ATTACHMENT 5

PY2016 Alabama CAPER –
Section 3 Summary Reports for:
CDBG Program
CDBG-DR Disaster Program
ESG Program
Neighborhood Stabilization Program / NSP

The State of Alabama’s PY2016 Consolidated Annual Performance Evaluation Report (CAPER) Attachments include the following Section 3 Summary Report documents for the reporting period of October 1, 2015 through September 30, 2016:

1. Attachment 1: Section 3 Summary Report (10/1/2015-9/30/2016): CDBG Program


Attachment 1: Section 3 Summary Report
(10/1/2015-9/30/2016): CDBG Program
**Section 3 Summary Report**  
Economic Opportunities for Low- and Very Low-Income Persons  
U.S. Department of Housing and Urban Development  
Office of Fair Housing and Equal Opportunity  
OMB Approval No: 2529-0043  
(exp. 11/30/2010)

Section back of page for Public Reporting Burden statement

<table>
<thead>
<tr>
<th>1. Recipient Name &amp; Address: (street, city, state, zip)</th>
<th>2. Federal Identification: (grant no.)</th>
<th>3. Total Amount of Award:</th>
</tr>
</thead>
</table>
| STATE OF ALABAMA  
401 ADAMS AVE PO BOX 5590, MONTGOMERY, AL 36103 | 63-6000619 | $20,099,673 |

<table>
<thead>
<tr>
<th>4. Contact Person</th>
<th>5. Phone: (Include area code)</th>
<th>6. Length of Grant:</th>
<th>7. Reporting Period:</th>
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</thead>
<tbody>
<tr>
<td>Kathleen Rasmussen, Unit Chief</td>
<td>334-353-0323</td>
<td>PY2009-PY2015</td>
<td>10/1/2015 - 9/30/2016</td>
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8. Date Report Submitted: 6/30/2017

9. Program Code: (Use separate sheet for each program code)

10. Program Name: Community Development Block Grants

**Part I: Employment and Training**  
**(** Columns B, C and F are mandatory fields. Include New Hires in E & F**)

<table>
<thead>
<tr>
<th>A</th>
<th>B</th>
<th>C</th>
<th>D</th>
<th>E</th>
<th>F</th>
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</thead>
<tbody>
<tr>
<td><strong>Professionals</strong></td>
<td>Number of New Hires</td>
<td>Number of New Hires that are Sec. 3 Residents</td>
<td>% of Aggregate Number of Staff Hours of New Hires that are Sec. 3 Residents</td>
<td>% of Total Staff Hours for Section 3 Employees and Trainees</td>
<td>Number of Section 3 Trainees</td>
</tr>
<tr>
<td>0</td>
<td>0</td>
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<td>0</td>
<td>0</td>
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</tr>
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<tr>
<td><strong>Trade</strong></td>
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<td><strong>Trade</strong></td>
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<td><strong>Other (List)</strong></td>
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<tr>
<td>Operator Drill</td>
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<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
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<td>Operator Dozer</td>
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<td>0</td>
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<td>0</td>
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<td>Asphalt Raker</td>
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<td>Front End Loader</td>
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<td>Roller Operator</td>
<td>5</td>
<td>2</td>
<td>0</td>
<td>0</td>
<td>0</td>
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<tr>
<td><strong>Total</strong></td>
<td>88</td>
<td>20</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

* 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 CDBG Programs  
10 = Other Housing Programs
Part II: Contracts Awarded


<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. Total dollar amount of all contracts awarded on the project</td>
<td>$16,060,180</td>
</tr>
<tr>
<td>B. Total dollar amount of contracts awarded to Section 3 businesses</td>
<td>$108,938</td>
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<tr>
<td>C. Percentage of the total dollar amount that was awarded to Section 3 businesses</td>
<td>0.68 %</td>
</tr>
<tr>
<td>D. Total number of Section 3 businesses receiving contracts</td>
<td>(1)</td>
</tr>
</tbody>
</table>

