



Section 3 Contractor Guide

Housing Authority of the City of Austin

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Housing Authority of the City of Austin

Section 3 Program

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INTRODUCTION

The Housing Authority of the City of Austin (HACA) has compiled this Section 3 Contractor Guide to assist contractors and subcontractors in complying with the requirements of Section 3 of the Housing and Urban Development (HUD) Act of 1968, as amended by Section 915 of the Housing and Community Development Act of 1992 (hereafter “Section 3”). Section 3 requires that, to the greatest extent feasible, employment and other economic opportunities generated by HUD funds be directed to low-income residents, particularly those who are recipients of government assistance for housing, and to business concerns which provide economic opportunities to low-income persons. The HUD regulations at [24 CFR Part 135](#) establish the standards to be met by Public Housing Authorities, such as HACA, to ensure that the requirements of Section 3 are met.

HACA is committed to helping the residents of its public housing communities, its Section 8 Housing Choice Voucher (HCV) holders, and other qualified low-income persons residing in the Austin-Round Rock-San Marcos Metropolitan Statistical Area (MSA), achieve their goals of self-sufficiency by providing opportunities for training and employment. The Austin-Round Rock-San Marcos MSA includes the following counties: Bastrop, Caldwell, Hays, Travis, and Williamson. HACA’s policy will provide economic opportunities for low and very-low income persons of this area; and to businesses that provide these opportunities for low and very-low income persons. These opportunities will be in the form of training, contracting and employment.

SECTION 3 FAQ’s

1. Who are Section 3 Residents?

- a. A public housing resident; or
- b. A [low income](#) person residing in the Austin-Round Rock-San Marcos MSA (includes Bastrop County, Caldwell County, Hays County, Travis County, and Williamson County).

FY 2016 Income Limit Category	1 Person	2 Person	3 Person	4 Person	5 Person	6 Person	7 Person	8 Person
Low (80%) Income Limits	\$ 43,600	\$ 49,800	\$ 56,050	\$ 62,250	\$ 67,250	\$ 72,250	\$ 77,200	\$ 82,200

2. What is a Section 3 Business Concern?

Section 3 Business Concerns are businesses that meet one of the following:

- a. 51% or more owned by Section 3 residents; or
- b. At least 30% of its full time employees are Section 3 residents, or were Section 3 residents within three years of the date of first hire; or
- c. Provide evidence of a commitment to subcontract to Section 3 business concerns, 25% or more of the dollar amount of the awarded contract.

3. What is a Section 3 covered contract?

A Section 3 covered contract is a contract or subcontract, including a professional service contract, awarded by HACA for work generated by HUD funds.

4. When is Section 3 triggered?

Section 3 requirements are only *triggered* when the need for new jobs and/or contracting opportunities are created during the completion of covered contracts. Section 3 residents are not guaranteed employment and Section 3 business concerns are not guaranteed contracts. They must receive preference when demonstrating they meet the qualifications for these new opportunities.

5. Numerical goals and preference (priority):

- a. *Employment*: Contractors and subcontractors will make every effort within their disposal to obtain a minimum of thirty percent (30%) of the total number of new hires annually shall be Section 3 residents, in the following order of priority:
 - i. Priority 1: Residents of the housing development or developments for which the contract shall be performed or the Section 3 covered assistance is expended.
 - ii. Priority 2: Residents of other housing developments managed by HACA.
 - iii. Priority 3: Participants in HUD Youthbuild programs being carried out in the Austin-Round Rock-San Marcos metropolitan statistical area.
 - iv. Priority 4: HACA's HCV holders, as well as all other residents residing in the Austin-Round Rock-San Marcos MSA who meet the income guidelines for Section 3 preference.
- b. *Contracting*: Contractors and subcontractors will make every effort within their disposal to obtain the minimum goals for contracting.
 - i. Ten percent (10%) of the total dollar amount of Section 3 covered contracts for building trade work for maintenance, repair, modernization, development, rehabilitation, or construction is awarded to Section 3 business concerns.
 - ii. Three percent (3%) of the total dollar amount of all other Section 3 covered contracts (non-building trade contracts) is awarded to Section 3 business concerns.
 - iii. The following order of preference (priority) will be used:
 1. Priority 1: Business concerns that are 51% or more owned by residents of the housing development(s) for which the work is performed, or whose full-time, permanent workforce includes 30% of these persons as employees.
 2. Priority 2: Business concerns that are 51% or more owned by HACA residents other than the housing development where the work is to be performed; or whose full-time permanent workforce includes 30% of these persons as employees.
 3. Priority 3: HUD Youthbuild programs being carried out in the Austin-Round Rock-San Marcos MSA.
 4. Priority 4: Business concerns that are 51% or more owned by a Section 3 resident(s), or whose permanent full-time workforce includes no less than 30% Section 3 residents; or that subcontract in excess of 25% of the total amount of subcontracts to Section 3 business concerns.

