



NASSAU COUNTY
LONG ISLAND, NEW YORK

**Section 3 Plan
For Nassau County
CDBG-DR
LTR Programs**

Date	Revision	Effective Date
10/28/2016	Exhibit G revised	11/01/2016
02/01/2017	Exhibit G revised to include later dates	03/01/2017
02/01/2017	Revised Uncapped Income Limits (FY 2017)	02/01/2018

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General Policy Statement

Nassau County has developed this Section 3 Plan and Policies in compliance with Title 24 CFR Part 135 - Economic Opportunities for Low- and Very Low-Income Persons. Such plan is intended to ensure that employment and other economic opportunities generated by qualifying HUD financial assistance shall, to the greatest extent feasible, benefit persons and business identified in the regulation. This document is applicable to contractors, subcontractors, vendors, and suppliers when threshold amounts meet or exceed \$100,000 expended for (1) housing rehabilitation (including reduction and abatement of lead-based paint hazards), (2) housing construction, and (3) other public construction. Planning only activities are not required to meet this requirement.

Additional provisions have been made for contracts that do not meet the above threshold, but are for building trades work arising in connection with a Section 3 covered contract and for non-construction contracts associated with Section 3 covered activities as detailed in Section III.

Section 3 Purpose

Section 3 of the Housing and Urban Development Act of 1968, as amended (12 U.S.C. 1701 u) requires Nassau County to ensure, to the greatest extent feasible, that employment and other economic and business opportunities generated by the HUD financial assistance are directed to public housing residents and other low-income persons, particularly recipients of government housing assistance and business concerns that provide economic opportunities to low- and very-low income persons.

Section 3 Contracting Policy and Procedures

It is the policy of Nassau County to monitor contractors to assure they provide equal employment opportunities to all employees and applicants for employment without regard to race, color, religion, sex, national origin, handicap, familial status, sexual orientation or gender identity. Further, it is the policy of Nassau County to monitor contractors to assure they create employment and business opportunities for residents in Section 3 Covered Projects that occur in their respective communities and for other qualified low- and very low-income persons residing in low-moderate income areas.

Nassau County will assure that all Section 3 language is incorporated in all applicable procurement documents generated in conjunction with the use of HUD funding. Goal requirements are set forth in 24 CFR Part 135 for awarding contracts to Section 3 Business Concerns and are delineated in Section III. Section 3 Business. Employment Training and Contracting Goals.

To the greatest extent feasible, information will be made available to persons with Limited-English Proficiency (LEP) in compliance with E.O. 13166.

Section 3 Plan

Nassau County has developed this Section 3 Plan to create consistency in applying the provisions of 24 CFR Part 135 objectives, and to guide the action steps that will be implemented to ensure compliance with the requirements of Section 3. The Plan covers HUD-funded CDBG-DR-funded projects, i.e., construction, reconstruction, conversion or rehabilitation of housing (including reduction and abatement of lead-based paint hazards), other public construction which includes buildings or improvements (regardless of ownership) assisted with housing or community development assistance (24 CFR 135.5 definitions).

I. Section 3 Coordinator

Nassau County will identify an employee who will oversee Section 3 responsibilities, herein called "Section 3 Coordinator". In particular, said employee will identify programs, projects and activities which may trigger Section 3 compliance. The Section 3 Coordinator will be responsible for assuring that contractors reach out to section 3 business and individuals. Methods that contractors can use are listed below:

A. Contractor Outreach for Section 3 Businesses

- Advertisement of contracting opportunities via newspaper, mailings, posting notices that provide general information about the work to be contracted and where to obtain additional information.
- Distributing notices of upcoming projects to local Public Housing Agencies, contractor associations, community organizations, Small Business Administration (SBA), Minority and Women's Business Enterprise M/WBE association, and Community Development Corporations.
- Conduct an annual staff workshop on contracting procedures to include bonding, insurance, and other pertinent requirements, in a timely manner in an effort to allow Section 3 business concerns the opportunity to take advantage of any upcoming contracting opportunities.
- Provide Technical Assistance directly or through contracted organizations to help Section 3 businesses meet bonding and insurance requirements and become certified as Section 3 businesses. Additionally, this assistance will focus on helping existing Section 3 eligible contractors to identify and utilize other Section 3 businesses, subcontractors, and suppliers.

B. Contractor Outreach for Section 3 Individuals

To help Section 3 eligible residents learn about Section 3 employment opportunities, contractors can:

- Register Section 3 workers, and refer them to job training they may need to be successful as workers on projects under Section 3.

- Advertisement of contracting opportunities via newspaper, mailings, posting notices that provide general information about the work to be contracted and where to obtain additional information.
- Distributing notices of upcoming projects to local Public Housing Agencies, contractor associations, community organizations, Small Business Administration (SBA), Minority and Women's Business Enterprise M/WBE association, and Community Development Corporations.
- Distributing target flyers and outreach in neighborhoods of Section 3 eligible activities.

C. The Section 3 Coordinator will be responsible for assuring compliance by:

- Verifying Section 3 Contract Clauses are incorporated into contracts for Section 3 covered activities between the unit of local government and first tier contractors.
- Informing general contractors of the language necessary to include in their agreements with subcontractors for Section 3 covered projects. The Section 3 Clauses are attached as (Exhibit E) or may be obtained at 24 CFR Part 135.38.
- Annually updating Section 3 compliance documents with HUD Section 8 income limits.
- Point of contact for information regarding Section 3 compliance, reporting, business certification process and all other related matters.
- Further, the Section 3 Coordinator is responsible for obtaining information necessary to remit Section 3 annual reports and remit said reports as required by HUD.

D. Section 3 Reporting

Annual Reporting

Nassau County Section 3 Coordinator will report to HUD/State/or local Government, annual accomplishments regarding employment and other economic opportunities provided to low and very low income persons under Section 3. Form HUD-60002 is currently being utilized for reporting accomplishments. This form may be changed and updated from time to time as required by HUD and 24 CFR 135.

The Section 3 Coordinator will assure that each covered contractor reports the following:

- Contractors are required to submit to Nassau County a Monthly

Compliance Form (Exhibit H), Monthly Employee Utilization Report (Exhibit I), and an Employee Data and Certification form for all new hires (Exhibit J or K).

- Contractors are required to submit a Monthly Employee Utilization Report (Exhibit I), and an Employee Data and Certification form for all new hires for each of their subcontractors (Exhibit J or K).
- Notice of termination and job problems related to Section 3 eligible workers.

Contractor payment requests may be held until all reporting requirements have been met.

C. Procurement

Nassau County's Section 3 Coordinator, will, when feasible, attend scheduled pre-bid, pre-construction, bid opening and construction meetings or will be available as needed by client. Section 3 Coordinator will also provide guidance on procurement preference provisions as outlined in Part 135.36 of the Section 3 Regulation.