2. Non-Construction Contracts:

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. Total dollar amount all non-construction contracts awarded on the project/activity</td>
<td>$4,039,493</td>
</tr>
<tr>
<td>B. Total dollar amount of non-construction contracts awarded to Section 3 businesses</td>
<td>$32,131</td>
</tr>
<tr>
<td>C. Percentage of the total dollar amount that was awarded to Section 3 businesses</td>
<td>0.80 %</td>
</tr>
<tr>
<td>D. Total number of Section 3 businesses receiving non-construction contracts</td>
<td>1</td>
</tr>
</tbody>
</table>

Part III: Summary

Indicate the 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 assistance for housing. (Check all that apply.)

- [X] Attempted to recruit low-income residents through: local advertising media, signs prominently displayed at the project site, contracts with the community organizations and public or private agencies operating within the metropolitan area (or nonmetropolitan county) in which the Section 3 covered program or project is located, or similar methods.
- [X] Participated in a HUD program or other program which promotes the training or employment of Section 3 residents.
- [X] 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 concerns.
- [X] Coordinated with YouthBuild Programs administered in the metropolitan area in which the Section 3 covered project is located.
- [X] Other; describe below.

See Attached Comments.

Public reporting for this collection of information is estimated to average 2 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB number.

Section 3 of the Housing and Urban Development Act of 1968, as amended, 12 U.S.C. 1701u, mandates that the Department ensures that employment and other economic opportunities generated by its housing and community development assistance programs are directed toward low- and very-low income persons, particularly those who are recipients of government assistance housing. The regulations are found at 24 CFR Part 135. The information will be used by the Department to monitor program recipients' compliance with Section 3, to assess the results of the Department's efforts to meet the statutory objectives of Section 3, to prepare reports to Congress, and by recipients as self-monitoring tool. The data is entered into a database and will be analyzed and distributed. The collection of information involves recipients receiving Federal financial assistance for housing and community development programs covered by Section 3. The information will be collected annually to assist HUD in meeting its reporting requirements under Section 808(e)(6) of the Fair Housing Act and Section 916 of the HCDA of 1992. An assurance of confidentiality is not applicable to this form. The Privacy Act of 1974 and OMB Circular A-108 are not applicable. The reporting requirements do not contain sensitive questions. Data is cumulative; personal identifying information is not included.
Form HUD-60002, Section 3 Summary Report, Economic Opportunities for Low- and Very Low-Income Persons.

Instructions: This form is to be used to report annual accomplishments regarding employment and other economic opportunities provided to low- and very low-income persons under Section 3 of the Housing and Urban Development Act of 1968. The Section 3 regulations apply to any public and Indian housing programs that receive: (1) development assistance pursuant to Section 5 of the U.S. Housing Act of 1937; (2) operating assistance pursuant to Section 9 of the U.S. Housing Act of 1937; or (3) modernization grants pursuant to Section 14 of the U.S. Housing Act of 1937 and to 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 awarded in connection with the Section 3-covered activity.

Form HUD-60002 has three parts, which are to be completed for all programs covered by Section 3. Part I relates to employment and training. The recipient has the option to determine numerical employment/training goals either on the basis of the number of hours worked by new hires (columns B, D, E, and F). Part II of the form relates to contracting, and Part III summarizes recipient’s efforts to comply with Section 3.

Recipients or contractors subject to Section 3 requirements must maintain appropriate documentation to establish that HUD financial assistance for housing and community development programs were directed toward low- and very low-income persons. A recipient of Section 3 covered assistance shall submit one copy of this report to HUD Headquarters, Office of Fair Housing and Equal Opportunity. Where the program providing assistance requires an annual performance report, this Section 3 report is to be submitted at the same time the program performance report is submitted. Where an annual performance report is not required, this Section 3 report is to be submitted by January 10 and, if the project ends before December 31, within 10 days of project completion. Only Prime Recipients are required to report to HUD. The report must include accomplishments of all recipients and their Section 3 covered contractors and subcontractors.

