

**Utilization of Section 3 Residents and Businesses Report**

All recipients of a single CDBG, HOME, federal HTF or other HUD award in excess of $200,000 for housing and community development projects must complete this form. More information in instructions below.

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| 1. Awardee/Recipient Name & Address (street, city, state, zip):  | 2. Project ID/SHARS #:  |  | 3. Date of Report:  |
|       |       |       |
| 4. Section 3 Coordinator:  |  | 5. Phone (w/ area code):  |
|       |       |
| 6. Email Address:  |  | 7. Reporting Period  |
|       | [ ]  Jan. 1-July 1, 20\_\_     [x]  **Jan. 1-Dec. 31, 2019** |
| 8. HUD Funding Source: (CDBG, HOME LPA, HOME Capital, HTF, NSG) | 9. Dollar Amount of HUD Assistance: | 10. Project Name  |  |
|       |       |       |
| **Part I: Employment and Training (Goal is 30% of New Hires to Section 3 Residents – includes residents of local public housing authority, Section 8 voucher holders, YouthBuild participants and other low-income individuals)\***  |
| **A**Job Category | **B**# of New Hires **during this reporting period** | **C**# of New Hires that are Section 3 Residents | **D**% of Aggregate # of Staff Hours of New Hires that are Sec. 3 Residents**(optional)** | **E**% of Total Staff Hours for Section 3 Employees and Trainees**(optional)** | **F**# of Section 3 Trainees |
| Professionals  |       |       |       |       |       |
| Technicians  |       |       |       |       |       |
| Office/Clerical  |       |       |       |       |       |
| Construction by Trade (list trade)  |  |
|       |       |       |       |       |       |
|       |       |       |       |       |       |
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|       |       |       |       |       |       |
| Other (list)  |  |
|       |       |       |       |       |       |
| **Total** |       |       |       |       |       |
|  |
| **Part II: Contracts Awarded\*** |
| **1. Construction Contracts (Goal is 10% going to Section 3 businesses):** |
|  A. Total dollar amount of all contracts awarded on the project during this reporting period | $      |
|  B. Total dollar amount of contracts awarded to Section 3 businesses during this reporting period | $      |
|  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 (Goal is 3% going to Section 3 businesses):** |
|  A. Total dollar amount of all non-construction contracts awarded on the project during this reporting period | $      |
|  B. Total dollar amount of non-construction contracts awarded to Section 3 businesses during this reporting period | $      |
|  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 |       |

**Reporting for Section 3 Subs**

**\*NOTE: You are responsible for reporting in this form *all Section 3 hiring and contracting conducted by your contractors and sub-contractors who are subject to Section 3(“Section 3 Contractors or Subcontractors”)*.** Section 3 Contractors and Subcontractors are those who have a single contract with You (Recipient/Awardee), your contractor or their sub-contractor that is over $100,000, and therefore are subject to the same Section 3 goals and requirements. For example, if you write “0” for “Number of New Hires” in Column B, you are saying that neither you *nor any of your Section 3 Contractors or Subcontractors* did any hiring during the reporting period.

[ ]  **Check here** to certify that this reporting form includes all Section 3 hiring and contracting during this reporting period conducted by any of your Section 3 Contractors or Subcontractors (that have contracts over $100,000).

[ ]  **Check here** if you did not have any Section 3 Contractors or Subcontractors (that have contracts over $100,000) during this reporting period.

**Section 3 Preferences Certifications**

[ ]  **Check here** to certify that, if hiring occurred by You or your Section 3 Contractors or Subcontractors during this reporting period, preference was given, to the greatest extent feasible, to qualified Section 3 residents, if any applied, in accordance with your Section 3 Participation Plan. [ ]  **Check here** if You or your Section 3 Contractors or Subcontractors did not hire anybody in this reporting period.

[ ]  **Check here** to certify that, to extent contracts (including in professional services contracts) were awarded by You or your Section 3 Contractors or Subcontractors on this project during this reporting period, preference was given, to the greatest extent feasible, to applications or proposals by qualified Section 3 businesses, if any, in accordance with your Section 3 Participation Plan. [ ]  **Check here** if you did not award any contracts this reporting period.

[ ]  **Check here** to certify that the [Section 3 clause](https://hcr.ny.gov/system/files/documents/2018/11/section3clause.pdf) was included in all contracts with Section 3 Contractors and Subcontractors (that have contracts over $100,000).