II. Section 3 Business, Employment Training and Contracting Goals

A. Contractor Employment Goals; Compliance Review

Contracts partially or wholly funded with monies from the U.S. Department of Housing and Urban Development (HUD). HUD has established minimum employment and training goals that contractors and subcontractors, should meet in order to comply with Section 3 requirements.

The numerical goals established in this section represent minimum numerical targets (reference 24 CFR 135.30 - Numerical goal for meeting the greatest extent feasible requirement).

- 30 percent of the aggregate number of new hires/training opportunities annually; and
- 10 percent of the total dollar amount of all Section 3 covered construction contracts annually.
 - Building trades work arising in connection with housing rehabilitation, housing construction and other public construction (ex. demolition); and
- 3 percent of the total dollar amount of covered non-construction (ex. professional services) contracts annually
 - Section 3 covered non-construction projects include professional service contracts associated with construction (ex.: architectural, engineering, legal services, accounting, marketing, etc.)

For CDBG-DR projects, Federal Register/Vo. 78, No. 43 dated Tuesday, March 5, 2013 contains a clarifying note for CDBG-DR funds only, as follows: Pursuant to the U.S. Housing Act of 1937 (42 U.S.C. 1437a(b)(2) and 24 CR 135.5, the Secretary is authorized to establish income limits to consider an individual to be a Section 3 resident. This Federal Register Notice authorizes grantees to determine that an individual is eligible to be considered a Section 3 resident if the annual wages or salary of the person are at, or under, the HUD-established income limit for a one-person family for the jurisdiction.

It is the responsibility of contractors to implement efforts to attain Section 3 compliance. Any contractor that does not meet the Section 3 numerical goals must demonstrate why meeting such goals was not feasible. Those contractors that demonstrate exceeding minimum Section 3 goals and/or provide internal training/apprenticeship opportunities shall receive preference for additional projects, (24 CFR 135.30(2)). (See Exhibit L).

Nassau County may take the following actions should the contractor fail to meet the Section 3 reporting requirements.

- Written warning notice of non-compliance and remedial actions needed; and/or

Failure to meet the reporting requirements may result in termination of the contract for default, and debarment or suspension from future HUD assisted contracts. 24 CFR 135.58(F).

B. Contractor Requirements

After the award of contract but prior to beginning work, the contractor must, in a visible location within the construction site, complete and post (Exhibit F) which will provide the following information pursuant to 24 CFR 135.38c:

- Set forth number of jobs and titles for hire
- Availability of apprenticeships and training positions, if any
- Contact information for person(s) taking applications or providing information on qualifications for new hires apprenticeships and training positions
- Anticipated date the work shall begin

If a Section 3 eligible worker is removed from a position, the employer must first seek to again fill the job with a Section 3 eligible worker.

Contractors are encouraged to offer on-the-job or continuing training to Section 3 hires that is comparable to, or exceeds, the training provided to non-Section 3 eligible employees throughout the life of the contract/project(24 CFR 135.40(b)).

III. Section 3 Procedure for Reporting Non-Compliance – 24 CFR 135.76

In an effort to resolve Section 3 concerns due to non-compliance, Nassau County

encourages a written submittal of the concerns to its Section 3 Coordinator. Concerns should contain the name of the complainant and a brief description of the alleged violation. An investigation will be conducted to determine if the Section 3 requirements were fulfilled in compliance with the Section 3 laws and regulations and the contract.

In the event the Section 3 resident or Section 3 business does not feel Nassau County satisfactorily resolved the concern, complainants should file the concern using form HUD 958 and submit to:

U.S. Department of Housing and Urban Development
451 7th Street S.W.
Washington, DC 20410

A complete complaint must be received no later than 180 days from the date of the action or omission upon which the complaint is based, unless the time for the filing is extended by the Assistant Secretary for good cause shown. Submission must include name and address of complainant, name and address of party against whom the complaint is remitted (Respondent), description of acts or omissions by Respondent.

Definitions – 24 CFR 135.5

Applicant- Any entity which makes an application for Section 3 covered assistance, and includes, but is not limited to, any State, unit of local government, public housing agency or other public body, public or private nonprofit organization, private agency or institution, mortgagor, developer, limited dividend sponsor, builder, property manager, community housing development organization, resident management corporation, resident council, or cooperative association.

Business Concern- a business entity formed in accordance with State law, and which is licensed under State, county or municipal law to engage in the type of business activity for which it was formed.

Contractor- any entity which contracts to perform work generated by the expenditure of Section 3 covered assistance, or for work in connection with a Section 3 covered project.

Employment Opportunities Generated by Section 3 Covered Assistance- all employment opportunities generated by the expenditure of Section 3 covered public assistance (i.e., operating assistance, development assistance and modernization assistance, (as described in Section 135.3 (a) (1)). With respect to Section 3 covered housing and community development assistance, this term means all employment opportunities arising in connection with Section 3 covered projects (as described in Section 135.3 (a) (2)), including management and administrative support of these activities, e.g., construction manager, relocation specialist, payroll clerk, etc.

Housing Authority (HA)- Public Housing Agency

Housing Development- low-income housing owned, developed, or operated by public housing agencies in accordance with HUD's public housing program regulations codified in 24 CFR Chapter IX.

HUD Youthbuild Programs- programs that receive assistance under subtitle D of Title IV of the National Affordable Housing Act, as amended by the Housing and Community Development Act of 1992 (42 U.S.C. 12899), and provide disadvantaged youth with opportunities for employment, education, leadership development, and training in the construction or rehabilitation of housing for homeless individuals and members for low- and very low-income families.

Low-income person- families (including single persons) whose incomes do not exceed 80 per centum of the median income for the area, as determined by the Secretary, with adjustments for smaller and larger families, except that the Secretary may establish income ceilings higher or lower than 80 per centum of the median for the area on the basis of the Secretary's findings that such variations are necessary because of prevailing levels of construction costs or unusually high or low-income families.

Metropolitan Area- a metropolitan statistical area (MSA), as established by the Office of Management and Budget.

New Hires- full-time employees for permanent, temporary or seasonal employment opportunities.

Nonmetropolitan Area – a county outside of a metropolitan area.

Recipient- any entity which receives Section 3 covered assistance, directly from HUD or from another recipient and includes, but not limited to, any State unit of local government, PHA, or other public body, public or private nonprofit organization, private agency or institution, mortgagor, developer, limited dividend sponsor, builder, property manager, community housing development organization, resident management corporation, resident council, or cooperative association. Recipient also includes any successor, assignee or transferee of any such entity,

but does not include any ultimate beneficiary under HUD program to which Section 3 applies and does not include contractors.

Section 3- Section 3 of the Housing and Urban Development Act of 1968, as amended (12 U.S.C. 1701u).

Section 3 Business Concern- a business concern,

1. That is 51 percent or more owned by Section 3 resident: or
2. Whose permanent, full-time employees include persons, at least 30 percent of whom are currently Section 3 residents, or within three years of the date of first employment with the business concern were Section 3 residents; or
3. That provides evidence of a commitment to subcontract in excess of 25 percent of the dollar award of all subcontractors to be awarded to business concerns that meet the qualifications set forth in paragraphs 1 or 2 above.

