

ATTACHMENT 5

PY2017 Alabama CAPER

**Section 3 Summary Reports
for**

CDBG Program

CDBG-DR Disaster Program

ESG Program

Neighborhood Stabilization Program / NSP

**Attachments to the State of Alabama's
PY2017 Consolidated Annual Performance Evaluation Report (CAPER)
For the Reporting Period of April 1, 2017 through March 31, 2018
Due to the U.S. Department of Housing and Urban Development
by June 30, 2018**

The State of Alabama's PY2017 Consolidated Annual Performance Evaluation Report (CAPER) Attachments include the following Section 3 Summary Report documents for the reporting period of October 1, 2016 through September 30, 2017:

1. **Attachment 1: Section 3 Summary Report (10/1/2016-9/30/2017):
CDBG Program**
2. **Attachment 2: Section 3 Summary Report (10/1/2016-9/30/2017):
CDBG-DR Disaster Program**
3. **Attachment 3: Section 3 Summary Report (10/1/2016-9/30/2017):
ESG Program**
4. **Attachment 4: Section 3 Summary Report (10/1/2016-9/30/2017):
Neighborhood Stabilization Program / NSP**

Attachment 1: Section 3 Summary Report
(10/1/2016-9/30/2017): CDBG Program

Section 3 Summary Report

Economic Opportunities for
Low – and Very Low-Income Persons

U.S. Department of Housing
and Urban Development
Office of Fair Housing
And Equal Opportunity

OMB Approval No: 2529-0043
(exp. 11/30/2010)

HUD Field Office:

Section back of page for Public Reporting Burden statement

1. Recipient Name & Address: (street, city, state, zip) STATE OF ALABAMA 401 ADAMS AVE PO BOX 5690, MONTGOMERY, AL 36103	2. Federal Identification: (grant no.) 63-6000619	3. Total Amount of Award: \$16,938,738
	4. Contact Person Kathleen Rasmussen, Unit Chief	5. Phone: (Include area code) 334-353-0323
	6. Length of Grant: PY2009-PY2015	7. Reporting Period: 10/1/2016 - 9/30/2017
8. Date Report Submitted: 5/31/18	9. Program Code: (Use separate sheet for each program code) 8	10. Program Name: Community Development Block Grants

Part I: Employment and Training (** Columns B, C and F are mandatory fields. Include New Hires in E & F)

A Job Category	B Number of New Hires	C Number of New Hires that are Sec. 3 Residents	D % of Aggregate Number of Staff Hours of New Hires that are Sec. 3 Residents	E % of Total Staff Hours for Section 3 Employees and Trainees	F Number of Section 3 Trainees
Professionals	0	0			0
Technicians	0	0			0
Office/Clerical	0	0			0
Construction by Trade (List Trade					
Trade					
Trade					
Trade					
Trade					
Other (List)					
Laborer Pipelayer	6	2			0
Laborer General/Common	13	5			0
Trackhoe Operator	6	0			0
Backhoe Operator	5	2			0
Operator Dozer	2	0			0
Asphalt Raker	2	0			0
Painter	1	1			1
Multi Axle Truck Driver	1	0			0
Concrete Finisher	3	0			0
Total	39	10	0	0	1

* Program Codes
1 = Flexible Subsidy
2 = Section 202/811

3 = Public/Indian Housing
A = Development,
B = Operation
C = Modernization

4 = Homeless Assistance
5 = HOME
6 = HOME State Administered
7 = CDBG Entitlement

8 = CDBG State Administered
9 = Other CD Programs
10 = Other Housing Programs

Part II: Contracts Awarded

1. Construction Contracts: **Reported in CDBG Dollars.**

A. Total dollar amount of all contracts awarded on the project	\$ \$14,145,699
B. Total dollar amount of contracts awarded to Section 3 businesses	\$ \$196,590
C. Percentage of the total dollar amount that was awarded to Section 3 businesses	1.39 %
D. Total number of Section 3 businesses receiving contracts	(1)

2. Non-Construction Contracts:

A. Total dollar amount all non-construction contracts awarded on the project/activity	\$ \$2,793,039
B. Total dollar amount of non-construction contracts awarded to Section 3 businesses	\$ \$0
C. Percentage of the total dollar amount that was awarded to Section 3 businesses	0 %
D. Total number of Section 3 businesses receiving non-construction contracts	0

Part III: Summary

Indicate the 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 assistance for housing. (Check all that apply.)

- Attempted to recruit low-income residents through: local advertising media, signs prominently displayed at the project site, contracts with the community organizations and public or private agencies operating within the metropolitan area (or nonmetropolitan county) in which the Section 3 covered program or project is located, or similar methods.
- Participated in a HUD program or other program which promotes the training or employment of Section 3 residents.
- Participated in a HUD program or other program which promotes the award of contracts to business concerns which meet the definition of Section 3 business concerns.
- Coordinated with Youthbuild Programs administered in the metropolitan area in which the Section 3 covered project is located.
- Other; describe below.

See Attached Comments.

Public reporting for this collection of information is estimated to average 2 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB number.

