Montana Department of Commerce – Community Development and Housing Programs

**CONTRACT AND EMPLOYMENT REPORTING FORM**

This form is used for DBE/MBE/WBE and Section 3 Reporting and must be submitted with each request for reimbursement. Reporting is cumulative for the entire duration of a project; thus, this form must be filled out by the grantee at first draw and updated with each subsequent draw.

*NOTE: Employers who do not track labor hours in detail through a time and attendance system will not be required to acquire such a system.*

*They may provide a good faith assessment of the labor hours worked.*

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| Grant Recipient Name: |  | Contact Person: |  | [ ] Draw 1 |
| Grant Recipient Address: |  | Phone Number: |  | [ ] Draw 2 |
| Grant Contract Number: |  | Date Submitted: |  | [ ] Draw 3 |
| *Part I: Employment (Section 3)* |  |  |  | [ ] Draw 4 |

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| --- | --- | --- | --- | --- | --- | --- | --- |
| (A)  Employer Name | (B)  Employer Role | (C)  Number of Hours Worked All Workers | (D)  Number of Hours Worked Section 3 Workers | (E)  Number of Hours Worked Targeted Section 3 Workers | (F)  Percent Hours Worked Section 3 Workers | (G)  Percent Hours Worked Targeted Section 3 Workers | Notes |
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| **TOTALS:** | |  |  |  |  |  |  |

**Instructions to complete Part I:**

1. **Employer Name [Column A]**. Enter the name of the employer contributing to the Section 3 covered project.
2. **Employer Role [Column B]**. Enter the role of the employer in the Section 3 covered project. For example, grantee, contractor, subcontractor.
3. **Number of Hours Worked by All Workers [Column C].** Enter the total number of hours worked on the Section 3 covered project by all employees of the employer.
4. **Number of Hours Worked by Section 3 Workers [Column D].** Enter the total number of hours worked on the Section 3 covered project by employees of the employer who qualify as Section 3 workers. *A Section 3 worker means any worker who currently fits or when hired within the past 5 years fit at least one of the following categories, as documented: (1) The worker’s income for the previous or annualized calendar year is below the income limit established by the U.S. Department of Housing and Urban Development; (2) The worker is employed by a Section 3 business concern; or (3) The worker is a YouthBuild participant. Definition does not exclude an individual that has a prior arrest or conviction.*
5. **Number of Hours Worked by Targeted Section 3 Workers [Column E].** Enter the total number of hours worked on the Section 3 covered project by all employees of the employer who qualify as targeted Section 3 workers. *A targeted Section 3 worker means a Section 3 worker who is: (1) A worker employed by a Section 3 business concern; or (2) A worker who currently fits or when hired within the past 5 years fit at least one of the following categories, as documented: (i) Living within the service area or the neighborhood of the project; or (ii) A YouthBuild participant. Definition does not exclude an individual that has a prior arrest or conviction.*
6. **Percent of Hours Worked by Section 3 Workers [Column F].** Enter as a percent the number of hours worked by Section 3 workers relevant to aggregate hours worked by all workers. For example, if Section 3 workers contributed 25 hours and all employees combined (Section 3 workers included) contributed 100 hours, 25% (25/100=0.25).
7. **Percent of Hours Worked by Targeted Section 3 Workers [Column G].** Enter as a percent the number of hours worked by targeted Section 3 workers relevant to aggregate hours worked by all workers. For example, if targeted Section 3 workers contributed 5 hours and all employees combined (targeted Section 3 workers included) contributed 100 hours, 5% (5/100=0.05).

*Part II: Benchmarks (Section 3)*

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| (1) Was at least 25% of labor hours worked by all workers on the Section 3 covered project contributed by Section 3 workers? (To date) | Yes/No |
| (2) Was at least 5% of the total hours worked by all workers on the Section 3 covered project contributed by targeted Section 3 workers? (To date) | Yes/No |

Answering NO to any of the questions above indicates that you have not met Section 3 benchmarks, which are minimum targets established by HUD. If your project is covered by Section 3, indicate below the specific efforts you are taking or undertook to meet the benchmarks.