Section 3 Covered Assistance-

1. public housing development assistance provided pursuant to Section 5 of the 1937 Act;
2. public housing operating assistance provided pursuant to Section 9 of the 1937 Act;
3. public housing modernization assistance provided pursuant to Section 14 of the 1937 Act;
4. assistance provided under any HUD housing or community development program that is expended for work arising in connection with housing rehabilitation, construction, or other public construction project (which includes other buildings or improvements, regardless of ownership)

Section 3 Clause- the contract provisions set forth in Section 135.38.

Section 3 Covered Contracts- a contract or subcontract (including a professional service contract) awarded by a recipient or contractor for work generated by the expenditure of Section 3 covered assistance, or for work arising in connection with a Section 3 covered project. Section 3 covered contracts do not include contracts awarded under HUD's procurement program, which are governed by the Federal Acquisition Regulation (FAR). Section 3 covered contracts also do not include contracts for the purchase of supplies and materials. However, whenever a contract includes the installation of materials, the contract constitutes a Section 3 covered contract.

Section 3 Covered Project- the construction, reconstruction, conversion or rehabilitation of housing (including reduction and abatement of lead-based paint hazards), other public construction which includes buildings or improvements (regardless of ownership) assisted with housing or community development assistance.

Section 3 Covered non-construction project- is a project associated with the Section 3 Covered Project such as maintenance contracts, re-painting, routine maintenance, HVAC servicing, and professional services (architectural, engineering, legal services, accounting, marketing, etc.)

Section 3 Resident- a public housing resident or an individual who resides in the metropolitan area or nonmetropolitan county in which the Section 3 covered assistance is expended and who is considered to be a low- to very low-income person.

Subcontractor- any entity (other than a person who is an employee of the contractor) which has a contract with a contractor to undertake a portion of the contractor's obligation for the performance of work generated by the expenditure of Section 3 covered assistance, or arising in connection with a Section 3 covered project.

Very low-income person- families (including single persons) whose income do not exceed 50 per centum of the median family income for the area, as determined by the Secretary with adjustments for smaller and larger families, except that the Secretary may establish income ceilings higher or lower than 50 per centum of the median for the area on the basis of the Secretary's findings that such variations are necessary because of unusually high or low family incomes.

EXHIBIT A
CERTIFICATION FOR BUSINESS CONCERNS SEEKING SECTION 3 PREFERENCE IN CONTRACTING AND
DEMONSTRATION OF CAPABILITY

Name of Business _____

Address of Business _____

Type of Business/Trade/Profession _____

Type of Business: Corporation Partnership Sole Proprietorship Joint Venture

Please select the statement below (1, 2, and or 3) that best describes your business.

1. **51% (or more) of your business is owned by a Section 3 Resident(s).** A Section 3 Resident is a public housing resident or an individual who resides in the metropolitan area or nonmetropolitan county in which the Section 3 covered assistance is expended and who is considered to be a low-to very low-income person.

And provide:

List if current ownership and percentage of ownership along with contact information

Any of the following documents, if available:

- | | |
|---|---|
| <input type="checkbox"/> Copy of Article of Incorporation | <input type="checkbox"/> Certificate of Good Standing |
| <input type="checkbox"/> Assumed Business Name Certificate | <input type="checkbox"/> Partnership Agreement |
| <input type="checkbox"/> List of Business Name Certificate
% ownership of each | <input type="checkbox"/> Corporation Annual Report |
| <input type="checkbox"/> Organization chart with names and titles
and brief function statement | <input type="checkbox"/> Latest Board minutes appointing officers |
| | <input type="checkbox"/> Additional documentation |

2. At least 30% of your business workforce are currently Section 3 residents or were Section 3 eligible residents within 3 years of the date of first employment with your business.

List the number of full-time employees, and provide one or a combination of the following regarding your employees:

- | | |
|---|---|
| <input type="checkbox"/> List of employees claiming Section 3 status with Exhibit J completed for each employee | <input type="checkbox"/> other evidence of Section 3 status less than 3 years from date of employment |
| <input type="checkbox"/> PHA/IHA Residential lease less than 3 years from day of employment | |

3. At least 25% of your total dollar award will be contracted to qualified Section 3 businesses:
Provide:

- A list of previously contracted Section 3 business(es) and subcontracted amount; and
 Agree to provide a list of subcontracted Section 3 business(es) and subcontract amount when submitting bids for any HUD funded projects to meet this requirement.

Authorizing Name and Signature: _____

Date: _____

Witnessed by: _____

Date: _____

Nassau County Staff Signature: _____

Certified Date: _____

Prime Contractor Representative Signature: _____

Date: _____

EXHIBIT B

ASSURANCE OF COMPLIANCE (Section 3, HUD ACT of 1968)

TRAINING, EMPLOYMENT, AND CONTRACTING OPPORTUNITIES FOR BUSINESS AND LOWER INCOME PERSONS

- A. The project assisted under this (contract) (agreement) is subject to the requirements of Section 3 of the Housing and Urban Development Act of 1968, as amended, 12 U.S.C. 1701u. Section 3 requires that to the greatest extent feasible opportunities for training and employment be given to lower income residents of the project area and contracts for work in connection with the project be awarded to business concerns which are located in or owned in substantial part by persons residing in the area of the project.
- B. Notwithstanding any other provision of this (contract) (agreement), the (applicant) (recipient) shall carry out the provisions of said Section 3 and the regulations issued pursuant thereto by the Secretary set forth in 24 CFR Part 135 (published in 38 Federal Register 29220, October 23, 1973), and all applicable rules and orders of the Secretary issued thereunder prior to the execution of this (contract) (agreement). The requirements of said regulations include but are not limited to development and implementation of an affirmative action plan for utilizing Section 3 business concerns located within or owned in substantial part by persons residing in the area of the project; the making of a good faith effort, as defined by the regulation, to provide training, employment and business opportunities required by Section 3; and incorporation of the "Section 3 Clause" specified by Section 135.38 of the regulation in all contracts for work in connection with the project. The (applicant) (recipient) certifies and agrees that it is under no contractual or other disability which would prevent it from complying with these requirements.
- C. Compliance with the provisions of Section 3, the regulations set forth in 24 CFR Part 135, and all applicable rules and orders of the Secretary issued thereunder prior to approval by the Government of the application for this (contract) (agreement), shall be a condition of the Federal financial assistance provided to the project, binding upon the (applicant) (recipient), its successors and assigns. Failure to fulfill these requirements shall subject the (applicant) (recipient), its contractors and subcontractors, its successors, and assigns to the sanctions specified by the (contract) (agreement), and to such sanctions as are specified by 24 CFR 135.38 (f).