Section 3 of the Housing and Urban Development Act of 1968, as amended, 12 U.S.C. 1701u, mandates that the Department ensures that employment and other economic opportunities generated by its housing and community development assistance programs are directed toward low- and very-low income persons, particularly those who are recipients of government assistance housing. The regulations are found at 24 CFR Part 135. The information will be used by the Department to monitor program recipients' compliance with Section 3, to assess the results of the Department's efforts to meet the statutory objectives of Section 3, to prepare reports to Congress, and by recipients as self-monitoring tool. The data is entered into a database and will be analyzed and distributed. The collection of information involves recipients receiving Federal financial assistance for housing and community development programs covered by Section 3. The information will be collected annually to assist HUD in meeting its reporting requirements under Section 808(e)(6) of the Fair Housing Act and Section 916 of the HCDA of 1992. An assurance of confidentiality is not applicable to this form. The Privacy Act of 1974 and OMB Circular A-108 are not applicable. The reporting requirements do not contain sensitive questions. Data is cumulative; personal identifying information is not included.

Attachment 2: Section 3 Summary Report
(10/1/2016-9/30/2017):
CDBG-DR Disaster Program

Section 3 Summary Report

Economic Opportunities for
Low – and Very Low-Income Persons

U.S. Department of Housing
and Urban Development
Office of Fair Housing
And Equal Opportunity

OMB Approval No: 2529-0043
(exp. 11/30/2010)

HUD Field Office:

Section back of page for Public Reporting Burden statement

1. Recipient Name & Address: (street, city, state, zip) STATE OF ALABAMA 401 ADAMS AVE PO BOX 5690, MONTGOMERY, AL 36103	2. Federal Identification: (grant no.) <small>B-12-DT-01-0001, B-13-DS-09-0001,</small> 4. Contact Person Kathleen Rasmussen, Unit Chief 6. Length of Grant: 7 years	3. Total Amount of Award: \$4,930,797 5. Phone: (Include area code) 334-353-0323 7. Reporting Period: 10/1/2016 - 9/30/2017 10. Program Name: Disaster Recovery Grants
8. Date Report Submitted: 5/31/2018	9. Program Code: (Use separate sheet for each program code) <small>8</small>	

Part I: Employment and Training (Columns B, C and F are mandatory fields. Include New Hires in E & F)**

A Job Category	B Number of New Hires	C Number of New Hires that are Sec. 3 Residents	D % of Aggregate Number of Staff Hours of New Hires that are Sec. 3 Residents	E % of Total Staff Hours for Section 3 Employees and Trainees	F Number of Section 3 Trainees
Professionals	0	0			0
Technicians	0	0			0
Office/Clerical	0	0			4
Construction by Trade (List Trade	0	0			0
Trade					
Other (List)					
Laborer Common	0	0			0
Carpenter	0	0			7
Restaurant Services	0	0			0
Beauty Service Providers	0	0			0
Event Planning	0	0			0
Auto/Appliance Sales	0	0			0
Electrical Services	0	0			0
Convenience Stores	0	0			0
Moving Services	0	0			0
Wellness Services	0	0			0
Childcare Services	0	0			0
Total	0	0	0	0	11

* Program Codes
1 = Flexible Subsidy
2 = Section 202/811

3 = Public/Indian Housing
A = Development,
B = Operation
C = Modernization

4 = Homeless Assistance
5 = HOME
6 = HOME State Administered
7 = CDBG Entitlement

8 = CDBG State Administered
9 = Other CD Programs
10 = Other Housing Programs

Part II: Contracts Awarded

1. Construction Contracts:

A. Total dollar amount of all contracts awarded on the project	\$ 4,845,229
B. Total dollar amount of contracts awarded to Section 3 businesses	\$ 46,765
C. Percentage of the total dollar amount that was awarded to Section 3 businesses	1.0 %
D. Total number of Section 3 businesses receiving contracts	2

2. Non-Construction Contracts:

A. Total dollar amount all non-construction contracts awarded on the project/activity	\$ 85,568
B. Total dollar amount of non-construction contracts awarded to Section 3 businesses	\$ 0
C. Percentage of the total dollar amount that was awarded to Section 3 businesses	0 %
D. Total number of Section 3 businesses receiving non-construction contracts	0

Part III: Summary

Indicate the 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 assistance for housing. (Check all that apply.)

- Attempted to recruit low-income residents through: local advertising media, signs prominently displayed at the project site, contracts with the community organizations and public or private agencies operating within the metropolitan area (or nonmetropolitan county) in which the Section 3 covered program or project is located, or similar methods.
- Participated in a HUD program or other program which promotes the training or employment of Section 3 residents.
- Participated in a HUD program or other program which promotes the award of contracts to business concerns which meet the definition of Section 3 business concerns.
- Coordinated with Youthbuild Programs administered in the metropolitan area in which the Section 3 covered project is located.
- Other; describe below.

See Attached Comments.