HUD Field Office: Enter the Field Office name.
1. Recipient: Enter the name and address of the recipient submitting this report.
2. Federal Identification: Enter the number that appears on the award form (with dashes). The award may be a grant, cooperative agreement, or contract.
3. Dollar Amount of Award: Enter the dollar amount, rounded to the nearest dollar, received by the recipient.
4 & 5. Contact Person/Phone: Enter the name and telephone number of the person with knowledge of the award and the recipient’s implementation of Section 3.
6. Reporting Period: Indicate the time period (months and year) this report covers.
7. Dated Report Submitted: Enter the appropriate date.

Submit one (1) copy of this report to the HUD Headquarters Office of Fair Housing and Equal Opportunity. The performance report is submitted to the program office. The Section 3 report is submitted by January 10. Include only contracts executed during the period specified in Item 5. PHAs/HAs are to report all contracts/subcontracts.

* The terms "low-income persons" and "very low-income persons" have the same meanings given in terms in section 3 (b) (2) of the United States Housing Act of 1937. Low-income persons mean families (including single persons) whose incomes do not exceed 80 percent of the median income for the area, as determined by the Secretary, with adjustments for smaller and larger families, except that

8. Program Code: Enter the appropriate program code as listed at the bottom of the page.
9. Program Name: Enter the name of HUD Program corresponding with the "Program Code" in number 8.

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 E for each trade where persons were employed. The category of "Other" includes occupations such as service workers.

Column B: (Mandatory Field) 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: (Mandatory Field) 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: (Mandatory Field) Enter the number of Section 3 residents that were 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.

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 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.

Part III: Summary of Efforts – Self-explanatory

The Secretary may establish income ceilings higher or lower than 80 percent of the median for the area on the basis of the Secretary’s findings such that variations are necessary because of prevailing levels of construction costs or unusually high- or low-income families. Very low-income persons mean low-income families (including single persons) whose incomes do not exceed 50 percent of the median family income area, as determined by the Secretary with adjustments for smaller and larger families, except that the Secretary may establish income ceilings higher or lower than 50 percent of the median for the area on the basis of the Secretary’s findings such that variations are necessary because of unusually high or low family incomes.
SECTION 3 Report Attachment
Part III: Summary Comments

CDBG:
All Grant subrecipients are made aware of the Section 3 requirements and are advised on how to recruit Section 3 businesses and individuals, through semi-annual workshop presentations made by ADECA. Construction contractors bidding on CDBG related contracts are made aware of Section 3 goals through pre-bid meetings and preconstruction conferences. Every CDBG project is monitored by ADECA to track the local Section 3 recruitment attempts through advertising and disseminating project information to the appropriate groups that include the Alabama Small Business Development Center, Alabama’s Office of Minority Business Enterprise, Alabama Department of Transportation Business Database, local Public Housing Authorities, as well as other local business recruiters which may operate in the project areas.

The heavy construction activities most commonly undertaken in CDBG projects are typically awarded to contractors who usually already have a preexisting crew of employees to perform the work on the projects. Because these contractors are the low bidders awarded these contracts, Section 3 recruitment is not always achievable in the time allotted for each project to be completed within a timely manner so that the CDBG projects can be closed out by ADECA. However, the State continues to strive toward achieving the Section 3 goals through its continued administration of the CDBG program in Alabama’s non-entitlement areas.
Attachment 2: Section 3 Summary Report
(10/1/2015-9/30/2016):
CDBG-DR Disaster Program
## Section 3 Summary Report
Economic Opportunities for Low- and Very Low-Income Persons

U.S. Department of Housing and Urban Development
Office of Fair Housing And Equal Opportunity

OMB Approval No: 2529-0043 (exp. 11/30/2010)

Section back of page for Public Reporting Burden statement

### 1. Recipient Name & Address: (street, city, state, zip)
STATE OF ALABAMA
401 ADAMS AVE PO BOX 5690,
MONTGOMERY, AL 36103