APPLICANT: _____

SIGNATURE: _____

ADDRESS: _____

DATE: _____

EXHIBIT C

CONTRACTOR/SUBCONTRACTOR CERTIFICATION
REGARDING SECTION 3 AND SEGREGATED FACILITIES

COMPANY' S NAME

PROJECT NAME

The undersigned hereby certifies that:

- (a) Section 3 provisions are included in the Contract.
- (b) The above stated company is a signatory to the Contractor's Section 3 Plan.
- (c) No segregated facilities will be maintained as required by Title VI of the Civil Rights Act of 1964.

NAME AND TITLE OF SIGNER (PRINT OR TYPE)

SIGNATURE

DATE

EXHIBIT D

CONTRACTOR'S SECTION 3 PLAN

_____ agrees to implement the specific following affirmative action steps directed at increasing the utilization of lower income residents and businesses within the county.

- A. To ascertain from the locality's CDBG or CDBG-DR program official the exact boundaries of the Section 3 covered project area and where advantageous, seek the assistance of local officials in preparing and implementing the affirmative action plan.
- B. To attempt to recruit from within the city/county/MSA, the necessary number of lower income residents through: local advertising media, signs placed at the proposed site for the project, and community organizations and public or private institutions operating within and servicing the project area.
- C. To maintain a list of all lower income residents who have applied either on their own or on referral from any source, and to employ such persons, if otherwise eligible and if a vacancy exists.
- D. To insert this Section 3 plan in all bid documents and to require all bidders on subcontracts to submit a Section 3 affirmative action plan including utilization goals and the specific steps planned to accomplish these goals.
- E. To insure that subcontractors adhere to the Section 3 provisions that are applicable to the Contractor.
- F. To insure that all appropriate project area business concerns are notified of pending sub-contractual opportunities.
- G. To maintain records, including copies of correspondence, memoranda, etc., which document that all of the above affirmative action steps have been taken.
- H. To appoint or recruit an executive official of the company or agency as Equal Opportunity Officer to coordinate the implementation of this Section 3 plan.
- I. To maintain records concerning the amount and number of contracts, subcontracts, and purchases which contribute to Section 3 objectives.
- J. To maintain records of all projected workforce needs for all phases of the project by occupation, trade, skill level, and number of positions and to update these projections based on the extent to which hiring meets Section 3 objectives.

As officers and representatives of _____ (Company),

We the undersigned have read and fully agree to the Section 3 Affirmative Action Plan, and become a party to the full implementation of the program and its provisions.

Signature

Signature

Title

Date

Title

Date

EXHIBIT E

Section 3 Clause

All Section 3 covered contracts shall include the following clause (referred to as the Section 3 Clause):

- A. The work to be performed under this contract is subject to the requirements of Section 3 of the Housing and Urban Development Act of 1968, as amended, 12 U.S.C. 1701u (Section 3). The purpose of Section 3 is to ensure that employment and other economic opportunities generated by HUD assistance or HUD-assisted projects covered by Section 3, shall, to the greatest extent feasible, be directed to low-and very low-income persons, particularly person who are recipients of HUD assistance for housing.
- B. The parties to this contract agree to comply with HUD's regulations in 24 CFR Part 135, which implement Section 3. As evidenced by their execution of this contract, the parties to this contract certify that they are under no contractual or other impediment that would prevent them from complying with the part 135 regulations.
- C. The contractor agrees to send to each labor organization or representative or workers with which the contractor has a collective bargaining agreement or other understanding, if any a notice advising the labor organization or workers' representative of the contractor's commitments under the Section 3 clause, and will post copies of the notice in conspicuous places at the work site where both employees and applicants for training and employment positions can see the notice. The notice shall describe the Section 3 preference, shall set forth minimum number and job titles subject to hire, availability of apprenticeship and training positions, the qualifications for each; and the name and location of the person(s) taking applications for each of the positions; and the anticipated date the work shall begin.
- D. The contractor agrees to include this Section 3 clause in every subcontract subject to compliance with regulations in 24 CFR part 135, and agrees to take appropriate action, as provided in an applicable provision of the subcontract or in this Section 3 clause, upon a finding that the subcontractor is in violation of the regulations in 24 CFR part 135. The contractor will not subcontract with any subcontractor where the contractor has notice or knowledge that the subcontractor has been found in violation of the regulations in 24 CFR part 135.
- E. The contractor will certify that any vacant employment positions, including training positions, that are filled (1) after the contractor is selected but before the contract is executed, and (2) with persons other than those to whom the regulations of 24 CFR part 135 require employment opportunities to be directed, were not filled to circumvent the contractor's obligations under 24 CFR part 135.
- F. Noncompliance with HUD's regulations in 24 CFR part 135 may result in sanctions, termination of this contract for default, and debarment or suspension from future HUD assisted contracts.
- G. With respect to work performed in connection with Section 3 covered Indian housing assistance, section 7(b) of the Indian Self-Determination and Education Assistance Act. (25 U.S.C 450e) also applies to the work to be performed under this contract. Section 7(b) requires that to the greatest extent feasible (i) preference and opportunities for training and employment shall be given to Indians, and (ii) preference in the award of contracts and subcontracts shall be given to Indian organizations and Indian-owned Economic Enterprises. Parties to this contract that are subject to the provisions of Section 3 and section 7(b) agree to comply with Section 3 to the maximum extent feasible, but not in derogation of compliance with section 7(b).

EXHIBIT F

POSTED NOTICE TO PROJECT RESIDENTS

The project _____ is being funded by the U.S. Department of Housing and Urban Development under the - Disaster Recovery Funding Program. This notice complies with the Nassau County Section 3 Plan and is intended to inform the public, in particular project residents, of the economic opportunities (jobs) created through the use of the federal award.

Contractor/subcontractor intends to hire for the following positions:

Number of	Title	Description of Qualifications/Licensure /Certification

Section 3 preferences:

- 1. Persons residing in the project area and who are of low- to very-low- income
- 2. Homeless Persons
- 3. Residents of the local Public Housing Authority
- 4. Residents of the local Section 8 Housing Assistance Program units

For more information including job applications, apprenticeships, training positions, and qualifications, contact:

Name of Contractor:

Contact Person:

Address:

City, State, Zip: Phone:

Estimated construction start date:

EXHIBIT H

MONTHLY ESTIMATED WORKFORCE BREAKDOWN (TABLE B)

NAME OF BUSINESS/CONTRACTOR/SUBCONTRACTOR
 For the Period Covering 201 Through 201

COLUMN 1	COLUMN 2	COLUMN 3	COLUMN 4	COLUMN 5	COLUMN 6
JOB CATEGORY	SPECIFIC JOB TITLE	TOTAL ESTIMATE POSITIONS	NO. POSITIONS CURRENTLY OCCUPIED BY PERMANENT EMPLOYEES	NO. POSITIONS NOT CURRENTLY OCCUPIED	NO. POSITIONS TO BE FILLED WITH SECTION 3 RESIDENTS/LOW INCOME PERSONS *
OFFICERS SUPERVISORS					
PROFESSIONALS					
TECHNICIANS					
HOUSING SALES/RENTAL MANAGEMENT					
OFFICE CLERICAL					
SERVICE WORKERS					
OTHERS					

TRADE:

JOURNEYMEN					
COMMON LABORERES					
APPRENTICES					
MAXIMUM NO. OF TRAINEES					

TRADE:

JOURNEYMEN					
COMMON LABORERES					
APPRENTICES					
MAXIMUM NO. OF TRAINEES					

TRADE:

JOURNEYMEN					
COMMON LABORERES					
APPRENTICES					
MAXIMUM NO. OF TRAINEES					

TRADE:

JOURNEYMEN					
COMMON LABORERES					
APPRENTICES					
MAXIMUM NO. OF TRAINEES					

The table in this exhibit has been replaced with the Microsoft Excel table that follows to allow large-scale construction projects to document Full Time Equivalents (FTE) as defined in the instructions for this Section 3 Plan.

