



Fair and Equitable Housing Office

www.nyshcr.org
E-mail: FEHO@nyshcr.org

Utilization of Section 3 Residents and Businesses

1. Recipient Name & Address (street, city, state, zip):	2. SHARS #:	3. Dollar Amount of Award:
	4. Contact Person:	5. Phone (w/ area code):
	6. Reporting Period	7. Date Report Submitted:
	8. Program Code* (use a separate sheet for each program code)	9. Project Name:

Part I: Employment and Training (Include New Hires in Columns E and F)

A Job Category	B # of New Hires	C # of New Hires that are Section 3 Residents	D % of Aggregate # of Staff Hours of New Hires that are Sec. 3 Residents	E % of Total Staff Hours for Section 3 Employees and Trainees	F # of Section 3 Trainees
Professionals					
Technicians					
Office/Clerical					
Construction by Trade (list trade)					
Other (list)					
Total	0	0	0	0	0

***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 Program
10=Other Housing Programs

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 of 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: Waiver Request Indicate the “Good Faith 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 housing. (Check all that apply and provide documentation and a narrative of the outcome.)

_____ Attempted to recruit low-income residents through: local advertising media, signs prominently displayed at project site, contacts with community organizations and public or private agencies operating within the metropolitan area (or non-metropolitan county) in which Section 3 covered program or project is located, or similar method.

_____ 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 concern.

_____ Coordinated with Youthbuild Programs administered in the metropolitan area in which the Section 3 covered project is located.

Signature of Company Official

Date

Non-compliance with the requirements of Section 3 may result in sanctions, termination of this contract for default and debarment or suspension from future HUD assisted contracts.

Instructions for Completing Form ADM-197

Important: For HOME projects, this report must be included with your Close-Out Submission. For HOME LPA projects this report is to be included with your Annual Performance Report.

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,” a good faith effort must be made to train and employ Section 3 residents as new hires which total a minimum of 30% of your labor amount; and to contract with Section 3 businesses in an amount which is at a minimum of 10% of the total amount of the contract for building trades, housing construction or rehab and at least 3% of the total amount for all other contracts. 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.

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.

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.

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 Contracts

Item A: Enter the total dollar amount of all contracts awarded on the project/program.

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 Contracts

Item A: Enter the total dollar amount of all contracts awarded on the project/program.

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.