

Section 3 Compliance Forms

CITY OF HOUSTON

HOUSING AND COMMUNITY
DEVELOPMENT DEPARTMENT

2100 TRAVIS STREET, 9TH FLOOR,
HOUSTON, TEXAS 77002
832.394.6200



SECTION 3 COMPLIANCE FORMS



Instructions: Compliance forms where applicable, must be completed and/or signed by a duly authorized member of the organization. All forms must be uploaded to the LCP Tracker by the below stated deadlines.

The following form(s) are to be submitted before construction commences.

Forms/Supplemental Information	Due
Section 3 Worker Self-Certification	As needed.
Section 3 Worker Employer's Certification	As needed.
Section 3 Business Concern Self-Certification	As needed.
Section 3 Contractor's Section 3 Compliance Certification	Upon construction commencement.
Section 3 Monthly Reporting Requirements	Due by the last business day of each month.
Project Announcement	Submission must occur within 30 calendar days after the preconstruction meeting. HCD reserves the right to request an updated form if staffing, project scope, or timeline changes.
Template - Section 3 Signage (GC)	Signage must be posted on site prior to start of work.
Section 3 LCPTTracker Employee Profile Setup	N/A

SECTION 3 WORKER SELF-CERTIFICATION



The purpose of this form is to comply with Section 3 of the HUD Act of 1968 employer certification requirements listed in 24 CFR § 75.31. To qualify as a Section 3 worker, any United States legal resident's annual income must not exceed the HUD income limits for the year before the worker was hired, or the individual's current income annualized on a full-time basis for the year must be below the HUD income limit. Additionally, an individual can qualify as a Section 3 worker if they are a YouthBuild participant or employee of a Section 3 Business concern.

Printed Name:			
Address (Not a P.O. Box):			
Phone Number:		Email Address:	

To qualify as a Section 3 Worker, you must meet **one** of the following requirements currently or at the time of hire if hired within the past 5 years. Check one or more of the following categories to qualify as a Section 3 Worker under 24 CFR § 75 that apply to you:

<input type="checkbox"/>	I was hired (insert month/year), and my income for the previous calendar year was below the income limit. <i>[Note: Cannot be more than 5-years from the date of this form.]</i>
<input type="checkbox"/>	My current income limit is below the latest HUD income limit.
<input type="checkbox"/>	A YouthBuild Participant; or
<input type="checkbox"/>	I am employed by a Section 3 Business Concern.

CERTIFICATION STATEMENT

I, the undersigned, certify under penalty of perjury that the information provided above is true and correct and certifies that the worker identified above meets the definition of a Section 3 worker. **WARNING:** Anyone who knowingly submits a false claim or makes a false statement is subject to criminal and/or civil penalties, including confinement for up to 5 years, fines, and civil and administrative penalties. (18 U.S.C. §§ 287, 1001, 1010, 1012; 31 U.S.C. §3729, 3802)

<input type="checkbox"/>	Attached is my Employer Certification form, which verifies my employed with a Section 3 Business Concern. <i>(Check only if last option for qualifying categories for a Section 3 Worker was selected.)</i>
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Signature Date

EMPLOYER REVIEW USE: OPPORTUNITY FOR TARGETED SECTION 3 WORKER STATUS		
If the worker was not hired by a Section 3 Business Concern, does the worker live within 1-mile of the service area, in the neighborhood, or at the project?	Yes	No

YouthBuild is a community-based pre-apprenticeship program that provides job training and educational services for opportunity youth ages 16-24 who left school without a secondary diploma. Look up Grant Recipients at www.dol.gov/agencies/eta/youth/youthbuild.

SECTION 3 WORKER EMPLOYER CERTIFICATION



The purpose of this form is to comply with Section 3 of the HUD Act of 1968 employer certification requirements listed in 24 CFR § 75.31. To qualify as a Section 3 worker, the United States legal resident's annual income must not exceed the HUD income limits for the year before the worker was hired, or the individual's current income annualized on a full-time basis for the year must be below the HUD income limit. Additionally, an individual can qualify as a Section 3 worker and Targeted Section 3 worker, if an employee of a Section 3 Business Concern. To qualify as a Targeted Section 3 worker, an employer can confirm that the employee lives within the service area or neighborhood of the project

Print Name of Business			
Address (Not a P.O. Box):			
Phone Number:		Email Address:	