*A Section 3 Resident is 1) a public housing resident; or 2) a low or very low Income person residing in the metropolitan area or non-metropolitan county where the project is located.

ALL NEW HIRES MUST COMPLETE AN INCOME DOCUMENTATION CERTIFICATION-SEE EXHIBITS J AND K

For all new hires employer/contractor must contact their respective Workforce Board

Signature: _____

Date: _____

Exhibit H

Month: _____

Signature: _____

Date: _____

A	B	C	D	E
What we need for entire job	What we had on staff right before job started	What we are using now (this month)	Projected New Hires (A - C = D)	
NEED	HAVE (BASELINE)	USING	ORDER / HIRE	

*(FTE = avg 2080 annual hrs)

Total Estimated Positions Needed*	No. of Positions Occupied a/o _____ (date of NTP)*	No. of Positions Currently Occupied*	No. Positions Not Currently Occupied*	Positions to be Filled With Section 3*
-----------------------------------	--	--------------------------------------	---------------------------------------	--

Job Category _____

Office (Non-Union)				
Project Executive				
Project Management				
Project Superintendent				
Office Administration				

Union (Trade)				
Foremen				
Journeyman				
Apprentice				

Union (Trade)				
Foremen				
Journeyman				
Apprentice				

Union (Trade)				
Foremen				
Journeyman				
Apprentice				

Totals
30 % Goal

--	--	--	--	--

WORKFORCE CENTER INFORMATION

Bronx Workforce1 Career Center

Fordham Place
400 East Fordham Road (entrance on Webster)
Bronx, NY 10458
Telephone: (718) 960-2458
Email: workforce1bronx@fegs.org
Hours: Monday - Friday: 8:30 AM - 5:00 PM

University Heights Workforce1 Career Center

2150 University Avenue
Bronx, NY 10453
Telephone: (718) 552-1550
Email: WF1FMLibrary@fegs.org
Hours: Monday - Friday - 10:00am-5:00pm

Brooklyn Central Library Workforce1 Career Center

(by appointment only)
10 Grand Army Plaza, 2nd Floor
Brooklyn, NY 11238-5619
Telephone: (347) 765-2250
Email: Workforce1centralbklyn@grantassociatesinc.com
Hours: Monday – Thursday 9:00 AM - 5:00 PM, Friday 10:00 AM - 6:00 PM

Brooklyn Workforce1 Career Center

9 Bond Street, 5th Floor
Brooklyn, NY 11201
Between Livingston and Fulton Streets
Telephone: (718) 246-5219
Email: Workforce1Brooklyn@grantassociatesinc.com
Hours: Monday - Friday: 9:00 AM - 5:00 PM

Hunts Point Workforce1 Career Center

1029 E 163rd Street, 3rd Floor
Bronx, New York, 10459
Between Southern Boulevard and Simpson Street
Telephone: (718) 542-6777
Email: Workforce1HuntsPoint@vip-services.org
Hours: Monday - Friday: 9:00 AM to 5:00 PM

Upper Manhattan Workforce1 Career Center

215 West 125th Street, 6th Floor
New York, NY 10027
Between 7th and 8th Avenues (also known as Clayton Powell Jr. Blvd & Frederick Douglass Blvd.)
Telephone: (917) 493-7054
Email: umworkforce1@edsolutions.com
Hours: Monday - Friday: 8:30 AM - 5:00 PM

Midtown Workforce1 Career Center

(by appointment only)
1250 Broadway, Suite 810

New York, NY, 10001
At 32nd Street between 5th and 6th Avenues
Telephone: (646) 358-4747
Email: workforce1midtown@grantassociatesinc.com
Hours: Monday – Friday: 8:30 AM - 5:00 PM

Queens Workforce1 Career Center

168-25 Jamaica Avenue, 2nd Floor
Jamaica, NY 11432
Between 168th and 169th Streets
Telephone: (718) 557- 6755
Email: Workforce1Queens@grantassociatesinc.com
Hours: Monday - Friday: 9:00 AM - 5:00 PM

Far Rockaway Workforce1 Career Center

1637 Central Avenue
Far Rockaway, NY 11691
Telephone: 718-784-0877 Ext 6
Email: workforce1fr@erdalliance.org
Hours: Monday, Wednesday, Thursday, Friday: 11:00AM - 6:00PM, and Tuesday: 2:00PM - 6:00PM

Workforce1 Healthcare Career Center

79 John Street, 2nd Floor
New York, NY 10038
Telephone: (212) 618-8925
Email: workforce1healthcarecareers@fegs.org
Hours: Monday – Friday: 9:00 AM - 5:00 PM

Workforce1 Industrial & Transportation Career Center

168-46 91st Ave., 2nd Floor
Jamaica, NY 11432
Between 168th and 169th Streets
Telephone: (718) 577-2194
Email: industrialandtransportation@grantassociatesinc.com
Hours: Monday – Friday: 8:30 AM - 5:00 PM

Flushing Workforce1 Career Center

(by appointment only)
41-17 Main Street, 3rd Floor
Flushing, NY 11355
Telephone: (718) 412-0926
Email: workforce1flushing@grantassociatesinc.com
Hours: Monday, Wednesday, Thursday, Friday: 9:00 AM - 5:00 PM. Tuesday: 1:00 PM - 5:00 PM

Long Island City Workforce1 Career Center

(by appointment only)

38-81 13th Street

Long Island City, NY 11101

Telephone: (718) 784-0877

Email: Workforce1LIC@erdalliance.org

Hours: Monday - Friday: 9:00 AM - 5:00 PM

Staten Island South Shore Workforce1 Career Center

(by appointment only)

3845 Richmond Avenue, 2nd Floor

Staten Island, NY 10301

Telephone: (347) 308-5018

Email: Workforce1SouthShore@edsolutions.com

Hours: Monday - Friday: 9:00 AM - 5:00 PM

Staten Island Workforce1 Career Center

120 Stuyvesant Place, 3rd Floor

Staten Island, NY 10301

Between Wall and Hyatt Streets

Telephone: (718) 285-8388

Email: Workforce1@edsolutions.com

Hours: Monday - Friday: 8:30 AM - 5:00 PM

Sunset Park Library Workforce1 Career Center

(by appointment only)