**List any Section 3 Business Concerns Utilized on Project, if any**

|  |  |  |
| --- | --- | --- |
| **Name** | **Industry** | **Contact Information/Address** |
|       |       |       |
|       |       |       |
|       |       |       |

**Part III: Narrative for Not Meeting Goals & Additional Information.** If you did not meet the Section 3 goals for this reporting period, describe why it was not feasible, including any impediments encountered in spite of action taken. Describe and include evidence of all efforts taken and any remedial measures you will take to meet Section 3 goals(Attach additional pages as necessary). A Guidance checklist is available here to provide guidance on Greatest Extent Feasible Efforts: <https://hcr.ny.gov/section-3-compliance#forms-and-templates>

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**I certify that I am duly authorized by Awardee/Recipient, listed above, to make certifications as to Section 3 compliance by Awardee/Recipient, and that the information within this form and appended to it is true and accurate. Non‐compliance with the requirements of Section 3 may result in sanctions, terminations of this contract for default and debarment or suspension from future HUD-assisted contracts.**

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| --- | --- | --- | --- | --- | --- |
|       |  |       |  |       | [ ] Click here if signing electronically |
| Signature of Official |  | Name |  | Date |

 **Instructions for Completing the FEHO Section 3 Form**

**Instructions:** This form is to be used to report the accomplishments regarding employment and other economic opportunities provided to low‐and very low‐income persons under Section 3 regulations of the HUD Act of 1968. This regulation states that “to the greatest extent feasible,” an effort must be made to have **30% of new hires be Section 3 residents**; and to contract with Section 3 businesses in an amount which is at a minimum of **10% of all contracts for construction work** generated on this project, and at least **3% of the total amount for all other contracts** (including professional services). This regulation applies to all recipients of housing and community development assistance in excess of **$200,000** expended for: (1) housing rehabilitation (including reduction and abatement of lead‐based paint hazards); (2) housing construction; or (3) other public construction projects; **and to contracts and subcontracts in excess of $100,000 (Section 3 Contractors &Subcontractors)**. **Section 3 Residents** include local public housing residents, Section 8 voucher holders, participants in Youthbuild programs and low- and very low-income persons. To determine low- and very-low income levels for your area, visit: <https://www.huduser.gov/portal/datasets/il/il2019/select_Geography.odn>. **Section 3 Businesses** include those at least 51% or more owned by Section 3 residents, those whose employees consist of at least 30% Section 3 residents (or who were a Section 3 resident within the last 3 years) and those who provide evidence of a commitment to subcontract more than 25% of the all subcontracts to a Section 3 business. For more information: <https://hcr.ny.gov/section-3-compliance>

**Part I: Employment and Training Opportunities**

Column A: Contains various job categories. Professionals are defined as people who have special knowledge of an occupation (i.e.: supervisors, architects, surveyors, planners, and computer programmers). For construction positions, list each trade and provide data in columns B through F for each trade where persons were employed. The category of “Other” includes occupations such as service workers.

Column B: Enter the number of new hires for each category of workers identified in Column A in connection with this award. New hire refers to a person who is not on the contractor’s or recipient’s payroll for employment at the time of selection for the Section 3 covered award or at the time of receipt of Section 3 covered assistance.

Column C: Enter the number of Section 3 new hires for each category of workers identified in Column A in connection with this award. Section 3 new hire refers to a Section 3 resident who is not on the contractor’s or recipient’s payroll for employment at the time of selection for the Section 3 covered award or at the time of receipt of Section 3 covered assistance.

Column D: Enter the percentage of all the staff hours of new hires (Section 3 residents) in connection with this award. Optional.

Column E: Enter the percentage of the total staff hours worked for Section 3 employees and trainees (including new hires) connected with this award. Include staff hours for part‐time and full‐time positions. Optional.

Column F: Enter the number of Section 3 residents that were employed and trained in connection with this award.

**Part II: Contract Opportunities**

*Block* 1*:* Construction Contract*s*

Item A: Enter the total dollar amount of all contracts awarded on the project/program *during this reporting period only*. Mid-year reports cover the first 6 months of the year, and end-of-year reports cover the full year.

Item B: Enter the total dollar amount of contracts connected with this project/program that were awarded to Section 3 businesses. Item C: Enter the percentage of the total dollar amount of contracts connected with this project/program awarded to Section 3 businesses.

Item D: Enter the number of Section 3 businesses receiving awards.

*Block* 2*: Non‐Construction* Contract*s*

Item A: Enter the total dollar amount of all contracts awarded on the project/program *during this reporting period only*. Mid-year reports cover the first 6 months of the year, and end-of-year reports cover the full year.

Item B: Enter the total dollar amount of contracts connected with this project/program that were awarded to Section 3 businesses. Item C: Enter the percentage of the total dollar amount of contracts connected with this project/program awarded to Section 3 businesses.

Item D: Enter the number of Section 3 businesses receiving awards.