Printed Name of Section 3 Worker			
Address (Not a P.O. Box):			
Phone Number:		Email Address:	

Please indicate which of the following is true for the worker listed above: (Select all that apply)

<input type="checkbox"/>	Worker's income from your employment is below the income limit based on a calculation of what the worker's wage rate would translate to if annualized on a full-time basis
<input type="checkbox"/>	Worker is employed by a Section 3 Business Concern (Select if your business qualifies as a Section 3 Business Concern)
<input type="checkbox"/>	Worker's residence is within the service area or neighborhood of the project

CERTIFICATION STATEMENT

I/We, the undersigned, certify under penalty of perjury that the information provided above is true and correct and certifies that the worker identified above meets the definition of a Section 3 worker. WARNING: Anyone who knowingly submits a false claim or makes a false statement is subject to criminal and/or civil penalties, including confinement for up to 5 years, fines, and civil and administrative penalties. (18 U.S.C. §§ 287, 1001, 1010, 1012; 31 U.S.C. §3729, 3802)

Print Name

Signature

Date

SECTION 3

CONTRACTOR'S COMPLIANCE CERTIFICATION



Instructions: All contractors and subcontractors with agreements exceeding \$200,000 must complete and submit this form.

1. I am the _____ of _____ (Company Name)
(Owner, Partner, Officer, Representative, Agent)
2. My company adheres to Section 3 of the Housing and Urban Development (HUD) Act of 1968, as amended, 12 U.S.C. 1701u which requires, to the greatest extent feasible, that a "good faith effort" given to identifying small businesses located within the boundaries of the Section 3 service area, making them aware of contracting opportunities, encouraging their participation and actually awarding contracts to Section 3 Business Concerns through the assistance of the City of Houston and their referral system.
3. An attempt will be made to undertake outreach activities intended to encourage participation by Section 3 Workers in training and employment opportunities, to include but not be limited to utilizing the referral established by the City of Houston, the Texas Employment Commission, and Houston Works.
4. I will adhere to the required reporting that documents all labor hours by all trades and the total number of Section 3, Targeted worker, and business concern(s) labor hours worked on the project.
5. All Section 3 covered contracts shall include the Section 3 clause in every subcontract subject to compliance with regulations in 24 CFR part 75, 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 75. 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 75.
6. Any employment and training or contracting opportunities in connection with Section 3 projects should give priority, to the greatest extent feasible, to Section 3 worker, Targeted worker, and business concern.

I certify that I will meet the requirements of 24 CFR § 75.19. To the greatest extent feasible, the undersigned agrees to provide employment and training opportunities and contracts for work arising in connection with Section 3 projects to Section 3 workers and business concerns that provide economic opportunities to Section 3 workers within the metropolitan area or (non-metropolitan county) in which the project is located.

Signature:

Title:

Telephone:

Address:

Company Name:

SECTION 3 REPORTING REQUIREMENTS



Please contact the assigned contract administrator for the required reporting templates.

To reach a Section 3 Representative, please contact us at hcdsection3@houstontx.gov or at 832-394-6257.

SECTION 3

PROJECT ANNOUNCEMENT



Date:

Project

Address, City, State, Zip:

From:

Summary of
Potential Work:

If interested, please contact me to discuss at the scope of services available. This project is funded through a federal grant or financial assistance; therefore, there could be contracting opportunities for qualified Section 3 Business Concerns.

Should you have any questions contact:

Name:

Title:

Company:

Phone Number:

Address:

Email:



Housing and Community Development
Department

In partnership with the U.S. Department of Housing and
Urban Development, and

**Acknowledge that the Construction of this project is
subject to the Section 3 plan of the U.S. Department
of Housing and Urban Development. This program
is designed to generate various Employment and
Contracting Opportunities.**