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|  | Conducting outreach efforts to generate job applicants who are targeted Section 3 workers |
|  | Providing training or apprenticeship opportunities |
|  | Providing technical assistance to help Section 3 workers compete for jobs (e.g., resume assistance, coaching) |
|  | Providing or connecting Section 3 workers with assistance in seeking employment including drafting resumes, preparing for interviews, referring to job placement services, and finding job opportunities |
|  | Holding job fairs |
|  | Providing or referring Section 3 workers to services supporting work readiness and retention (e.g., work readiness activities, interview clothing, test fees, transportation, childcare) |
|  | Providing assistance to apply for or attend a community college or 4-year education institution or to receive vocational or technical training |
|  | Assisting Section 3 workers to obtain financial literacy training and/or coaching |
|  | Engaging in outreach efforts to identify and secure bids from Section 3 business concerns |
|  | Providing technical assistance to help Section 3 business concerns understand and bid on contracts |
|  | Dividing contracts into smaller jobs to facilitate participation by Section 3 business concerns |
|  | Providing bonding assistance, guaranties, or other efforts to support viable bids from Section 3 business concerns |
|  | Promoting use of business registries designed to create opportunities for disadvantaged and small businesses |
|  | Other (specify): |

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| *Part III: Contracts (DBE/MBE/MBE)* |

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| (A) Contractor’s Montana Registration Number | (B)  Amount of Contract | (C)  Type of Trade (see codes below) | (D)  Business Ethnicity, Racial Category and Gender (see codes below) | (E)  Contractor Identification (ID) Number | (F)  Subcontractor Identification (ID) Number | (G)  Section 3  (Y/N) | (H)  Contractor/Subcontractor Name and Address | | | | |
| Name | Street | City | State | Zip |
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**Instructions to complete Part III:**

1. **Contractor's Montana Registration Number [Column A]**. Enter the contractor's license number.
2. **Amount of Contract [Column B]**. Enter the dollar amount of the contract or subcontract. Round to the nearest thousand dollars. If subcontractor ID number is provided, the dollar figure would be for the subcontract only, not the prime contract.
3. **Type of Trade [Column C]**. Enter the numeric code that best indicates the contractor’s/subcontractor’s service. If subcontractor ID number is provided, the code would be for the subcontractor only, not the prime contractor.

1 = New Construction 6 = Professional

2 = Substantial Rehab. 7 = Tenant Services

3 = Repair 8 = Education/Training

4 = Service 9 = Arch./Engrg. Appraisal

5 = Project Mgmt. 0 = Other

1. **Business Ethnicity, Racial Category, and Gender [Column D]**. Enter all the appropriate racial, ethnicity and gender codes that indicate the racial, ethnic and gender background of the contractor or subcontractor. If the subcontractor ID number is provided, the code would apply to the subcontractor only, not the prime contractor.

1 = White Americans 4 = Hispanic Americans

2 = Black Americans 5 = Asian/Pacific Americans

3 = Native Americans 6 = Hasidic Jews

1. **Contractor Identification (ID) Number [Column E]**. Enter the Employer (IRS) Number of the prime contractor as the unique identifier for the prime recipient of grant funds. Note that the Employer’s Number must be provided for each contract or subcontract awarded.
2. **Subcontractor Identification (ID) Number [Column F]**. Enter the Employer (IRS) Number of the subcontractor as the unique identifier for each subcontract awarded from grant funds. Note that when the subcontractor ID number is provided, the respective prime contractor ID number must also be provided.
3. **Section 3 [Column G]**. Indicate whether the contractor or subcontractor is a Section 3 business, documented within the last 6-month period, defined as follows: (1) At least 51% owned and controlled by low- or very low-income persons; (2) Over 75% of the labor hours performed for the business over the prior 3-month period are performed by Section 3 workers; or (3) At least 51% owned and controlled by current public housing residents or residents who currently live in Section 8-assisted housing. The status of a Section 3 business concern shall not be negatively affected by a prior arrest or conviction of its owner(s) or employees.
4. **Contractor/Subcontractor Name and Address [Column H]**. Enter the name and address information for each firm receiving contract or subcontract activity. This information needs to be provided only one time on each report for each firm.