5108 4th Avenue, Lower Level

Brooklyn, NY 11220-1899

Between 51st and 52nd Streets

Telephone: (347) 296-8063

Email: Workforce1sunsetpark@grantassociatesinc.com

Hours: Monday, Wednesday, Friday: 10:00 AM - 6:00 PM,
Tuesday, Thursday: 1:00 PM - 6:00 PM

Nassau County Housing Authorities

Town of Hempstead Housing Authority

760 Jerusalem Avenue
Uniondale, NY 11553
516-485-9666

Town of North Hempstead Housing Authority

899 Broadway Suite 121
Westbury, NY 11590
516-627-6433

Town of Oyster Bay Housing Authority

115 Central Park Road
Plainview, NY 11803
516-349-1000

City of Glen Cove Housing Authority

140 Glen Cove Avenue
Glen Cove, NY 11542
516-671-3161

City of Long Beach Housing Authority

500 Centre Street
Long Beach, NY 11561
516-431-2444

Village of Freeport Housing Authority

3 Buffalo Avenue
Freeport, NY 11520
516-623-2508

Village of Great Neck Housing Authority

700 Middle Neck Road
Great Neck, NY 11023
516-482-2727

Village of Hempstead Housing Authority

260 Clinton Street
Hempstead, NY 11550
516-489-8500

Village of Island Park Housing Authority

347 Long Beach Road
Island Park, NY 11558
516-889-7570

Village of Rockville Centre Housing Authority

160 North Centre Avenue
Rockville Centre, NY 11570
516-536-4343

Section 3 Resident Certification Form

ELIGIBILITY FOR PREFERENCE

A Section 3 Resident seeking the preference in training and employment provided by this part shall certify, or submit evidence to the recipient contractor or subcontractor, if requested, that the person is a Section 3 Resident, as defined in Section 135.5.

I _____, (Print Name) am a legal resident of _____, (City, County, State) and qualify as a Section 3 Resident because I am a public housing resident or my household income does not exceed the income guidelines by family size as published in the table on this form.

Name _____ Telephone _____

Permanent Address _____ (will be verified)

I have attached the following documentation as evidence of my status:

- Copy of Lease
- Copy of receipt of public assistance
- Copy of Evidence of participation in a public assistance program
- Other evidence _____

FY 2017 – Uncapped Low Income Limits for Nassau and Suffolk Counties

Individual	Low Income
1	\$62,100

OR

Family Size	Low Income
1	\$62,100
2	\$70,950
3	\$79,800
4	\$88,650
5	\$95,750
6	\$102,850
7	\$109,950
8	\$117,050

I hereby certify that the information provided by me to be true and correct, and understand any falsification of any of the information could subject me to disqualification from participation and punishment under the law.

Signature

Date

Print Name

EXHIBIT I
SECTION 3 MONTHLY COMPLIANCE FORM

Contractor and all subcontractor(s) must sign, date and deliver this form monthly to:

Nassau County
1 West Street
Mineola, NY 11501

Project Name: _____

Project Location: _____

For the Month of: _____

I. Hiring

Select one:

I have not hired any new employees during the month specified.

I have hired Section 3 employees, and/or non-Section 3 employees during the month.

II. Recruitment

I have taken one or more of the following recruitment steps to hire a Section 3 resident with the highest training and employment priority ranking (check all that apply). All Outreach materials have been posted in English and Spanish.

I have advertised to fill vacancy (ies) at the site(s), where work is taking place, in connection with this project. Below, I have checked the steps I have taken to find Section 3 low-income residents, from the targeted groups and neighborhoods, to fill any vacancies.

Placed signs or posters in prominent places at project site(s).

Taken photographs of the above item to document that the above step was carried out.

Distributed employment flyers to the administrative office of the local Public Housing Authority.

Contacted employment referrals or Youthbuild Program referrals.

Kept a log of all applicants and indicated the reasons why Section 3 residents who applied were not hired.

Retained copies of any employment applications completed by Public Housing Authority, Section 8 certificate or voucher holders or other Section 3 residents.

Sent a notice about Section 3 training and employment requirements and opportunities to labor organizations or to worker representatives with whom our firm has a collective bargaining or other agreement.

I have utilized GOSR's Local Workforce Opportunities Portal to assist with identifying and/or contacting Section 3 new hires

I have contacted (NAME of WORKFORCE CENTER) to assist with contacting Section 3 new hires

Other, e.g., Job Fairs, etc.

III. Verification

I have attached proof of all checked items.

I hereby certify that the above information is a true and correct.

Signature

Title

Date

Business Name: _____

EXHIBIT J

MONTHLY EMPLOYMENT UTILIZATION REPORT

TO: _____

FROM: _____

(Contractor)

ADDRESS OF CONTRACTOR

NAME OF PROJECT: _____

Street

Bid No.: _____

City, State

GRANT NUMBER: _____

CONTRACTOR'S PHONE NUMBER: _____

REPORTING PERIOD: _____

PERCENTAGE OF PROJECT COMPLETION: _____

CLASSIFICATION	WORK HOURS OF EMPLOYMENT ON THIS PROJECT								
	TOTAL	BLACK	WHITE	ASIAN OR PACIFIC ISLANDER	HISPANIC	FEMALE	DISABLED	VETERAN	SECTION 3 RESIDENT
OFFICERS SUPERVISORS									
PROFESSIONALS									
TECHNICIANS									
HOUSING SALES/RENTAL MANAGEMENT									
OFFICE CLERICAL									
SERVICE WORKERS									
JOURNEYMEN									
COMMON LABORERS									
APPRENTICES									
TRAINEES									
TOTAL	0	0	0	0	0	0	0	0	0

% OF MINORITY EMPLOYEES

% FEMALE EMPLOYEES

% LOW INCOME/SECTION 3 EMPLOYEES

% HANDICAPPED EMPLOYEES

SIGNATURE

TITLE OF COMPANY OFFICIAL COMPLETING REPORT

DATE SIGNED

** Unless Elation Systems is being used to report this information for your specific project, this form must be completed monthly by the General Contractor for all workers **

EXHIBIT K

SECTION 3 EMPLOYEE DATA & CERTIFICATION

The U.S. Department of Housing and Urban Development (HUD) requires that Nassau County document the income of newly hired persons working on federally-funded construction projects. This form may also be utilized as supportive documentation and is intended to comply with HUD Community Development Block Grant requirements.

