECONOMIC OPPORTUNITY PLAN

NYCHA DEVELOPMENTS WHERE WORK IS TAKING PLACE:	CONTRACT/RFQ #:	<input type="checkbox"/> ORIGINAL AWARD OR <input type="checkbox"/> CONTRACT INCREASE/CHANGE ORDER/OTHER
TYPE OF WORK:	COMPANY NAME:	
BUSINESS ADDRESS:		
BUSINESS PHONE #:	EMAIL:	
FEDERAL TAX #:	PROPOSAL DATE:	

A. PLAN OFFICER

Name of Company official who will serve as the Plan Officer.

Name _____ Company Title _____

Phone _____ Email _____

B. LABOR HOURS PROJECTIONS

What is the Total Estimated Labor Hours (defined below) for this contract/project? _____

What is the Total Projected Labor Hours (defined below) to be Worked by **Section 3 Workers** (min 25% of the total number of labor hours worked)? _____

What is the Total Projected Labor Hours (defined below) to be Worked by **Targeted Section 3 Workers** (min 5% of the total number of labor hours worked)? _____

C. WORKFORCE ANALYSIS

How many **new hires** do you project on this contract/project? _____.

Please list the titles, # of openings per title, and the total # of labor hours per title in the table below for all projected new hires.

JOB TITLE (EX: LABORERS, ASBESTOS HANDLERS, ADMINISTRATIVE ASSISTANT, TRAINEE, PLUMBER'S APPRENTICE)	# OF OPENINGS	TOTAL # OF LABOR HOURS
TOTAL PROJECTIONS		



D. RESIDENT TRAINING

In accordance with the HUD Section 3 regulation, or NYCHA's employment and training goals, please outline your plan to organize skills-building training for Section 3 Workers.

TYPE OF TRAINING	LENGTH OF TRAINING	CERTIFICATES OR LICENSES PROVIDED	PROJECTED # OF RESIDENT SLOTS
		TOTAL	

E. OUTREACH & RECRUITMENT

What actions will your company take to meet your contract requirements? Check all that applies and elaborate as needed.

- ☐ Coordinate with NYCHA's Office of Resident Economic Empowerment & Sustainability (REES) to source qualified NYCHA residents.
- ☐ Interview qualified NYCHA residents who are graduates of the NYCHA Resident Training Academy (NRTA) and other REES partners.
- ☐ Work with property managers to post job opportunities.
- ☐ Engage in outreach efforts to connect NYCHA residents to economic opportunities.
- ☐ Provide training, internships, and/ or apprenticeship opportunities. If so, please describe: _____
- _____
- _____
- ☐ Coordinate with labor unions and apprenticeship programs to request or sponsor NYCHA residents? If so, which labor unions: _____
- _____
- ☐ Subcontract to Section 3 Business Concerns.
- ☐ Other tools to market opportunities: _____

F. SECTION 3 BUSINESS CONCERNS – ACKNOWLEDGEMENT

Contractor shall maintain records and documentation of efforts to subcontract to Section 3 Business Concerns.

Actions required to award contract opportunities to qualified Section 3 Business Concerns

Contractors will use the following methods to notify and contract with Section 3 Business Concerns when contracting opportunities exist:

- Contact business assistance agencies, minority contractor associations and community organizations to inform them of contracting opportunities and request assistance in identifying Section 3 businesses which may solicit bids or proposals for contracts for work in connection with Section 3 covered assistance.
- Advertise contracting opportunities by posting notices which provide general information about the work to be contracted and where to obtain additional information in the common area or other prominent areas of the housing development or developments owned and managed by the housing authority.
- Provide written notice to all known Section 3 business concerns of contracting opportunities. This notice should be in sufficient time to allow the Section 3 business concerns to respond to bid invitations or requests for proposal.
- Follow up with Section 3 business concerns that have expressed interest in the contracting opportunities by contacting them to provide additional information on contracting opportunities.
- Coordinate pre-bid meetings at which Section 3 business concerns could be informed of upcoming contracting and subcontracting opportunities.
- Carry out workshops on contracting procedures and specific contract opportunities so that Section 3 business concerns can take advantage of upcoming contracting opportunities, with such information being made available in language other than English, where appropriate.
- Advise Section 3 business concerns as to where they may seek assistance in overcoming limitations such as inability to obtain bonding, lines of credit, financing, or insurance.

NYCHA Section 3 Business Concerns Registry:

<http://www1.nyc.gov/site/nycha/business/section3-business-concern-information.page#findS3BC>



CONTRACTORS RESPONSIBILITIES FOR SECTION 3 AND NYCHA'S EMPLOYMENT & TRAINING GOALS

If the contractor subcontracts portions of the work to another business(es), such business(es) are required to comply with Section 3 and direct employment and/or subcontracting opportunities to Section 3 workers and Section 3 business concerns. The same numerical goals apply to subcontractors as apply to the contractor. The contractor must include the total projected labor hours to be worked by its subcontractors, including projected labor hours to be worked by Section 3 workers, and projected labor hours to be worked by Targeted Section 3 workers. In addition, the contractor must notify NYCHA in writing about their subcontractors' efforts to comply with Section 3 or NYCHA's employment & training goals and submit any required documentation.