### 2. Federal Identification: (grant no.)
B-12-07-21-0001, B-13-05-09-0001

### 3. Total Amount of Award:
$29,083,410

### 4. Contact Person
Kathleen Rasmussen, Unit Chief

### 5. Phone: (Include area code)
334-353-0323

### 6. Length of Grant:
7 years

### 7. Reporting Period:
10/1/2015 - 9/30/2016

### 8. Date Report Submitted:
6/30/2017

### 9. Program Code: (Use separate sheet for each program code)
Disaster Recovery Grants

### 10. Program Name:
*Part I: Employment and Training (** Columns B, C and F are mandatory fields. Include New Hires in E & F)*

<table>
<thead>
<tr>
<th>A</th>
<th>B</th>
<th>C</th>
<th>D</th>
<th>E</th>
<th>F</th>
</tr>
</thead>
<tbody>
<tr>
<td>Job Category</td>
<td>Number of New Hires</td>
<td>Number of New Hires that are Sec. 3 Residents</td>
<td>% of Aggregate Number of Staff Hours of New Hires that are Sec. 3 Residents</td>
<td>% of Total Staff Hours for Section 3 Employees and Trainees</td>
<td>Number of Section 3 Trainees</td>
</tr>
<tr>
<td>Professionals</td>
<td>0</td>
<td>0</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Technicians</td>
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<tr>
<td>Office/Clerical</td>
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<td>Trade</td>
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<tr>
<td>Other (List)</td>
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<td>8</td>
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<td>85</td>
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</table>

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Page 1 of 2
Ref 24 CFR 135

form HUD 60022 (6/2011)
**Part II: Contracts Awarded**

<table>
<thead>
<tr>
<th>1. Construction Contracts:</th>
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<tbody>
<tr>
<td>A. Total dollar amount of all contracts awarded on the project</td>
<td>$ 4,656,316.58</td>
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<tr>
<td>B. Total dollar amount of contracts awarded to Section 3 businesses</td>
<td>$ 2,314,275.07</td>
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<tr>
<td>C. Percentage of the total dollar amount that was awarded to Section 3 businesses</td>
<td>49.7 %</td>
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<tr>
<td>D. Total number of Section 3 businesses receiving contracts</td>
<td>49</td>
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<table>
<thead>
<tr>
<th>2. Non-Construction Contracts:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>A. Total dollar amount all non-construction contracts awarded on the project/activity</td>
<td>$ 996,149.89</td>
</tr>
<tr>
<td>B. Total dollar amount of non-construction contracts awarded to Section 3 businesses</td>
<td>$ 0</td>
</tr>
<tr>
<td>C. Percentage of the total dollar amount that was awarded to Section 3 businesses</td>
<td>0 %</td>
</tr>
<tr>
<td>D. Total number of Section 3 businesses receiving non-construction contracts</td>
<td>0</td>
</tr>
</tbody>
</table>

**Part III: Summary**

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Public reporting for this collection of information is estimated to average 2 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB number.

Section 3 of the Housing and Urban Development Act of 1968, as amended, 12 U.S.C. 1701u, mandates that the Department ensures that employment and other economic opportunities generated by its housing and community development assistance programs are directed toward low- and very low-income persons, particularly those who are recipients of government assistance housing. The regulations are found at 24 CFR Part 135. The information will be used by the Department to monitor program recipients' compliance with Section 3, to assess the results of the Department's efforts to meet the statutory objectives of Section 3, to prepare reports to Congress, and by recipients as self-monitoring tool. The data is entered into a database and will be analyzed and distributed. The collection of information involves recipients receiving Federal financial assistance for housing and community development programs covered by Section 3. The information will be collected annually to assist HUD in meeting its reporting requirements under Section 808(e)(6) of the Fair Housing Act and Section 916 of the HCDA of 1992. An assurance of confidentiality is not applicable to this form. The Privacy Act of 1974 and OMB Circular A-108 are not applicable. The reporting requirements do not contain sensitive questions. Data is cumulative; personal identifying information is not included.
Form HUD-6002, Section 3 Summary Report, Economic Opportunities for Low- and Very Low-Income Persons.