Section I

Applicant's Name: _____

Job Title: _____

Address: _____

Phone: _____

What is your race? (Circle one)

WHITE

BLACK/AFRICAN AMERICAN

ASIAN

AMERICAN INDIAN/ALASKAN NATIVE

NATIVE HAWAIIAN/OTHER PACIFIC ISLANDER

ASIAN & WHITE

BLACK & WHITE

AM. INDIAN/ALASKAN NATIVE & BLACK

OTHER MULTIRACIAL

Is your family of Hispanic origin? (Circle one) **YES** **NO**

Do you currently reside in Public Housing? If yes, you do not need to fill out the rest of this form.
(Circle one) **YES** **NO**

Have you been unemployed in the last 3 years? If yes, you do not need to fill out the rest of this form.
(At least 30% of your business workforce are currently Section 3 residents or were Section 3 eligible residents within 3 years of the date of first employment with your business.)
(Circle one) **YES** **NO**

Section II

How many people are in your family? (Circle one) 1 2 3 4 5 6 7 8+

What is your family's gross annual income (before taxes)? _____

In accordance with 18 U.S.C 1001 I hereby certify that all of the above information and all documents attached hereto, are true and correct. t

Employee's Signature

Date

EXHIBIT L

SECTION 3 EMPLOYEE DATA & CERTIFICATION

El Departamento de Vivienda y Desarrollo Urbano (HUD) requiere que Nassau County obtenga documentos de ingresos de las personas nuevamente empleadas que trabajan en los proyectos que reciben beneficios de programas federales. Esta formulario se puede utilizar como documentacion de apoyo pero tambien es requerida para cumplir con los requisitos de Subvención de Bloque de Desarrollo de Comunidad de HUD.

Seccion I

Nombre del Participante: _____

Titulo de Trabajo: _____

Direccion: _____

Telefono: _____

¿Cual es su raza? (Circule uno)

AMERICANO

NEGRO / AMERICANO AFRICANO

ASIATICO

INDIO AMERICANO/NATURAL DE ALASKA

NATURAL DE HAWAII/ EL OTRO ISLENO PACIFICO

ASIATICO & AMERICANO

AMERICANO AFRICANO & AMERICANO

INDIA AMERICANO/NATURAL DE ALASKA & AMERICANO AFRICANO

EL OTRO MULTI-RACIAL

¿Esta su familia de origen hispanico?(Circule uno) **Si** **No**

¿ En la actualidad reside en una vivienda publica ? Si su respuesta es si, no tiene que terminar este formulario. (Circule uno) **Si** **No**

¿ Ha estado desempleado en los ultimos tres aftos ? Si su respuesta es si, no tiene que terminar este formulario. (Circule uno) **Si** **No**

Seccion II

¿ Cuantos personas en su Familia ? (Circule uno) 1 2 3 4 5 6 7 8+

¿ Cual es dinero anual gruesa de su familia (antes de impuestos)? _____

Certifico que toda la información antedicha esta verdad y correcta al mejor de mi conocimiento.

Firma del Empleado

Fecha

Nassau County Section 3 Plan for Nassau County CDBG-DR LTR Programs
Instructions for Completing Exhibits A through L

General Information and Instructions

Section 3 reporting and Section 3 outreach (See Exhibit F) are not required for sub contracts under \$100,000. All Section 3 Outreach materials must be posted in English and Spanish and hard copy as well as electronically.

The information in Exhibits G and H is to be collected monthly and then submitted to Nassau County (NC) on the last day of each quarter. NC and the Prime Contractor (PC) and Subcontractor (SC) then have five calendar days to ensure all of the information in the Exhibits is complete and correct. NC then submits the completed Exhibits to GOSR on the fifth calendar day following the end of each quarter. NC and GOSR then have five calendar days to ensure all of the information in the Exhibits is complete and correct. GOSR submits the Exhibits to HUD on the 10th calendar day following each quarter.

The purpose of Exhibit G is to provide an estimate of the number of contracts and dollars anticipated to go to Section 3 Businesses. The information is compiled monthly and submitted quarterly.

Exhibit G has been completed using sample information for use as a guide when completing the exhibit. In Elation, information from the Certified Payroll Report(s) (CPR) populates the HUD 60002 form, which Nassau County submits to GOSR, as well as the Section 3 New Hire Report (aka Section 3 Workforce) and Section 3 Project Summary (aka Section 3 Subcontracting) for the Prime Contractors.

The purpose of Exhibit H is to provide an estimate of the number available positions anticipated to be filled with Section 3 persons. The information is compiled monthly and submitted quarterly.

Exhibit H Estimated Workforce Breakdown (Table B) has been revised in format and content to allow the reporting of the following information:

- 1) the Prime Contractor's/Lead A/E Firm's workforce in place just prior to the corresponding Notice to Proceed (NTP); this will serve as a Baseline by which the Section 3 hiring can be compared throughout the project duration
- 2) Full Time Equivalents (FTE). A FTE of 1.0 = FT worker on the project working a 40 hour week. This conversion is used to compare the activity within each trade group for skilled laborers that work less than 40 hours and to capture the time and productivity of all employees on a project, including those working less than a full time shift. We recommend using FTE to report the information in Column B (Baseline/ number of positions occupied prior to NTP), Column C (Number of Positions Currently Occupied) and Column D (Number of Positions Not Currently Occupied) to account for work flows that fluctuate as skilled laborers are mobilized to the project on a short term basis, and
- 3) Calculation of the percentage of new hires to assist with meeting the 30% goal for new hires; this will assist with tracking the Section 3 goals per month.

The information in Columns A through E of the revised Exhibit H is completed using the Certified Payrolls and should correspond to the information in HTFC Form ADM-136 EEO Monthly Employment Utilization Report in Elation Systems.

The revised Exhibit H will be provided to Prime Contractors and/or Lead A/E Firms as a Microsoft Excel file. The version of Exhibit H that originally appeared in the County's Section 3 Plan, i.e., contains Columns 1 through 6, remains in the plan in the event that it is needed for use with future projects.

The information in Exhibit J Monthly Employment Utilization Report is also contained in HTFC Form ADM-136 EEO Monthly Employment Utilization Report, which is completed by PC's electronically in GOSR's Elation Systems. Therefore, for the purposes of Nassau County's CDBG-DR-funded projects, Exhibit J does not need to be completed/submitted. Exhibit J remains in the plan in the event that it is needed for use with future projects.

Exhibit K Section 3 Employee Data and Certification: please note the following information to assist with completing this exhibit:

1. New Hire Recently Unemployed: If a person is receiving unemployment benefits, they can self-certify that they are presently making less than the corresponding Fiscal Year (FY) income limit for a family size of one, e.g., \$62,100 FY 2017 Uncapped Low Income Limits for Nassau and Suffolk Counties.

If a prime contractor or a sub-contractor qualifies new hires using the prior year's tax return and the person's return shows they made more than the corresponding Fiscal Year's (FY) Uncapped Low Income Limits for Nassau and Suffolk Counties for a family size of one, e.g., \$62,100 FY 2017, then the prime or sub-contractor is to document when this person began receiving unemployment and what dollar amount they are receiving from unemployment. The prime or the sub-contractor can then count this person as a Section 3 resident.

2. If a person was previously working for a prime contractor or a sub-contractor but was laid off, and this same person is re-hired by the prime contractor or a sub-contractor OR the Union hall sends the same person back to the job site, then this person is not considered to be a new hire for the E3 project. However, the hours of this person that returned to the job site count toward a Full Time Equivalent (FTE). FTE is defined above under Exhibit H.