Businesses seeking a Section 3 preference will be required to provide a certification and supporting documentation that the business is a Section 3 business concern.

For more FAQs regarding Section 3, please visit www.hacanet.org/business/Section3.php.

CONTRACTOR RESPONSIBILITIES

The responsibilities by HUD on HACA are to ensure compliance with the Section 3 requirements in its own operations and the operations of its contractor's and subcontractor's. Contractors and subcontractors must, to the greatest extent feasible, adhere to the following responsibilities:

1. Notify, encourage and facilitate employment and training opportunities to Section 3 residents generated by Section 3 covered assistance;
2. Notify, encourage and facilitate award of contracts to Section 3 businesses generated by Section 3 covered assistance;
3. Incorporate the Section 3 Clause into all Section 3 covered contracts;
4. Submit HACA Section 3 forms, meet and discuss the Section 3 requirements and responsibilities with the potential contractor/subcontractor prior to commencement of work, providing additional assistance when needed;
5. Obtaining the above mentioned numerical goals for employment and contracting is considered to be in compliance with Section 3, absent evidence to the contrary;
 - a. Examples of activities to demonstrate efforts are listed in Section I and II of Appendix to [24 CFR Part 135](#).
6. Document and maintain records throughout the duration of the contract, including Section 3 efforts, implementation activities and impediments encountered;
7. Conduct compliance reviews and evaluation of the contractor's /subcontractor's compliance with Section 3 requirements;
8. Notify contractor of non-compliance and attempt to rectify compliance directly with HACA. If required, cooperate with HUD in directing instruction to obtain compliance of regulation 24 CFR Part 135;
9. Refrain from entering into contracts with contractors that are in violation of the regulations in 24 CFR Part 135;
 - a. Continuous violations and failure to comply with Section 3 requirements may result in sanctions, termination of contract for default, and debarment or suspension from future HUD assisted contracts, 24 CFR Part 135.38 Section 3 Clause Part F.
10. Direct and fully cooperate with HACA in response to complaints that the recipient, contractor or subcontractor is not in compliance with 24 CFR Part 135.

Contractors and subcontractors will be required to be in compliance with HACA's Section 3 requirements throughout the duration of the contract. HACA may require additional certifications and information to monitor compliance and for record keeping purposes. At the completion of the contract, a final determination for compliance with the Section 3 program will be made by HACA. The contractor's compliance with the Section 3 program may be used to determine contractor responsibility and bid responsiveness on future contracting opportunities with HACA.

For more examples of efforts that will be taken to comply with the requirements of Section 3, please see [Appendix to 24 CFR Part 135](#).

SECTION 3 CLAUSE

All section 3 covered contracts shall include the following clause (referred to as the section 3 clause):

A. The work to be performed under this Contract is subject to the requirements of section 3 of the Housing and Urban Development Act of 1968, as amended, 12 U.S.C. 1701u (section 3). The purpose of section 3 is to ensure that employment and other economic opportunities generated by HUD assistance or HUD-assisted projects covered by section 3, shall, to the greatest extent feasible, be directed to low- and very low-income persons, particularly persons who are recipients of HUD assistance for housing.

B. The parties to this Contract agree to comply with HUD's regulations in 24 CFR Part 135, which implement section 3. As evidenced by their execution of this Contract, the parties to this Contract certify that they are under no contractual or other impediment that would prevent them from complying with the Part 135 regulations.

C. The Contractor agrees to send to each labor organization or representative of workers with which the Contractor has a collective bargaining agreement or other understanding, if any, a notice advising the labor organization or workers' representative of the Contractor's commitments under this section 3 clause, and will post copies of the notice in conspicuous places at the work site where both employees and applicants for training and employment positions can see the notice. The notice shall describe the section 3 preference, shall set forth minimum number and job titles subject to hire, availability of apprenticeship and training positions, the qualifications for each; and the name and location of the person(s) taking applications for each of the positions; and the anticipated date the work shall begin.

