



## Section 3 Information and Instructions

### What is Section 3?

Section 3 is a provision of the Housing and Urban Development Act of 1968. The purpose of Section 3 is to ensure that employment and other economic opportunities generated by certain HUD financial assistance shall, to the greatest extent feasible, and consistent with existing Federal, State and local laws and regulations, be directed to low- and very low income persons, particularly those who are recipients of government assistance for housing, and to business concerns which provide economic opportunities to low- and very low-income persons.

### What does Section 3 require contractors and subcontractors to do?

- Provide employment and training opportunities to Section 3 residents by meeting the percentage goals in 24 CFR 135.30(b)(3)
- Provide subcontracting opportunities to Section 3 businesses by meeting the percentage goals in 24 CFR 135.30(c)

In addition, all contracts with contractors and subcontractors for Section 3 covered projects must contain the Section 3 contract clause in the contracts of its contractors and subcontractors. The HUD mandated Section 3 language ("Section 3 Clause") may be found at 24 CFR §135.38. The Section 3 Clause may also be found within the Supplemental Conditions which are included in the bid documents. All contracts for U.S. Department of Housing and Urban Development funded projects will contain the Section 3 contract clause.

Volusia County Community Assistance encourages all contractors and subcontractors to extend employment and training opportunities to Section 3 residents for any new opportunities which have been created as a result of the contract award. Reporting on Section 3 opportunities is required for all contractors and subcontractors that are awarded contracts for U.S. Department of Housing and Urban Development funded projects.

### What is a Section 3 Resident?

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 Section 3 covered project is expended.

### What is a Section 3 business?

A Section 3 business is defined as one:

- That is 51 percent or more owned by Section 3 residents; or
- 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 their first employment with the business were Section 3 residents; or
- That provides evidence of a commitment to subcontract in excess of 25 percent of the dollar award of all subcontracts to be awarded by the business to other Section 3 businesses (see first two definitions above).

### Reporting

With Bid or Quote (Solicitation documents)

- All contractors and subcontractors must submit the Section 3 Certification and Existing Workforce Form.
- The Section 3 Resident Self-Certification form must be provided for all applicable persons

Upon project completion

- All contractors and subcontractors must submit the Section 3 New Hire Certification.
- The Section 3 Resident Self-Certification form must be provided for all applicable persons



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### Section 3 Certification and Existing Workforce

The purpose of Section 3 is to ensure that employment and other economic opportunities generated by certain federally assisted projects shall, to the greatest extent feasible, and consistent with existing Federal, State and County rules and regulations, be directed to low- and very low-income persons, particularly those receiving housing assistance and to businesses that provide economic opportunities to these persons.

Any bid/proposal response for certain federally assisted projects that do not include this completed document will be considered non-responsive and not eligible for award.

Project Name: \_\_\_\_\_  
Agency Name: \_\_\_\_\_  
Contact person: \_\_\_\_\_ Title: \_\_\_\_\_  
Address of business: \_\_\_\_\_  
Telephone number: \_\_\_\_\_ Fax number: \_\_\_\_\_  
E-mail address: \_\_\_\_\_  
Federal Employer Identification Number/SSN: \_\_\_\_\_

1. Type of business:

(Check one) ☐ Corporation ☐ Sole Proprietorship ☐ Partnership ☐ Joint Venture

2. Check where applicable and provide required documentation:

- ☐ The business is **NOT** claiming a Section 3 status.
- ☐ The business **IS** claiming a Section 3 status based on the following:
- ☐ 51% of the business is owned by Section 3 qualified resident(s); see attached Section 3 Resident form(s)
  - ☐ 30% or more of current full-time workforce qualify as section 3 residents, or did within three years of their first date of employment with the business; see attached Section 3 Resident form(s) and list of all employees
  - ☐ More than 25% of the dollar award will be awarded to other qualified Section 3 businesses; see attached list of sub-contractors

3. Existing Workforce:

Attach to this form a list of existing agency employees that may work on this project. Please indicate which method of submittal is being used: ☐ Agency made employee list (or) ☐ "Existing Workforce List"

Regardless of the method, the submitted list must include the following information:

Employee Name  
Employee Number  
Employee Wage Classification Type (title best suited to position from applicable wage determination)  
Employee Phone Number  
Employee Mailing Address; including city, state and zip code  
Employee Section 3 status. (If claiming a Section 3 resident self-certification form is required)

***I certify to the best of my knowledge that the information contained here within is true and correct.***

Print name: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Title: \_\_\_\_\_

**NOTE:** Volusia County shall maintain this form and supporting documentation a minimum of five years in the project files for review during monitoring. The contractor must retain a copy of the reports in their files for a minimum of five years after completion of the project.