The contractor certifies to (a) comply with the Section 3 regulations and/or NYCHA's employment & training goals and (b) take all actions with respect thereto that are stated on this Plan. The Contractor's Plan Officer agrees to meet with NYCHA residents and staff and provide documentation and reports required by NYCHA to confirm compliance with Section 3 requirements and/or NYCHA's employment & training goals. This Plan shall be made part of the Contract that is referred to by the Contract/RFQ # stated above and failure to comply may be deemed a material breach of this Contract and may result in sanctions, termination of this contract and/or unsatisfactory performance evaluation, cautions reported, and affect award of future contracts.

Signature of Plan Officer: _____

Company Title: _____

Date: _____



SECTION 3 OVERVIEW¹

LABOR HOURS WILL BE TRACKED THROUGHOUT THE LIFETIME OF THE CONTRACT.

LABOR HOURS

The number of paid hours worked by persons on a Section 3 project or by persons employed with funds that include public housing financial assistance.

SECTION 3 WORKER

Any worker who currently fits or when hired within the past five years fit at least one of the following categories, as documented:

- The worker's income for the previous or annualized calendar year is below the income limit established by HUD.
- The worker is employed by a Section 3 Business Concern.
- The worker is a YouthBuild participant.

TARGETED SECTION 3 WORKER

A Targeted Section 3 Worker for public housing financial assistance means a Section 3 worker who is:

- A worker employed by a Section 3 Business Concern; or
- A worker who currently fits or when hired fit at least one of the following categories, as documented within the past 5 years:
 - o A resident of public housing or Section-8 assisted housing;
 - o A resident of other public housing projects or Section 8-assisted housing managed by the PHA that is providing the assistance; or
 - o A YouthBuild participant.

SECTION 3 MINIMUM NUMERICAL GOALS

- Twenty-five (25) percent or more of the total number of labor hours worked by all workers employed with public housing financial assistance in the PHA's or other recipient's fiscal year are Section 3 workers.
Section 3 Labor Hours/Total Labor Hours = 25% and
- Five (5) percent or more of the total number of labor hours worked by all workers employed with public housing financial assistance in the PHA's other recipient's fiscal year are targeted Section 3 workers.
Targeted Section 3 Labor Hours/Total Labor Hours = 5%

SECTION 3 BUSINESS CONCERNS

A Business Concerns meeting at least one of the following criteria documented within the last six-month period:

- It is a business at least 51 percent owned and controlled by current public housing residents or residents who currently lives in Section 8-assisted housing, or;
- It is at least 51 percent owned and controlled by low- or very-low income persons, or;
- Over 75 percent of the labor hours performed for the business over the prior three-month period are performed by Section 3 workers

SECTION 3 EMPLOYMENT AND TRAINING PRIORITIES FOR PUBLIC HOUSING FINANCIAL ASSISTANCE (PHFA)²

Category 1: Residents of the public housing projects for which the public housing financial assistance is expended;

Category 2: Residents of other public housing projects managed by the PHA that is providing assistance or for residents of Section 8-assisted housing managed by the PHA

Category 3: Participants in YouthBuild programs; and

Category 4*: Low and very low-income persons residing within the metropolitan area (or non-metropolitan county) in which the assistance is expended.

* For all category 4 hires, contractor must submit a NYCHA Self-Certification: Section 3 Worker/Targeted Section 3 Worker form. Contractors shall maintain a copy of this form for auditing review purposes.

SECTION 3 EMPLOYMENT AND TRAINING PRIORITIES FOR PERMANENT AFFORDABILITY COMMITMENT TOGETHER (PACT) PROJECTS³

Category 1: To residents of public housing or Section 8 assisted housing;

Category 2: To Section 3 workers residing within the service area or the neighborhood of the project;

Category 3: Participants in YouthBuild programs; and

Category 4: To low- and very low-income persons residing within the metropolitan area (or nonmetropolitan county) in which the assistance is expended.

JOB ORDER CONTRACTS / TASK ORDERS /AUTHORIZATIONS

Section 3 Hiring Plans should be based on the projected full expenditure of the contract (or not-to-exceed amount).

¹ The Section 3 regulations can be found at the following link: eCFR — Code of Federal Regulations (<https://www.govinfo.gov/content/pkg/FR-2020-09-29/pdf/2020-19185.pdf>)

² Most contracts at NYCHA funded with HCDFA are also funded with PHFA. If a contract is funded with HCDFA but not one dollar of PHFA, the Employment and Training Priorities in §75.19 of Subpart C—Additional Provisions for Housing and Community Development Financial Assistance apply.

³ If a PACT project transaction (using the RAD Program) receives HUD HCDFA (e.g. HOME or CDGB), the Employment and Training Priorities in §75.19 of Subpart C—Additional Provisions for Housing and Community Development Financial Assistance apply.