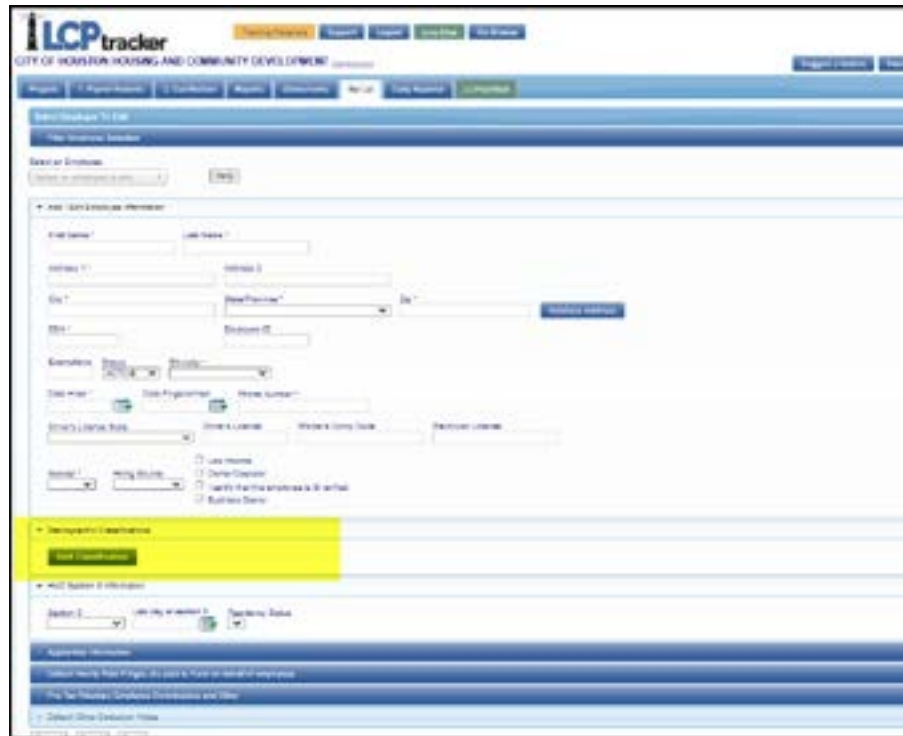
**Please inquire within:
Contractor name and contact number/Email:**

SECTION 3 LCP TRACKER EMPLOYEE PROFILE

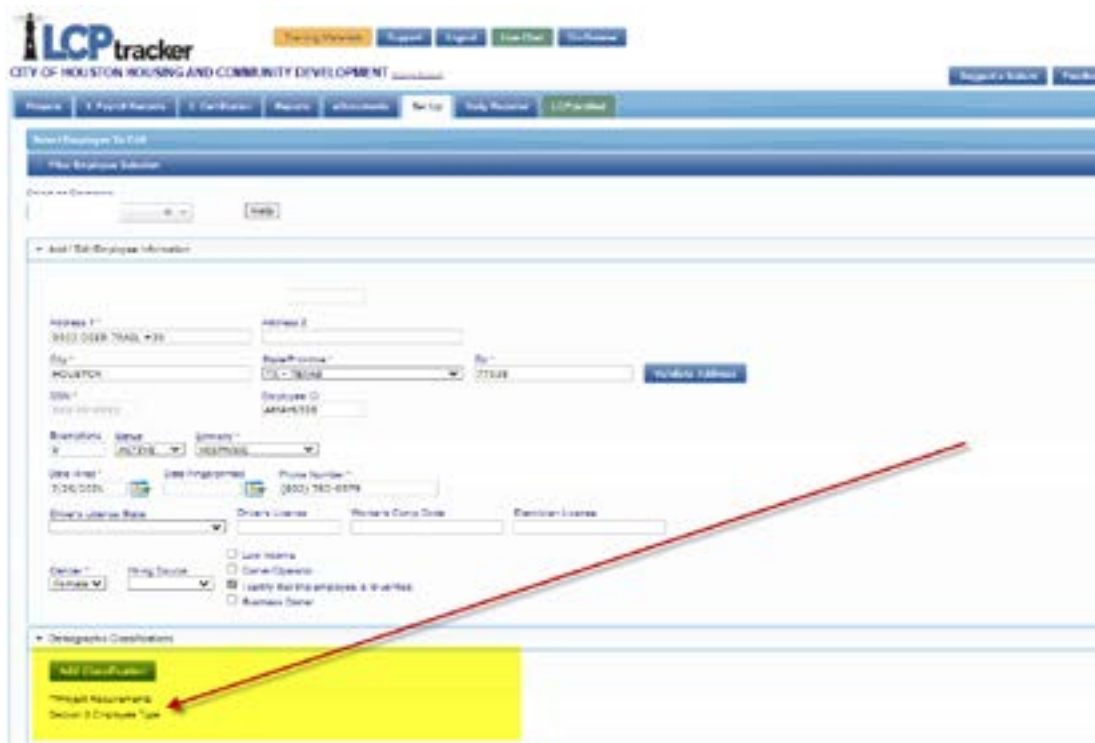


Under the Employee Profile Page, the subcontractor will:

- 1 The section that is in question is called Demographic Classification and not HUD Section 3 Information.