D. The Contractor agrees to include this section 3 clause in every subcontract subject to compliance with regulations in 24 CFR Part 135, and agrees to take appropriate action, as provided in an applicable provision of the subcontract or in this section 3 clause, upon a finding that the subcontractor is in violation of the regulations in 24 CFR Part 135. The Contractor will not subcontract with any subcontractor where the Contractor has notice or knowledge that the subcontractor has been found in violation of the regulations in 24 CFR Part 135.

E. The Contractor will certify that any vacant employment positions, including training positions, that are filled (1) after the Contractor is selected but before the Contract is executed, and (2) with persons other than those to whom the regulations of 24 CFR Part 135 require employment opportunities to be directed, were not filled to circumvent the Contractor's obligations under 24 CFR Part 135.

F. Noncompliance with HUD's regulations in 24 CFR part 135 may result in sanctions, termination of this contract for default, and debarment or suspension from future HUD assisted contracts.

G. With respect to work performed in connection with section 3 covered Indian housing assistance, section 7(b) of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450e) also applies to the work to be performed under this contract. Section 7(b) requires that to the greatest extent feasible (i) preference and opportunities for training and employment shall be given to Indians, and (ii) preference in the award of contracts subcontracts shall be given to Indian organizations and Indian-owned Economic Enterprises. Parties to this contract that are subject to the provisions of section and section 7(b) agree to comply with section 3 to the maximum extent feasible, but not in derogation of compliance with section 7(b).

-end of clause-

[24 CFR 135.38 Section 3 clause](#)

REPORTING

HACA must maintain appropriate records and documents to substantiate the information submitted to HUD. HACA requires contractors to submit Section 3 forms at time of bid, contract signing and/or start of a small project.

A Section 3 Compliance Report, including supporting documentation will be submitted to the Section 3 Coordinator monthly on the 10th for construction contracts and quarterly for service contracts.

COMPLAINTS

Any Section 3 resident or Section 3 business concern (or authorized representative) may file a complaint alleging noncompliance with Section 3 by HACA, one of its contractors or subcontractors.

HACA encourages complaints alleging noncompliance to be submitted directly to HACA as soon as possible after the date of action or omission; preferably no later than 90 days from the date of the action upon which the complaint is based. HACA will adhere to the following guidelines when investigating complaints:

1. The complaint may be filed via phone at (888) 842-4484, mailed certified or via other means of tracking, or delivered in person at Housing Authority of the City of Austin, 1124 S. IH 35, Austin, TX 78704.
2. The complaint must include the name and address of the person filing the complaint, name and address of the respondent (HACA or its contractor or subcontractor), and a description of acts or omissions by the respondent of the nature and date of the alleged noncompliance.
3. HACA will conduct a thorough investigation of the complaint, affording all interested parties an opportunity to submit testimony and/or evidence pertinent to the complaint. Upon completion of the investigation, HACA will notify the complainant of the results of the investigation, and any actions taken to resolve the complaint, if applicable.

Complaints may also be filled with HUD, using form HUD-958, as follows:

1. The complaint must be received within 180 days from the date of the action upon which the complaint is based.
2. A complaint must be filed at the regional HUD office where the violation occurred, HUD Fort Worth Regional Office of Fair Housing and Equal Opportunity, 801 Cherry St., Unit 45, Suite 2500, Fort Worth, TX 76102.
3. The complaint must be in writing, signed by the complainant, and include the name and address of the person filing the complaint, name and address of the respondent, and a description of acts or omissions by the respondent of the nature and date of the alleged noncompliance.

The complainant will receive a response from HUD in which further investigation will be explained.

SECTION 3 FORMS (ATTACHED)



HACA FORM S3-1 SECTION 3 CONTRACTOR COMPLIANCE

Contract/Solicitation Name or Number: _____

Contractor Subcontractor Name of Business: _____

All HACA Contractors for Section 3 covered contracts must submit this form and supporting documentation if required.

Section 3 mandates, that to the greatest extent feasible, training, employment and other economic opportunities generated by HUD funds be directed to low-income residents, particularly those who are recipients of government assistance for housing, and to business concerns which provide economic opportunities to low-income persons.