Instructions: This form is to be used to report annual accomplishments regarding employment and other economic opportunities provided to low- and very low-income persons under Section 3 of the Housing and Urban Development Act of 1968. The Section 3 regulations apply to any public and Indian housing programs that receive: (1) development assistance pursuant to Section 5 of the U.S. Housing Act of 1937; (2) operating assistance pursuant to Section 9 of the U.S. Housing Act of 1937; or (3) modernization grants pursuant to Section 14 of the U.S. Housing Act of 1937 and to 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 awarded in connection with the Section 3-covered activity.

Form HUD-6002 has three parts, which are to be completed for all programs covered by Section 3. Part I relates to employment and training. The recipient has the option to determine numerical employment/training goals either on the basis of the number of hours worked by new hires (columns B, D, E and F). Part II of the form relates to contracting, and Part III summarizes recipients' efforts to comply with Section 3.

Recipient or contractors subject to Section 3 requirements must maintain appropriate documentation to establish that HUD financial assistance for housing and community development programs were directed toward low- and very low-income persons. A recipient of Section 3 covered assistance shall submit one copy of this report to HUD Headquarters, Office of Fair Housing and Equal Opportunity. Where the program providing assistance requires an annual performance report, this Section 3 report is to be submitted at the same time the program performance report is submitted. Where an annual performance report is not required, this Section 3 report is to be submitted by January 10 and, if the project ends before December 31, within 10 days of project completion. Only Prime Recipients are required to report to HUD. The report must include accomplishments of all recipients and their Section 3 covered contractors and subcontractors.

HUD Field Office: Enter the Field Office name.

1. Recipient: Enter the name and address of the recipient submitting this report.
2. Federal Identification: Enter the number that appears on the award form (with dashes). The award may be a grant, cooperative agreement or contract.
3. Dollar Amount of Award: Enter the dollar amount, rounded to the nearest dollar, received by the recipient.
4 & 5. Contact Person/Phone: Enter the name and telephone number of the person with knowledge of the award and the recipient's implementation of Section 3.
6. Reporting Period: Indicate the time period (months and year) this report covers.
7. Date Report Submitted: Enter the appropriate date.

Submit one (1) copy of this report to the HUD Headquarters Office of Fair Housing and Equal Opportunity, at the same time the performance report is submitted to the program office. The Section 3 report is submitted by January 10. Include only contracts executed during the period specified in Item B. PHAs/HAs are to report all contracts/subcontracts.

* The terms "low-income persons" and "very low-income persons" have the same meanings given in the terms in section 3 (b) (2) of the United States Housing Act of 1937. Low-income persons mean families (including single persons) whose incomes do not exceed 80 percent of the median income for the area, as determined by the Secretary, with adjustments for smaller and larger families, except that the median for the area on the basis of the Secretary's findings that such variations are necessary because of unusually high or low family incomes.

The Secretary may establish income ceilings higher or lower than 80 percent of the median for the area on the basis of the Secretary's findings that such variations are necessary because of unusually high or low family incomes.
SECTION 3 Report Attachment
Part III: Summary Comments

DTR:
All 2012 and 2013 Disaster Grant subrecipients are located in the areas of Alabama that were affected by the April 2011 tornados. These subrecipients are made aware of the Section 3 requirements and are advised on how to recruit Section 3 businesses and individuals to work on the Disaster Grant projects through public hearings held by ADECA at the local government level prior to the start of each round of Disaster Grant funding. Construction contractors bidding on these Disaster Grant related contracts are made aware of Section 3 goals through pre-bid meetings and preconstruction Conferences conducted by the local government subrecipients and their own administrative staff. Every Disaster Grant project is monitored by ADECA to track the local Section 3 recruitment attempts through advertising and disseminating project information to the appropriate groups that include the Alabama Small Business Development Center, Alabama’s Office of Minority Business Enterprise, Alabama Department of Transportation Business Database, local Public Housing Authorities, as well as other local business recruiters which may operate in the project areas.