## Existing Workforce List

Project Name: \_\_\_\_\_

Agency Name: \_\_\_\_\_

The following is a list of existing agency employees that may work on this project. The list must include the following:

Employee Name

Employee Number

Employee Wage Classification Type (title best suited to position from applicable wage determination)

Employee Phone Number

Employee Mailing Address; including city, state and zip code

Employee Section 3 status. (If claiming a Section 3 resident self-certification form is required)

[illegible]



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### Section 3 Resident Self-Certification

The purpose of Section 3 is to ensure that employment and other economic opportunities generated by certain HUD funded projects shall, to the greatest extent feasible, and consistent with existing Federal, State and County rules and regulations, be directed to low- and very low-income persons, particularly those receiving housing assistance and to businesses that provide economic opportunities to these persons.

A Section 3 Resident seeking training and employment opportunities provided by this part shall certify, and 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 the United States and of Volusia County, Florida and meet the income eligibility and federal guidelines for a Section 3 Resident. I am self-certifying as a Section 3 Resident because of the following reason(s):

- ☐ I am a public housing resident leaseholder – Submit copy of lease
- ☐ I live in public housing but am not on the lease – Submit copy of lease
- ☐ I am a Section 8 voucher holder – Submit copy of voucher
- ☐ My household income does not exceed the income guidelines by family size as published at the bottom of this form – Submit copy of most recent tax return or evidence of participation in a public assistance program

**NOTE: Documentation of Section 3 Resident status must be submitted with this form**

Name \_\_\_\_\_ Telephone \_\_\_\_\_

Home Address \_\_\_\_\_ (will be verified)  
Must be Street Address - Not a P.O. Box Number)

Please check the income below that applies to your household:

Family Size	Low Income	Very-Low Income
1	<input type="checkbox"/> \$31,200	<input type="checkbox"/> \$19,500
2	<input type="checkbox"/> \$35,650	<input type="checkbox"/> \$22,300
3	<input type="checkbox"/> \$40,100	<input type="checkbox"/> \$25,100
4	<input type="checkbox"/> \$44,550	<input type="checkbox"/> \$27,850
5	<input type="checkbox"/> \$48,150	<input type="checkbox"/> \$30,100
6	<input type="checkbox"/> \$51,700	<input type="checkbox"/> \$32,350

I hereby certify that the information provided by me to be true and correct. If found to be inaccurate, I understand that I may be disqualified as an applicant and/or a certified Section 3 Resident which may be grounds for termination of training, employment, or contracts that resulted from this certification and could subject me to punishment under the law.

Print Name \_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_



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### Section 3 New Hire Certification

The purpose of Section 3 is to ensure that employment and other economic opportunities generated by certain HUD funded projects shall, to the greatest extent feasible, and consistent with existing Federal, State and County rules and regulations, be directed to low- and very low-income persons, particularly those receiving housing assistance and to businesses that provide economic opportunities to these persons.

All project contractors and subcontractors must complete this form upon project conclusion.

Project Name: \_\_\_\_\_  
Agency Name: \_\_\_\_\_  
Reporting Period: \_\_\_\_\_ To: \_\_\_\_\_

1. Did you recruit employees for this project? ☐ Yes ☐ No

a. If yes, please check any of the following method(s) used to recruit employees who live within Volusia County and meet the Section 3 criteria:

- ☐ Advertised to fill vacancies in a local newspaper
- ☐ Posted vacancies prominently at the job site
- ☐ Placed signs and/or posters announcing vacancies at the local public housing authorities in Volusia County
- ☐ Distributed employment flyers in various locations within Volusia County
- ☐ Posted employment flyers in various locations within Volusia County
- ☐ Kept a log of all applicants and for every position created by this project
- ☐ Retained copies of employment applications completed by Section 3 residents
- ☐ Other – Please provide details: \_\_\_\_\_

2. Did you hire any new employees specifically for this project? ☐ Yes ☐ No

a. If yes, provide the following:

The number of employees hired is/are: \_\_\_\_\_

The number of employees hired that claim Section 3 status is/are: \_\_\_\_\_

A Section 3 Self Certification form for each of the above is attached

3. Did you hire any new employees since the existing workforce list was provided that worked on this project?

☐ Yes ☐ No

a. If yes, provide the following:

A list of the newly hires employees that includes the following information

Employee Name

Employee Number

Employee Wage Classification Type (title best suited to position from applicable wage determination)

Employee Phone Number

Employee Mailing Address; including city, state and zip code

Employee Section 3 status. (If claiming a Section 3 resident self-certification form is required)

***I certify to the best of my knowledge that the information contained here within is true and correct.***

Print name: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Title: \_\_\_\_\_

**NOTE:** Volusia County shall maintain this form and supporting documentation a minimum of five years in the project files for review during monitoring. The contractor must retain a copy of the reports in their files for a minimum of five years after completion of the project.