All solicitation responses must provide the following Section 3 Contractor Compliance to outline how they will, to the greatest extent feasible, meet the regulations of Section 3.

Part I: Current Status as a Section 3 Business Concern

We are a Section 3 business concern. Attach [HACA Form S3-2: Section 3 Business Certification](#).

We are not a Section 3 business concern. Attach [HACA Form S3-2: Section 3 Business Certification](#).

Part II: Hiring

We do foresee the need to hire new employees to complete this project. Every effort to obtain 30% or more of the new hires shall be Section 3 residents in order of priority. Attach [HACA Form S3-4: Hiring Plan](#).

We do not foresee the need to hire employees to complete this project. Should the need arise to hire, every effort to provide employment opportunities to Section 3 residents in order or priority will be made to the greatest extent feasible according to the numerical goals.

Part III: Subcontracting

We do foresee the need to subcontract to complete this project. Every effort will be made to ensure that 10% or more of the total dollar amount of this contract for building trade contacts, and 3% or more of the total dollar amount of this contract for non-building trade contacts, is awarded to Section 3 business concerns in order of priority. Attach [HACA Form S3-3: Subcontracting Plan](#).

We do not foresee the need to subcontract in order to complete this project. Should the need arise to subcontract every effort to provide contracting opportunities to Section 3 business concerns in order of priority shall be made to the greatest extent feasible according to the numerical goals.

Part IV: Training

We do foresee the opportunity to provide training over the course of this project in the amount of 3% or more of the total contract award, consistent with [24 CFR Part 135.11](#) in the area of Section 3 resident training. Attach and sign company letterhead describing training curriculum and supporting documentation for HACA approval, including the number of residents to be trained and value of the training.

We do not foresee the opportunity for training to during this project. Should the opportunity arise to train, other economic opportunities may be substituted upon HACA approval according to the numerical goals.

Part V: Efforts That Will be Taken to Comply With the Requirements of Section 3

Select every effort to be utilized should the need arise for hiring, training or contracting. Every effort, in order of priority, will be made to the greatest extent feasible according to the numerical goals. Please see the full list of the [Appendix to 24 CFR Part 135](#).



HACA FORM S3-1
SECTION 3 CONTRACTOR COMPLIANCE

Check all efforts for Section I and Section II.

Section I: Examples of Efforts To Offer Training and Employment Opportunities to Section 3 Residents

- Incorporate into the contract a specific number of Section 3 residents to be trained or employed.
- Enter into “first source” hiring agreements.
- Establish training programs.
- Advertise the training and employment positions by distributing and posting flyers at HACA sites.
- Advertise the training and employment positions through local media, community television networks, newspapers, and radio advertising.
- Contact resident councils or other resident organizations to assist in notifying residents of the training and employment positions to be filled.
- Sponsor a job information meeting (job fair).
- Arrange for a location on site where job applications may be delivered and collected.
- Conduct job interviews and complete job applications on site.
- Contact HUD Youthbuild programs and request their assistance in recruiting program participants.
- Employ a job coordinator.
- Maintain a file of eligible qualified Section 3 residents for future employment positions.
- Continued job training efforts as may be necessary to ensure the continued employment of S3 residents previously hired for employment opportunities.

Section II: Examples of Efforts to Award Contracts to Section 3 Business Concerns

- Utilize procurement procedures for Section 3 business concerns.
- Consider previous experience of Section 3 compliance.
- Contact business assistance agencies, minority contractors associations, and community organizations to inform them of contracting opportunities and requesting their assistance in identifying Section 3 businesses which may solicit bids or proposals.
- Advertise contracting opportunities by posting notices, which provide general information about the work to be contracted and where to obtain additional information at HACA sites.
- Provide written notice to all known Section 3 business concerns of the contracting opportunities.
- Coordinate pre-bid meetings and workshops at which Section 3 business concerns could be informed of upcoming contracting and subcontracting opportunities.
- Where appropriate, breaking out contract work items into economically feasible units to facilitate participation by Section 3 business concerns.
- Contact agencies administering HUD Youthbuild programs and notifying these agencies of the contracting opportunities.
- Advertise the contracting opportunities through trade association papers and newsletter, the local media, community television networks, newspaper of general circulation, and radio advertising.
- Develop a list of eligible Section 3 business concerns.
- Establish or sponsor programs designed to assist residents of public housing in the creation and development of resident-owned businesses.

