



**Homes and
Community Renewal**

New Section 3 Reporting Form

December 18, 2019

Utilization of Section 3 Residents and Businesses Report

All recipients of a single CDBG, HOME, federal HTF or other HUD award in excess of \$200,000 for housing and community development projects must complete this form. More information in instructions below.

1. Awardee/Recipient Name & Address (street, city, state, zip):		2. Project ID/SHARS #:	3. Date of Report:
		4. Section 3 Coordinator:	5. Phone (w/ area code):
		6. Email Address:	7. Reporting Period
			<input type="checkbox"/> Jan. 1-July 1, 20__ <input type="checkbox"/> Jan. 1-Dec. 31, 20__
8. HUD Funding Source: (CDBG, HOME LPA, HOME Capital, HTF, NSG)	9. Dollar Amount of HUD Assistance:	10. Project Name	

Form available here: <https://hcr.ny.gov/section-3-compliance>

Reporting Form: Part I → Employment and Training

Part I: Employment and Training (Goal is 30% of New Hires to Section 3 Residents – includes residents of local public housing authority, Section 8 voucher holders, YouthBuild participants and other low-income individuals)*

A Job Category	B # of New Hires during this reporting period	C # of New Hires that are Section 3 Residents	D % of Aggregate # of Staff Hours of New Hires that are Sec. 3 Residents (optional)	E % of Total Staff Hours for Section 3 Employees and Trainees (optional)	F # of Section 3 Trainees
Professionals					
Technicians					
Office/Clerical					
Construction by Trade (list trade)					
Other (list)					
Total					



Reporting Form: Part II → Contracts Awarded

Part II: Contracts Awarded*	
1. Construction Contracts (Goal is 10% going to Section 3 businesses):	
A. Total dollar amount of all contracts awarded on the project <u>during this reporting period</u>	\$
B. Total dollar amount of contracts awarded to Section 3 businesses <u>during this reporting period</u>	\$
C. Percentage of the total dollar amount that was awarded to Section 3 businesses	%
D. Total number of Section 3 businesses receiving contracts	
2. Non-Construction Contracts (Goal is 3% going to Section 3 businesses):	
A. Total dollar amount of all non-construction contracts awarded on the project <u>during this reporting period</u>	\$
B. Total dollar amount of non-construction contracts awarded to Section 3 businesses <u>during this reporting period</u>	\$
C. Percentage of the total dollar amount that was awarded to Section 3 businesses	%
D. Total number of Section 3 businesses receiving non-construction contracts	

Certifications

Reporting for Section 3 Subs

***NOTE: You are responsible for reporting in this form all Section 3 hiring and contracting conducted by your contractors and sub-contractors who are subject to Section 3 ("Section 3 Contractors or Subcontractors").** Section 3 Contractors and Subcontractors are those who have a single contract with You (Recipient/Awardee), your contractor or their sub-contractor that is over \$100,000, and therefore are subject to the same Section 3 goals and requirements. For example, if you write "0" for "Number of New Hires" in Column B, you are saying that neither you *nor any of your Section 3 Contractors or Subcontractors* did any hiring during the reporting period.

Check here to certify that this reporting form includes all Section 3 hiring and contracting during this reporting period conducted by any of your Section 3 Contractors or Subcontractors (that have contracts over \$100,000).

Check here if you did not have any Section 3 Contractors or Subcontractors (that have contracts over \$100,000) during this reporting period.

Section 3 Preferences Certifications

Check here to certify that, if hiring occurred by You or your Section 3 Contractors or Subcontractors during this reporting period, preference was given, to the greatest extent feasible, to qualified Section 3 residents, if any applied, in accordance with your Section 3 Participation Plan. **Check here** if You or your Section 3 Contractors or Subcontractors did not hire anybody in this reporting period.

Check here to certify that, to extent contracts (including in professional services contracts) were awarded by You or your Section 3 Contractors or Subcontractors on this project during this reporting period, preference was given, to the greatest extent feasible, to applications or proposals by qualified Section 3 businesses, if any, in accordance with your Section 3 Participation Plan. **Check here** if you did not award any contracts this reporting period.

Check here to certify that the [Section 3 clause](#) was included in all contracts with Section 3 Contractors and Subcontractors (that have contracts over \$100,000).



Reporting Form: Part III → Narrative for Not Meeting Goals

You MUST have a narrative for not reaching the goals. Indicate the “Greatest Extent Feasible Efforts” made to direct the employment and other economic opportunities generated by HUD financial assistance for housing and community development programs, to the greatest extent feasible, toward low-and very low-income persons, particularly those who are recipients of government housing.