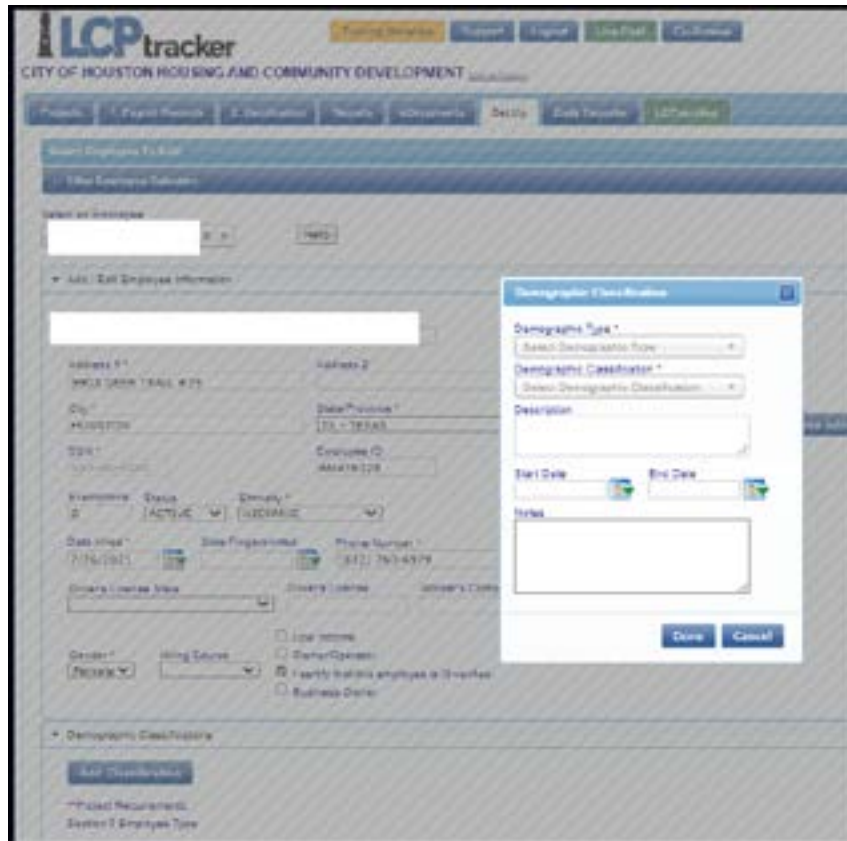
- 2 After creating the employee profile add Section 3 on the Demographic Classification section.



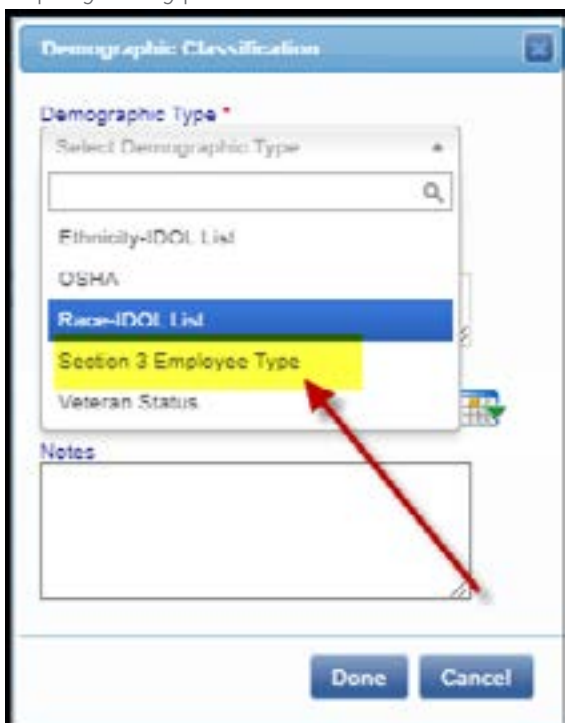
SECTION 3 LCP TRACKER EMPLOYEE PROFILE



3 The sub will click on Add Classification



4 Select the Demographic Type --- Section 3 Employee Type



5 Select the Demographic Classification that is best suited and click Done