The undersigned company official does swear or affirm that the information on this form is true and correct to the best of his/her knowledge and there is no willful intent to mislead or commit fraud.

Signature: _____

Title: _____

Print Name: _____

Date: _____



**HACA FORM S3-2
SECTION 3 BUSINESS CERTIFICATION**

Contract/Solicitation Name or Number: _____

Contractor Subcontractor Name of Business: _____

Trade/Type of Service/Work Performed: _____

Address of Business: _____
Physical Address City State Zip

Mailing Address (if different): _____
Mailing Address City State Zip

Business Phone: _____ Fax: _____

Email: _____ Website: _____

Type of Business: Corporation Partnership Sole Proprietorship Other: _____

Select the Section 3 business concern type you are claiming (A, B, C or D) and attach the required supporting documentation. IMPORTANT: Preference must be maintained for the entire contract or the contract will be in non-compliance and at risk of termination.

A. Section 3 resident-owned enterprise (51 percent or more owned by Section 3 residents).
Attach [HACA Form S3-6: Section 3 Resident Certification](#) for each owner claiming a Section 3 resident status.

I am a HACA public housing resident or Section 8 HCV resident; or
Attach proof of participation in a public assistance program; or other: _____

Attach the following documentation for business entity type, as applicable:
Copy of Articles on Incorporation Partnership Agreement
Assumed Business Name Certificate Additional documentation, as necessary
List of owners/stockholders and percentage of ownership of each

B. Section 3 status due to at least 30 percent of permanent full-time employees are Section 3 residents, or were Section 3 residents within three years of the date of first hire.
Attach [HACA Form S3-5: Existing Employee List](#). List all current full-time employees; hire date, and whether they are eligible for Section 3 resident status.

Attach [HACA Form S3-6: Section 3 Resident Certification](#) for each Section 3 eligible employee.

C. Section 3 status by subcontracting more than 25 percent of the dollar amount of the contract to Section 3 business concern(s) that meet A or B.
Attach [HACA Form S3-3: Subcontracting Plan](#). List of Section 3 business(es) and subcontract amount(s) of intended subcontract commitment.

Attach [HACA Form S3-2: Section 3 Business Certification](#) for each subcontractor claiming to be a Section 3 business concern and required supporting documentation.

D. I am not a Section 3 Business Concern.
Attach [HACA Form S3-5: Existing Employee List](#). List all current full-time employees; hire date, and whether they are eligible for Section 3 resident status

The undersigned company official does swear or affirm that the information on this form is true and correct to the best of his/her knowledge and there is no willful intent to mislead or commit fraud.

Signature: _____ Title: _____

Print Name: _____ Date: _____



HACA FORM S3-3 SUBCONTRACTING PLAN

Contract/Solicitation Name or Number: _____

Contractor Subcontractor Name of Business: _____

Section 3 goals for construction contracts are to subcontract 10% or more of construction work and 3% or more of non-construction work to Section 3 business concerns in order or priority. If the contractor has claimed Section 3 status by subcontracting, the commitment to subcontract is 25% or more of the work to Section 3 business concerns in order of priority.

List All Subcontracts and Describe Work They Will Perform		Subcontract Amount	Construction (C) or Non-Construction (NC)	Section 3 Business Concern	
1.		\$	C NC	Yes	No
2.		\$	C NC	Yes	No
3.		\$	C NC	Yes	No
4.		\$	C NC	Yes	No
5.		\$	C NC	Yes	No
Total Dollar Value Of Contract		Total Subcontract Amount	% Building Trade	% Non-Building Trade	
\$		\$	% Building Trade	% Non-Building Trade	

HUD's [Section 3 Clause](#) must be included in all contracts with subcontractors. Contractor must collect [HACA Form S3-1: Section 3 Contract Compliance](#) and [HACA Form S3-2: Section 3 Business Certification](#) and supporting documentation from each subcontractor.

The undersigned company official does swear or affirm that the information on this form is true and correct to the best of his/her knowledge and there is no willful intent to mislead or commit fraud.

Signature: _____

Title: _____

Print Name: _____

Date: _____



HACA FORM S3-4 HIRING PLAN

Contract/Solicitation Name or Number: _____

Contractor Subcontractor Name of Business: _____

Section 3 goals for hiring are that 30% or more of the total new hires shall be Section 3 residents in order of priority.

