**[PROGRAM/PROJECT NAME]**

**SECTION 3 EMPLOYEE INCOME CERTIFICATION FORM**

*(For CDBG Projects Awarded prior to 11/30/2020)*

The [Unit of General Local Government (UGLG) Name]’s current [CDBG Project/Program Name] project is funded by the U.S. Department of Housing and Urban Development (HUD) Community Development Block Grant (CDBG) Program and the funds were awarded to the [UGLG Name] **prior to November 30, 2020**. The information requested below must be collected for all new full-time employees and trainees *(working full-time in a permanent, temporary or seasonal position)* of the Grantee and contractors (including prime contractors and subcontractors), hired directly in connection with and working on this project, to comply with Section 3 of the Housing and Development Act (HDA) of 1968 [[24 CFR Part 135](https://www.govinfo.gov/content/pkg/CFR-2019-title24-vol1/xml/CFR-2019-title24-vol1-part135.xml)].

This information is strictly confidential and only reported to the required funding and regulating entities for regulatory compliance purposes. Individual personal identifying information is **not** released to the public. **Your response is voluntary, confidential, and has no effect on your employment.**

**Employment Status (Check One):**  New Full-Time Employee *OR*   New Full-Time Trainee (of CDBG Project)

**Annual Family Income at the Time of Hire (i.e., income for the year prior to the Date of Hire):**

|  |  |  |  |
| --- | --- | --- | --- |
| **FAMILY INCOME INFORMATION** | | | |
| **INSTRUCTIONS:**   * **Circle** your family size in the far left column. * If your family income at the time of hire is/was at or below the Family Income Level shown for your family size, then enter **“X”** in the  **AT or BELOW** **column.** * If your family income at the time of hire is/was above the Family Income Level shown for your family size, then enter **“X”** in the **ABOVE** **column.** * Family income includes the total annual income for ***all*** family members living in your household. | | | |
| **FAMILY SIZE** | **FAMILY INCOME LEVEL** | **AT or BELOW** | **ABOVE** |
| 1 | $[ADD COUNTY INCOME LIMIT FOR FAMILY SIZE OF 1] |  |  |
| 2 | $[ADD COUNTY INCOME LIMIT FOR FAMILY SIZE OF 2] |  |  |
| 3 | $[ADD COUNTY INCOME LIMIT FOR FAMILY SIZE OF 3] |  |  |
| 4 | $[ADD COUNTY INCOME LIMIT FOR FAMILY SIZE OF 4] |  |  |
| 5 | $[ADD COUNTY INCOME LIMIT FOR FAMILY SIZE OF 5] |  |  |
| 6 | $[ADD COUNTY INCOME LIMIT FOR FAMILY SIZE OF 6] |  |  |
| 7 | $[ADD COUNTY INCOME LIMIT FOR FAMILY SIZE OF 7] |  |  |
| 8 or More | $[ADD COUNTY INCOME LIMIT FOR FAMILY SIZE OF =/+8] |  |  |

**New Employee or Trainee Place of Residence on the Date of Hire (Enter County and State below):**

**County:**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ **State:**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**EMPLOYEE CERTIFICATION**

I affirm that the above statements on this form are true, complete, and correct to the best of my knowledge and belief. I hereby certify, under penalty of law, that the information I’ve provided is correct to the best of my knowledge.

**Employee Signature:** **Signature Date:**

**Employee Printed Full Name:** **Date of Hire:** \_\_\_\_\_\_\_

|  |  |
| --- | --- |
| **FOR ADMINISTRATIVE/EMPLOYER USE ONLY** | |
| **Reporting Section 3 Resident Status:**  The purpose of the HUD/CDBG Section 3 program is to provide employment, training, and contracting opportunities to individuals with low or very low income levels. Each new full-time employee or trainee (working full-time in a permanent, temporary or seasonal position) working on this CDBG-funded project is requested to self-certify their annual family income at the time of hire. The employer is to determine from this information whether the employee qualifies as a Section 3 Resident (as defined in [24 CFR 135](https://www.govinfo.gov/content/pkg/CFR-2019-title24-vol1/xml/CFR-2019-title24-vol1-part135.xml)). This form is to be completed and submitted to the designated grant administrator or prime contractor for required reporting. | |
| 1. Is this new full-time employee a **Section 3 Resident** (i.e., having an annual family income “At or Below” the HUD income limit for their family size as listed on the certification form in the year prior to their Date of Hire ***and*** living in the same county where the CDBG project is located)? | Yes  No | |
| 1. Was this new Employee hired **as a result of** participating on the CDBG project? | Yes  No | |
| 1. Does the employer qualify as a **Section 3 Business concern**? | Yes  No | |
| \**An employer working on this project qualifies as a* ***Section 3 Business Concern*** *if they meet any of the following criteria:*   * *51% or more of the business is owned and controlled by Section 3 Residents, or* * *A business whose permanent, full-time employees include persons, at least 30% of whom are currently Section 3 Residents, or within three years from their date of first employment with the business concern were Section 3 Residents, or* * *A business that provides evidence of a commitment to subcontract in excess of 25% of the dollar award of all subcontracts to be awarded to business concerns that meet the qualifications set forth in the first & second bullet points (above) in this definition of a “Section 3 Business Concern.”* |  | |
| **EMPLOYERS & CDBG GRANTEES MUST RETAIN THIS FORM IN THEIR SECTION 3 COMPLIANCE PROJECT FILES.** | | |
|  | |

***Section 3 Employee Income Self-Certification Form Instructions for Project Administrators and Employers:***

*Fields highlighted in YELLOW should be pre-filled by the Project Administrator or Employer requesting completion of the Self-Certification form.*

*Obtain HUD Income Limits at:* [***https://www.huduser.gov/portal/datasets/il.html***](https://www.huduser.gov/portal/datasets/il.html)***.***

*[The current “Low (80%)” income threshold and the “Low (80%)” income threshold in effect (the “Effective Date”) at the time of the employee’s Date of Hire for the County in which the employee lived on the Date of Hire must be entered in the income table above. The income limits are updated annually by HUD, and typically released in March or April. Check the website regularly for updates.* ***The “Effective Date” is listed for each year (when you click on the year) and is typically April 1st of the year in which the Income Limits were published, although there are some exceptions****.]*