

<p><b>SECTION 3 PROJECT SUMMARY FORM INSTRUCTIONS</b></p>
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**APPLICABILITY**

HUD requires the City of New York to collect information on every Sponsor, Contractor, Subcontractor, etc. that receives a contract in excess of \$100,000 to insure HPD's compliance with Section 3 regulations. Use the definition of Section 3 Business Concerns below as a guide for determining the status of all business entities.

**REPORTING RESPONSIBILITIES: This form must be completed by all Sponsors or Prime Contractors subject to Section 3 for each project underway during each calendar year.**

**SECTION 3 PROJECT SUMMARY INSTRUCTIONS**

1. "Sponsor/Contractor Name" is the name of the business entity (Sponsor of the Project; Contractor in other instances, such as demolition contracts) completing this Form;
2. Address fields: insert business address of Sponsor or Contractor;
3. "Project: insert name of project or project address here;
4. "HPD Program" and "HPD Contact Person" – complete these fields accurately;
5. "Contract Description " and "Contract Amount: describe the work and the dollar amount awarded for that work being done by the Sponsor or Contractor completing this form;
6. "Reporting Period" –insert the month(s) and year covered by the report.
7. Column A –"Name & Address of All Businesses On-Site" requires identification of all firms performing work (regardless of contract size- businesses awarded contracts below \$100,000 need not submit any additional documentation) during this reporting period;
8. If the box is checked in column B, then the firm must have either Form S3-A or S3-B on file with agency to verify their status as a Section 3 Business Concern. Forms are available on HPD website and from your HPD Contact Person;
9. Column C, "Type Of Contract": specify the trade or professional service being done by the business;
10. Column D, "Prime Contractor Name" is the name of the business entity that the firm listed has a direct contract with. For example, if John Smith, the Sponsor, contracts with Acme GC, then Acme GC is identified in column A and John Smith is listed in column D. If Acme GC then contracted with AB Plumbing in the past quarter, the firm listed in column A is AB Plumbing; the prime contractor name in column D is Acme GC.
11. Column E, "Total Contract Award" - specify contract amount (or Total Development Cost [TDC], in the case of a Sponsor/Development entity) awarded to the business.

### SECTION 3 PROJECT SUMMARY

<b>Sponsor/Contractor Name:</b> _____  <b>Address:</b> _____  <b>City/Zip:</b> _____  <b>Project:</b> _____	<b>HPD Program:</b> _____  <b>HPD Contact Person:</b> _____  <b>Contract Description:</b> _____  <b>Contract Amount:</b> _____	
<b>Person Completing This Form:</b> _____	<b>Email Address:</b> _____	<b>Date:</b> _____

**Report Period and Year:**

NAME & ADDRESS OF ALL BUSINESSES ON-SITE (A)	CHECK If Sec. 3 Certified Business* (B)	Type of Contract (Specify trade, professional service, etc.) (C)	NAME OF PRIME CONTRACTOR (D)	TOTAL CONTRACT AWARD (E)
Name: Address: City/Zip:	<input type="checkbox"/>			\$
Name: Address: City/Zip:	<input type="checkbox"/>			\$
Name: Address: City/Zip:	<input type="checkbox"/>			\$
Name: Address: City/Zip:	<input type="checkbox"/>			\$
Name: Address: City/Zip:	<input type="checkbox"/>			\$
Name: Address: City/Zip:	<input type="checkbox"/>			\$
Name: Address: City/Zip:	<input type="checkbox"/>			\$
Name: Address: City/Zip:	<input type="checkbox"/>			\$
Name: Address: City/Zip:	<input type="checkbox"/>			\$
Name: Address: City/Zip:	<input type="checkbox"/>			\$

Section 3 Business Concerns must have a Section 3 Business Certification form on file with agency.

**COPY THIS FORM AS NEEDED**

**Part II: Employment and Training Opportunities**

1. Did your firm hire or train any new individuals in connection with any HUD funded construction projects within the past calendar year?

YES  NO

2. Please complete the chart below.

Job Category	TOTAL Number of New Hires <sup>1</sup>	Number of New Hires That Are Section 3 Residents <sup>2</sup>	TOTAL Number of Employees and Trainees <sup>3</sup>	Number of Section 3 Employees and Trainees <sup>4</sup>
Professionals				
Technicians				
Office and Clerical				
Officials and Managers				
Sales				
Craft Workers (skilled)				
Operatives (semiskilled)				
Laborers (unskilled)				
Service Workers				
Other (List below)				
<b>Total</b>				

<sup>1</sup> Enter the number of new hires for each category of worker in connection with this award. **New Hire** refers to a person who was hired in connection with the Section 3-covered project and was hired during the period covered by this report.

<sup>2</sup> 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 person from a low- and moderate-income household who was hired in connection with the Section 3-covered project and was hired during the period covered by this report.

<sup>3</sup> Enter the total number of all HUD funded employees and trainees on the staff that work in connection with this award.

<sup>4</sup> Enter the number of all Section 3 Residents (including new hires) on the staff that work in connection with this award.

3. Did your firm hire any subcontractors in connection with this award?

YES  NO

4. If yes, was the value of any of these subcontracts in excess of \$100,000?

YES\*  NO

\*If you answered yes, please forward each subcontractor a separate copy of this form and have them complete Parts II-V.

**Part III: Summary of Efforts**

1. Did your firm recruit low- or moderate-income residents through local advertising media; signs prominently displayed at the project sites; contacts with community organizations, and/or private or public agencies operating within the five boroughs?

**YES**                       **NO**

2. Did your firm participate in a program that promotes the training or employment of Section 3 residents?

**YES**                       **NO**

3. Did your firm participate in a HUD program or other program that promotes the awards of contracts to business concerns which meet the definition of Section 3 business concerns?

**YES**                       **NO**

4. If you answered "Yes" to any of the previous questions, please describe your efforts in the space below.

**Part V: Signature**

**I affirm that the statements contained in this report are true, complete, and correct to the best of my knowledge and belief.**

\_\_\_\_\_  
Signature of Authorized Representative of Contractor / Subcontractor

\_\_\_\_\_  
Print Name:

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date