	Job Classification/Title Needed to Complete The Project	Total No. of Projected NEW HIRES and TRAINEES	Total No. of Projected SECTION 3 NEW HIRES	Total No. of Projected SECTION 3 TRAINEES	Projected HIRE DATE of new hires and trainees	Anticipated LENGTH OF HIRE (months)
Non-Construction	Officer/Supervisor:					
	Professional:					
	Technician:					
	Office/Clerical:					
	Service Worker:					
	Other:					
Construction	Journeyman:					
	Apprentice:					
	Laborer:					
	Trainee:					
	Trade:					
	Other:					
	Total					

Contractor must collect [HACA Form S3-6: Section 3 Resident Certification](#) for each new hire or trainee.

The undersigned company official does swear or affirm that the information on this form is true and correct to the best of his/her knowledge and there is no willful intent to mislead or commit fraud.

Signature: _____

Title: _____

Print Name: _____

Date: _____



**HACA FORM S3-5
EXISTING EMPLOYEE LIST**

Contract/Solicitation Name or Number: _____

Contractor Subcontractor Name of Business: _____

Total No. of Employees: _____ Total No. of Section 3 Residents: _____ _____ % of Employees are Section 3 Residents

List all current employees, specifically those who will work on the above listed HACA project. If the contractor has claimed Section 3 status due to its staff, at least 30% of the existing employees must be Section 3 residents. A list or spreadsheet may be attached in lieu of this form; however please indicate which employees are Section 3 residents.

Employee Name & Address	Hire Date	Job Classification/Title	Section 3 Resident	
			Yes	No
			Yes	No
			Yes	No
			Yes	No
			Yes	No
			Yes	No
			Yes	No
			Yes	No
			Yes	No
			Yes	No

Contractor must collect [HACA Form S3-6: Section 3 Resident Certification](#) for each Section 3 eligible employee.

The undersigned company official does swear or affirm that the information on this form is true and correct to the best of his/her knowledge and there is no willful intent to mislead or commit fraud.

Signature: _____

Title: _____

Print Name: _____

Date: _____



**HACA FORM S3-6
SECTION 3 RESIDENT CERTIFICATION**

The purpose of HUD’s Section 3 program is to provide employment, training and contract opportunities to low-income individuals whose household income is less than 80% of the area median income. Section 3 requires that, to the greatest extent feasible, employment and other economic opportunities generated by HUD funds be directed to low-income residents, particularly those who are recipients of government assistance for housing, and to business concerns which provide economic opportunities to low-income persons.

All residents of HACA public housing developments and HACA’s Housing Choice Voucher holders (Section 8) qualify as Section 3 residents. Additionally, individuals residing in the [Austin-Round Rock-San Marcos MSA](#) whose household income falls below HUD’s income limits set forth below can qualify as Section 3 residents.

Income Eligibility Guideline (FY 2016 HUD Income Limits)		
Number in Household	Low Income (80%)	Select Eligibility
1	\$43,600 or less	
2	\$49,800 or less	
3	\$56,050 or less	
4	\$62,250 or less	
5	\$67,250 or less	
6	\$72,250 or less	
7	\$77,200 or less	
8	\$82,200 or less	
I have not met the above criteria for Section 3 Resident status.		

Select County of Residence	
Bastrop	
Caldwell	
Hays	
Travis	
Williamson	
N/A	
Are you a resident of:	
Public Housing	
HCV (S8) Housing	
N/A	

Name: _____

Address: _____
Physical Address City State Zip

Mailing Address (if different): _____
Mailing Address City State Zip

Phone: _____ Email: _____

Check all that apply:

I am interested in training and employment opportunities:

Please complete page 2 or attach resume.

Release of information: I hereby authorize the Housing Authority of the City of Austin to release this information to Section 3 Contractors/Vendors for employment and training opportunities. I understand that the Housing Authority staff will regard this information as personal and confidential and will use said information for the sole purpose of assisting me with obtaining employment and/or training opportunities.

I am applying for an employment opportunity with the Housing Authority of the City of Austin:

Position/Title: _____ Job No: _____

HACA’s Section 3 Program provides Section 3 residents preference in the hiring process so long as they are qualified for the position for which they are applying. Any applicant falsely claiming a Section 3 preference will immediately be removed from consideration of employment and may be ground for termination of any employment or contract that has resulted from a false certification.