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Section 3 of the Housing and Urban Development Act of 1968, as amended, 12 U.S.C. 1701u, mandates that the Department ensures that employment and other economic opportunities generated by its housing and community development assistance programs are directed toward low- and very-low income persons, particularly those who are recipients of government assistance housing. The regulations are found at 24 CFR Part 135. The information will be used by the Department to monitor program recipients' compliance with Section 3, to assess the results of the Department's efforts to meet the statutory objectives of Section 3, to prepare reports to Congress, and by recipients as self-monitoring tool. The data is entered into a database and will be analyzed and distributed. The collection of information involves recipients receiving Federal financial assistance for housing and community development programs covered by Section 3. The information will be collected annually to assist HUD in meeting its reporting requirements under Section 808(e)(6) of the Fair Housing Act and Section 916 of the HCDA of 1992. An assurance of confidentiality is not applicable to this form. The Privacy Act of 1974 and OMB Circular A-108 are not applicable. The reporting requirements do not contain sensitive questions. Data is cumulative; personal identifying information is not included.

Attachment 3: Section 3 Summary Report
(10/1/2016-9/30/2017):
ESG Program

Part II: Contracts Awarded

1. Construction Contracts:

A. Total dollar amount of all contracts awarded on the project	\$
B. Total dollar amount of contracts awarded to Section 3 businesses	\$
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:

A. Total dollar amount all non-construction contracts awarded on the project/activity	\$
B. Total dollar amount of non-construction contracts awarded to Section 3 businesses	\$
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	

Part III: Summary

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Attachment 4: Section 3 Summary Report
(10/1/2016-9/30/2017):
Neighborhood Stabilization Program / NSP

Part II: Contracts Awarded

1. Construction Contracts:

A. Total dollar amount of all contracts awarded on the project	\$ 497,105
B. Total dollar amount of contracts awarded to Section 3 businesses	\$ 1,250
C. Percentage of the total dollar amount that was awarded to Section 3 businesses	0.25 %
D. Total number of Section 3 businesses receiving contracts	1

2. Non-Construction Contracts:

A. Total dollar amount all non-construction contracts awarded on the project/activity	\$ 0
B. Total dollar amount of non-construction contracts awarded to Section 3 businesses	\$ 0
C. Percentage of the total dollar amount that was awarded to Section 3 businesses	0 %
D. Total number of Section 3 businesses receiving non-construction contracts	0

Part III: Summary

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SECTION 3 Report Attachment **Part III: Summary Comments**

CDBG:

All Grant subrecipients are made aware of the Section 3 requirements and are advised on how to recruit Section 3 businesses and individuals, through semi-annual workshop presentations made by ADECA. Construction contractors bidding on CDBG related contracts are made aware of Section 3 goals through pre-bid meetings and preconstruction conferences. Every CDBG project is monitored by ADECA to track the local Section 3 recruitment attempts through advertising and disseminating project information to the appropriate groups that include the Alabama Small Business Development Center, Alabama's Office of Minority Business Enterprise, Alabama Department of Transportation Business Database, local Public Housing Authorities, as well as other local business recruiters which may operate in the project areas.

The heavy construction activities most commonly undertaken in CDBG projects are typically awarded to contractors who usually already have a preexisting crew of employees to perform the work on the projects. Because these contractors are the low bidders awarded these contracts, Section 3 recruitment is not always achievable in the time allotted for each project to be completed within a timely manner so that the CDBG projects can be closed out by ADECA. However, the State continues to strive toward achieving the Section 3 goals through its continued administration of the CDBG program in Alabama's non-entitlement areas.

DTR:

All 2012 and 2013 Disaster Grant subrecipients are located in the areas of Alabama that were affected by the April 2011 tornados. These subrecipients are made aware of the Section 3 requirements and are advised on how to recruit Section 3 businesses and individuals to work on the Disaster Grant projects through public hearings held by ADECA at the local government level prior to the start of each round of Disaster Grant funding. Construction contractors bidding on these Disaster Grant related contracts are made aware of Section 3 goals through pre-bid meetings and preconstruction Conferences conducted by the local government subrecipients and their own administrative staff. Every Disaster Grant project is monitored by ADECA to track the local Section 3 recruitment attempts through advertising and

disseminating project information to the appropriate groups that include the Alabama Small Business Development Center, Alabama's Office of Minority Business Enterprise, Alabama Department of Transportation Business Database, local Public Housing Authorities, as well as other local business recruiters which may operate in the project areas.

The heavy construction activities most commonly undertaken in Disaster Grant projects are typically awarded to contractors who usually already have a preexisting crew of employees to perform the work on the projects (which include multi-family housing/apartment complex construction, single family housing rehabilitation, farmer's market construction, town hall/fire station/police station construction, grocery store construction, and infrastructure construction that includes roads, streets, water and sewer systems construction, and demolition). Because these contractors are the low bidders awarded these contracts, Section 3 recruitment is not always achievable in the time allotted for each Disaster Grant project to be completed within a timely manner so that the projects can be closed out by ADECA. However, the State continues to strive toward achieving the Section 3 goals through its continued administration of the Disaster Grant program in Alabama's tornado affected areas.