Exhibit Letter	Exhibit Name	Exhibit Purpose	Instructions for Completion	Exhibit Completed by NC, PC, or SC	Exhibit Submitted M, Q or AN
Exhibit A	Certification for Business Concerns Seeking Section 3 Preference in Contracting and Demonstration of Capability	For use by PC or SC when procuring a Section 3 Business	Complete with assistance of the Section 3 Business being procured and have appropriate NC Staff sign and date the form	PC or SC	AN by the PC or SC
Exhibit B	Assurance of Compliance (Section 3, HUD Act of 19668)	Assurance made by NC that they are carrying out the Section 3 provisions and regulations for a corresponding project	NC completes the information at the bottom of the exhibit	NC	AN following issuance of a Notice to Proceed for a PC
Exhibit C	Contractor/Subcontractor Certification Regarding Section 3 and Segregated Facilities	To certify that Section 3 provisions are included in contracts, that all PC and SC is a signatory to the Contractor's Section 3 Plan and that no segregated facilities will be maintained as required by the Civil Rights Act of 1964	PC or SC provides and/or completes the basic information at the top and bottom of the form	PC or SC	AN when new SC are procured
Exhibit D	Contractor's Section 3 Plan	Ensures that all PC and SC implement the 10 listed affirmative action steps	PC or SC provides and/or completes the basic information at the top and bottom of the form	PC or SC	PC provides with Bid or following NTP PC provides to SC and SC submits upon procurement with PC
Exhibit E	Section 3 Clause	Ensures that all Section 3 contracts include the Section 3 Clause defined in items A to G of the exhibit	No information to complete; is to accompany exhibit D	NA	PC provides to NC with Exhibit D at time of Bid or following NTP PC provides to SC and SC submits upon procurement

Exhibit Letter	Exhibit Name	Exhibit Purpose	Instructions for Completion	Exhibit Completed by NC, PC, or SC	Exhibit Submitted M, Q or AN
Exhibit F	Posted Notice to Project Residents	To assist with Section 3 Outreach by informing the public of the economic opportunities, i.e., jobs, created through the use of the CDBG-DR funds	PC or SC complete the information at the top and bottom Employment position information provided in the table in the center of the exhibit should correspond to the information provided in Exhibit H	PC or SC	AN Exhibit to be used if PC or SC do not create their own project-specific Section 3 outreach flyers/poster boards
Exhibit G	Contractor/Subcontractor's Section 3 Tables A & B, If Required – Table A Proposed Projects Breakdown	Provide detailed information about the type, total number and total approximate dollar amount of all contracts for the month and how many of those contracts are with Section 3 Businesses (per month) and how much of the contract dollars are going to Section 3 Businesses per month.	PC or SC complete information at top/bottom Table A Column 1 Type of Contract, e.g., Electrical Column 2 Total number of Contracts of the Type Listed in Col 1 Column 3 Total Approx. \$ Amount of Contracts in Col 1 and 2 Column 4 Estimated # of Section 3 Business Contracts Column 5 Estimated \$ amount of contracts with Section 3 Businesses	PC or SC	PC and SC Fill out M PC submit to NC Q SC submit to PC Q See attached Example of Completed Exhibit G
Exhibit H	Estimated Workforce Breakdown (Table B)	To provide an estimate of the total number of available job positions and an estimate of how many of those positions are to be filled using Section 3 persons	PC or SC complete information at top/bottom Use CPR and FTE to complete table each month and submit quarterly. The 30% new hire goal can be tracked using the last row of the table. Column A Total Estimated Positions Enter the number of the total	PC or SC	PC and SC Fill out M PC submit to NC Q SC submit to PC Q See attached Example of Completed Exhibit H

Exhibit Letter	Exhibit Name	Exhibit Purpose	Instructions for Completion	Exhibit Completed by NC, PC, or SC	Exhibit Submitted M, Q or AN
Exhibit H	Estimated Workforce Breakdown (Table B)	To provide an estimate of the total number of available job positions and an estimate of how many of those positions are to be filled using Section 3 persons	<p>Column B Baseline – Number of Positions occupied just prior to the Notice to Proceed. Complete using the CPR and FTE that correspond to the period just prior to NTP.</p> <p>Column C Number of currently occupied, i.e., being used in current month; use FTEs</p> <p>Column D Number of positions NOT currently occupied, i.e. projected new hires; use FTE</p> <p>Column E Positions to be filled with Section 3 Residents</p>	PC or SC	PC and SC Fill out M PC submit to NC Q SC submit to PC Q See attached Example of Completed Exhibit H
Exhibit I	Section 3 Monthly Compliance Form	Provides details about Section 3 hiring and outreach	Provide the information in Sections I, II and III for the month specified at the top of the Exhibit Provide any back-up documentation that corresponds to “Other” in Section II	PC or SC	PC and SC Fill out M PC submit to NC Q SC submit to PC Q
Exhibit J	Monthly Employment Utilization Report	Provides details about the minorities, including Section 3 Residents, being represented in the project job classifications by recording hours worked for 8 different groups per month	Provide the hours each job classification worked for the month in the table in the center of the Exhibit and complete the information requested above and below the table	PC or SC	PC and SC Fill out M PC submit to NC Q SC submit to PC Q Please see General Instructions above this table regarding Exhibit J
Exhibit K	Section 3 Employee Data & Certification (English)	To have Section 3 New hires provide details about newly hired Section 3 Employees, e.g., contact information, race, and income	Have newly hired Section 3 Employees complete the information requested in Section I and Section II and then have them sign and date the Exhibit This Exhibit should be submitted with the Section 3 Resident Certification Form	Section 3 New Hires for the PC or SC	PC and SC submit to NC Q

Exhibit Letter	Exhibit Name	Exhibit Purpose	Instructions for Completion	Exhibit Completed by NC, PC, or SC	Exhibit Submitted M, Q or AN
Exhibit L	Section 3 Employee Data & Certification (Spanish)	Same purpose as Exhibit K, the difference being that use of this Exhibit may be preferred by Section 3 new hires for which Spanish is their primary language	Same instructions as Exhibit K	Same instructions as Exhibit K	Same instructions as Exhibit K
Section 3 Resident Certification Form	Eligibility for Preference	<p>Certifies or provides evidence to the PC or the SC that a new hire is a Section 3 Resident by documenting their residence, and evidence of their Section 3 status, e.g., copy of lease, copy of evidence of public assistance, etc.</p> <p>The Exhibit also lists Uncapped Low Income Limits for NC for the current Fiscal Year (FY)</p>	<p>Have newly hired Section 3 Employees complete the information requested and then have them sign and date the Exhibit</p> <p>This Exhibit should be submitted with Exhibit K or L</p> <p>If this Exhibit indicates the new hire provided a W-2 as evidence, then the family's gross income for the corresponding family size should be reported in Section II of Exhibit K</p>	Section 3 New Hires for the PC or SC	PC and SC submit to NC Q