The heavy construction activities most commonly undertaken in Disaster Grant projects are typically awarded to contractors who usually already have a preexisting crew of employees to perform the work on the projects (which include multi-family housing/apartment complex construction, single family housing rehabilitation, farmer’s market construction, town hall/fire station/police station construction, grocery store construction, and infrastructure construction that includes roads, streets, water and sewer systems construction, and demolition). Because these contractors are the low bidders awarded these contracts, Section 3 recruitment is not always achievable in the time allotted for each Disaster Grant project to be completed within a timely manner so that the projects can be closed out by ADECA. However, the State continues to strive toward achieving the Section 3 goals through its continued administration of the Disaster Grant program in Alabama’s tornado affected areas.
Attachment 3: Section 3 Summary Report
(10/1/2015-9/30/2016):
ESG Program
# Section 3 Summary Report

**Economic Opportunities for Low – and Very Low-Income Persons**

Section back of page for Public Reporting Burden statement.

1. Recipient Name & Address: (street, city, state, zip)
   - State of Alabama
   - 401 Adams Avenue
   - Post Office Box 5690
   - Montgomery, Alabama 36103-5690

2. Federal Identification: (grant no.)
   - E16-DC-01-0001

3. Total Amount of Award:
   - $2,486,800.00

4. Contact Person
   - Shabbir Olia

5. Phone: (include area code)
   - 334-242-5468

6. Length of Grant:
   - 8/22/2016 - 8/22/2018

7. Reporting Period:
   - 10/1/2015-9/30/2016

8. Date Report Submitted:
   - 6/30/2017

9. Program Code: (Use separate sheet for each program code)
   - Emergency Solutions Grants

10. Program Name:

## Part I: Employment and Training (** Columns B, C, and F are mandatory fields. Include New Hires in E & F)**

<table>
<thead>
<tr>
<th>Job Category</th>
<th>Number of New Hires</th>
<th>Number of New Hires that are Sec. 3 Residents</th>
<th>% of Aggregates Number of Staff Hours of New Hires that are Sec. 3 Residents</th>
<th>% of Total Staff Hours for Section 3 Employees and Trainees</th>
<th>Number of Section 3 Trainees</th>
</tr>
</thead>
<tbody>
<tr>
<td>Professionals</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Technicians</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Office/Clerical</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Construction by Trade (List)</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Trade</td>
<td>0</td>
<td>0</td>
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</tr>
<tr>
<td>Trade</td>
<td>0</td>
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<td>0</td>
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</tr>
<tr>
<td>Trade</td>
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<td>0</td>
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</tr>
<tr>
<td>Trade</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Other (List)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

**Total**

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* Program Codes
  - 1 = Flexible Subsidy
  - 2 = Section 202/811
  - 3 = Public/Indian Housing
  - 4 = Homeless Assistance
  - 5 = HOME
  - 6 = HOME State Administered
  - 7 = CDBG Entitlement
  - 8 = CDBG State Administered
  - 9 = Other CD Programs
  - 10 = Other Housing Programs
### Part II: Contracts Awarded

1. **Construction Contracts:**

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. Total dollar amount of all contracts awarded on the project</td>
<td>$</td>
</tr>
<tr>
<td>B. Total dollar amount of contracts awarded to Section 3 businesses</td>
<td>$</td>
</tr>
<tr>
<td>C. Percentage of the total dollar amount that was awarded to Section 3 businesses</td>
<td>%</td>
</tr>
<tr>
<td>D. Total number of Section 3 businesses receiving contracts</td>
<td></td>
</tr>
</tbody>
</table>

2. **Non-Construction Contracts:**

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. Total dollar amount all non-construction contracts awarded on the project/activity</td>
<td>$</td>
</tr>
<tr>
<td>B. Total dollar amount of non-construction contracts awarded to Section 3 businesses</td>
<td>$</td>
</tr>
<tr>
<td>C. Percentage of the total dollar amount that was awarded to Section 3 businesses</td>
<td>%</td>
</tr>
<tr>
<td>D. Total number of Section 3 businesses receiving non-construction contracts</td>
<td></td>
</tr>
</tbody>
</table>

### Part III: Summary

Indicate the 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 assistance for housing. (Check all that apply.)