Greatest Extent Feasible Efforts (See Guidance Checklist under Form @ <https://hcr.ny.gov/section-3-compliance>)

- Advertise in newspapers and periodicals with wide distribution
- Job posting displayed at work sites
- Social Media
- Contact local PHA's and post jobs/contract opportunities at PHAs
- Post Fliers
- Establish relationships with Workforce Ready Programs
- Coordinate with local YouthBuild Program
- Participate in HUD Section 3 programs
- Contact probation departments
- [HUD Business Registry](#)
- Chambers of Commerce
- Veteran organizations
- Minority organizations and businesses
- Parole offices
- Local churches
- Check FEHO's [Creative Partnerships](#) webpage for additional resources: <https://hcr.ny.gov/section-3-compliance>



Additional Reporting Tips

- Indicate if your project has not yet started, no money has been spent, or has been completed by making a note on the reporting form or by including an attachment.
- Sign and date your reporting form
- **Don't forget to submit documentation when requesting a waiver**
- Explain how award funds are being spent (e.g., Home Ownership/Home Rehabilitation Projects)

If applicable, you should be submitting the above information with your reporting form. This will significantly cut down the amount of back and forth correspondence.

Section 3 Employee Self-Affirmation - Upstate, New York
Contractors and Subcontractors Subject to Section 3

To comply with Section 3 of the Housing and Urban Development Act of 1968, entities receiving HUD funding must give, to the greatest extent feasible, hiring and training preference to low-income individuals. If you can check off *any* items in questions 1 to 3 below, you may qualify for the hiring preference for low-income individuals under Section 3. *Your responses are voluntary and confidential.*

- Are you a resident of Public Housing? YES
- Do you receive any of the following assistance?
 FOOD STAMPS SAFETY NET WELFARE TANF MEDICAID SECTION 8
- Check your Household's ("HH") annual income range based on your household size for the county you live in (for example if there are 5 people in your household, go to HH of 5; if there are 8 or more in your household go to HH of 8): Income amount must include all sources of income earned by all living in the household who are 18+ years old. These income ranges are based on 2019 low-income limits.