I am an employee of a HACA Contractor HACA Subcontractor. Are you a new hire? Yes No

Contract/Solicitation Name or Number: _____

Employer: _____ Hire Date: _____

Position/Title: _____ Registered Apprentice Yes No

I certify that I have voluntarily provided the above information. I understand that false statements or information is punishable under federal law.

Signature

Print Name

Date



HACA FORM S3-7
SECTION 3 COMPLIANCE SUMMARY REPORT (submitted on the 10th of each month by contractor/subcontractor)

Report Period (Month/Year): _____ Final Report Contract Name/Number: _____

Contractor Subcontractor Name of Business: _____

Contact Name: _____ Phone: _____

Email: _____

Contract Amount	Construction Awards To Date				Non-Construction Awards To Date			
	Total Amount Expended	Total Amount Expended to S3BC	% Expended to S3BC	No. of S3BC	Total Amount Expended	Total Amount Expended to S3BC	% Expended to S3BC	No. of S3BC
\$	\$	\$	%		\$	\$	%	

Section 1: Employment and Training: Attach [HACA Form S3-6: Section 3 Resident Certification](#) for each new hire or trainee.

Attach a list of all employees who worked on the above listed HACA project during the reporting period. If a construction project, [DOL Form WH-347: Payroll Form](#) or internal payroll form may be used in lieu of a list.

Job Classification	Report Period								Report To Date								
	No. of New Hires	No. of Section 3 New Hires				No. of Section 3 Trainees	Start Date	Anticipated Length of Hire (months)	No. of All New Hires	No. of Section 3 New Hires					% of Section 3 New Hires	No. of Section 3 Trainees	
		P1	P2	P3	P4					P1	P2	P3	P4	Total			
Total:																	

Section 3 Resident Terminations				
Employee Name	Position/Title	Hire Date	Termination Date	Reason

Section 3 Resident Priority Selection:

Priority 1 (P1): HACA resident where the project is located.
 Priority 2 (P2): Other HACA residents.

Priority 3 (P3): Participants in HUD Youthbuild programs.
 Priority 4 (P4): HACA HCV (S8) holder and other Section 3 eligible residents in the Austin-Round Rock-San Marcos MSA.



HACA FORM S3-7
SECTION 3 COMPLIANCE SUMMARY REPORT (submitted on the 10th of each month by contractor/subcontractor)

Section 2: Training and Apprenticeship Programs: Attach [HACA Form S3-6: Section 3 Resident Certification](#) for each new trainee.

Program Name	Total No. of Participants	Total No. of Section 3 Participants	Total No. of HACA Section 3 Resident Participants	Start Date	End Date

Section 3: Subcontracting: Attach [HACA Form S3-2: Section 3 Business Certification](#) and supporting documentation for each new subcontractor. HUD's [Section 3 Clause](#) must be included in all contracts with subcontractors.

Subcontractor Name	Scope of Work	Construction (C) or Non-Construction (NC)		Section 3 Business Concern		Subcontract Amount
		C	NC	Yes	No	
		C	NC	Yes	No	\$
		C	NC	Yes	No	\$
		C	NC	Yes	No	\$

Section 4: Efforts Made To Generate Economic Opportunities: Attach supporting documentation as necessary. See [Appendix to 24 CFR Part 135](#).

<p>Notified the Section 3 Coordinator about training/employment need on _____ contracting need on _____.</p> <p>Signs prominently displayed at the project site memo photo other. Attach copy.</p> <p>Advertised by distributing and posting flyers at project site and other HACA properties. Attach list.</p> <p>Advertised through local media television radio newspaper social media other. Attach copy of advertisement.</p> <p>Contacted HACA Resident Council(s). Attach memo.</p> <p>Participated in a program which promotes training or employment for low-income individuals the award of contracts to S3BC. Attach documentation.</p> <p>Contacted HUD Youthbuild programs. Attach memo.</p> <p>Contacted business assistance agencies minority contractors associations other. Attach memo.</p> <p>Maintained a file of Section 3 residents for future employment opportunities S3BC for future contracting opportunities.</p> <p>Other, attach documentation: _____</p>
--

The undersigned company official does swear or affirm that the information on this form is true and correct to the best of his/her knowledge and there is no willful intent to mislead or commit fraud.

Signature: _____

Title: _____

Print Name: _____

Date: _____