Broome & Tioga	Allegany, Cattaraugus, Chenango, Chautauqua, Hamilton, Montgomery, Delaware, Franklin, Fulton, Lewis, Schuyler, St. Lawrence, Steuben	Chemung, Elmira	Cayuga, Essex	Greene
HH of 1: <input type="checkbox"/> \$0 - \$39,500	HH of 1: <input type="checkbox"/> \$0 - \$37,100	HH of 1: <input type="checkbox"/> \$0 - \$41,450	HH of 1: <input type="checkbox"/> \$0 - \$39,400	HH of 1: <input type="checkbox"/> \$0 - \$36,600
HH of 2: <input type="checkbox"/> \$0 - \$45,150	HH of 2: <input type="checkbox"/> \$0 - \$42,400	HH of 2: <input type="checkbox"/> \$0 - \$47,400	HH of 2: <input type="checkbox"/> \$0 - \$45,000	HH of 2: <input type="checkbox"/> \$0 - \$44,100
HH of 3: <input type="checkbox"/> \$0 - \$50,800	HH of 3: <input type="checkbox"/> \$0 - \$47,700	HH of 3: <input type="checkbox"/> \$0 - \$53,300	HH of 3: <input type="checkbox"/> \$0 - \$50,650	HH of 3: <input type="checkbox"/> \$0 - \$49,600
HH of 4: <input type="checkbox"/> \$0 - \$56,400	HH of 4: <input type="checkbox"/> \$0 - \$52,950	HH of 4: <input type="checkbox"/> \$0 - \$59,200	HH of 4: <input type="checkbox"/> \$0 - \$56,250	HH of 4: <input type="checkbox"/> \$0 - \$55,100
HH of 5: <input type="checkbox"/> \$0 - \$60,950	HH of 5: <input type="checkbox"/> \$0 - \$57,200	HH of 5: <input type="checkbox"/> \$0 - \$63,950	HH of 5: <input type="checkbox"/> \$0 - \$60,750	HH of 5: <input type="checkbox"/> \$0 - \$59,550
HH of 6: <input type="checkbox"/> \$0 - \$65,450	HH of 6: <input type="checkbox"/> \$0 - \$61,450	HH of 6: <input type="checkbox"/> \$0 - \$68,700	HH of 6: <input type="checkbox"/> \$0 - \$65,250	HH of 6: <input type="checkbox"/> \$0 - \$63,950
HH of 7: <input type="checkbox"/> \$0 - \$69,950	HH of 7: <input type="checkbox"/> \$0 - \$65,700	HH of 7: <input type="checkbox"/> \$0 - \$73,450	HH of 7: <input type="checkbox"/> \$0 - \$69,750	HH of 7: <input type="checkbox"/> \$0 - \$68,350
HH of 8: <input type="checkbox"/> \$0 - \$74,450	HH of 8: <input type="checkbox"/> \$0 - \$69,900	HH of 8: <input type="checkbox"/> \$0 - \$78,150	HH of 8: <input type="checkbox"/> \$0 - \$74,250	HH of 8: <input type="checkbox"/> \$0 - \$72,750
Warren & Washington	Albany, Saratoga, Schoharie, Schenectady, Troy & Rensselaer	Tompkins	Ulster	Oswego, Madison, Onondaga
HH of 1: <input type="checkbox"/> \$0 - \$39,050	HH of 1: <input type="checkbox"/> \$0 - \$50,350	HH of 1: <input type="checkbox"/> \$0 - \$47,000	HH of 1: <input type="checkbox"/> \$0 - \$46,700	HH of 1: <input type="checkbox"/> \$0 - \$44,550
HH of 2: <input type="checkbox"/> \$0 - \$44,600	HH of 2: <input type="checkbox"/> \$0 - \$57,550	HH of 2: <input type="checkbox"/> \$0 - \$53,700	HH of 2: <input type="checkbox"/> \$0 - \$53,350	HH of 2: <input type="checkbox"/> \$0 - \$50,900
HH of 3: <input type="checkbox"/> \$0 - \$50,200	HH of 3: <input type="checkbox"/> \$0 - \$64,750	HH of 3: <input type="checkbox"/> \$0 - \$60,400	HH of 3: <input type="checkbox"/> \$0 - \$60,000	HH of 3: <input type="checkbox"/> \$0 - \$57,250
HH of 4: <input type="checkbox"/> \$0 - \$55,750	HH of 4: <input type="checkbox"/> \$0 - \$71,900	HH of 4: <input type="checkbox"/> \$0 - \$67,100	HH of 4: <input type="checkbox"/> \$0 - \$66,650	HH of 4: <input type="checkbox"/> \$0 - \$63,600
HH of 5: <input type="checkbox"/> \$0 - \$60,250	HH of 5: <input type="checkbox"/> \$0 - \$77,700	HH of 5: <input type="checkbox"/> \$0 - \$72,500	HH of 5: <input type="checkbox"/> \$0 - \$72,000	HH of 5: <input type="checkbox"/> \$0 - \$68,700
HH of 6: <input type="checkbox"/> \$0 - \$64,700	HH of 6: <input type="checkbox"/> \$0 - \$83,450	HH of 6: <input type="checkbox"/> \$0 - \$77,850	HH of 6: <input type="checkbox"/> \$0 - \$77,350	HH of 6: <input type="checkbox"/> \$0 - \$73,800
HH of 7: <input type="checkbox"/> \$0 - \$69,150	HH of 7: <input type="checkbox"/> \$0 - \$89,200	HH of 7: <input type="checkbox"/> \$0 - \$83,250	HH of 7: <input type="checkbox"/> \$0 - \$82,650	HH of 7: <input type="checkbox"/> \$0 - \$78,900
HH of 8: <input type="checkbox"/> \$0 - \$73,600	HH of 8: <input type="checkbox"/> \$0 - \$94,950	HH of 8: <input type="checkbox"/> \$0 - \$88,600	HH of 8: <input type="checkbox"/> \$0 - \$88,000	HH of 8: <input type="checkbox"/> \$0 - \$84,000

New Hire Self-Certification

Available here:

<https://hcr.ny.gov/section-3-compliance>

→ Forms and Templates

Translating into Spanish as well

For use in HR onboarding

Contact for Further Questions

Fair and Equitable Housing Office

New York State Homes & Community Renewal

641 Lexington Ave New York, NY 10022

(518)-473-3089 | hcr.ny.gov | feho@nyshcr.org

Dinorah Santiago – NEW Section 3 Coordinator

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<https://hcr.ny.gov/section-3-compliance>