- Attempted to recruit low-income residents through: local advertising media, signs prominently displayed at the project site, contracts with the community organizations and public or private agencies operating within the metropolitan area (or nonmetropolitan county) in which the Section 3 covered program or project is located, or similar methods.
- 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 concerns.
- Coordinated with Youthbuild Programs administered in the metropolitan area in which the Section 3 covered project is located.
- Other: describe below.

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Public reporting for this collection of information is estimated to average 2 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB number.

Section 3 of the Housing and Urban Development Act of 1968, as amended, 12 U.S.C. 1701u, mandates that the Department ensures that employment and other economic opportunities generated by its housing and community development assistance programs are directed toward low- and very-low income persons, particularly those who are recipients of government assistance for housing. The regulations are found at 24 CFR Part 135. The information will be used by the Department to monitor program recipients' compliance with Section 3, to assess the results of the Department's efforts to meet the statutory objectives of Section 3, to prepare reports to Congress, and by recipients as self-monitoring tool. The data is entered into a database and will be analyzed and distributed. The collection of information involves recipients receiving Federal financial assistance for housing and community development programs covered by Section 3. The information will be collected annually to assist HUD in meeting its reporting requirements under Section 808(e)(6) of the Fair Housing Act and Section 916 of the HCDA of 1992. An assurance of confidentiality is not applicable to this form. The Privacy Act of 1974 and OMB Circular A-108 are not applicable. The reporting requirements do not contain sensitive questions. Data is cumulative, personal identifying information is not included.
Instructions: This form is to be used to report annual accomplishments regarding employment and other economic opportunities provided to low- and very low-income persons under Section 3 of the Housing and Urban Development Act of 1968. The Section 3 regulations apply to any public and Indian housing programs that receive: (1) development assistance pursuant to Section 5 of the U.S. Housing Act of 1937; (2) operating assistance pursuant to Section 9 of the U.S. Housing Act of 1937; or (3) modernization grants pursuant to Section 14 of the U.S. Housing Act of 1937 and to 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 awarded in connection with the Section-3-covered activity.

Form HUD-60002 has three parts, which are to be completed for all programs covered by Section 3. Part I relates to employment and training. The recipient has the option to determine numerical employment/training goals either on the basis of the number of hours worked by new hires (columns B, D, E and F). Part II of the form relates to contracting, and Part III summarizes recipients’ efforts to comply with Section 3.

Recipients or contractors subject to Section 3 requirements must maintain appropriate documentation to establish that HUD financial assistance for housing and community development programs were directed toward low- and very low-income persons. A recipient of Section 3 covered assistance shall submit one copy of this report to HUD Headquarters, Office of Fair Housing and Equal Opportunity. Where the program providing assistance requires an annual performance report, this Section 3 report is to be submitted at the same time the program performance report is submitted. Where an annual performance report is not required, this Section 3 report is to be submitted by January 10 and, if the project ends before December 31, within 10 days of project completion. Only Prime Recipients are required to report to HUD. The report must include accomplishments of all recipients and their Section 3 covered contractors and subcontractors.

HUD Field Office: Enter the Field Office name.
1. Recipient: Enter the name and address of the recipient submitting this report.
2. Federal Identification: Enter the number that appears on the award form (with dashes). The award may be a grant, cooperative agreement or contract.
3. Dollar Amount of Award: Enter the dollar amount, rounded to the nearest dollar, received by the recipient.
4 & 5. Contact Person/Phone: Enter the name and telephone number of the person with knowledge of the award and the recipient’s implementation of Section 3.
6. Reporting Period: Indicate the time period (months and year) this report covers.
7. Date Report Submitted: Enter the appropriate date.

Submit one (1) copy of this report to the HUD Headquarters Office of Fair Housing and Equal Opportunity, at the same time the performance report is submitted to the program office. The Section 3 report is submitted by January 10. Include only contracts executed during the period specified in Item 8. PHAs/HAs are to report all contracts/subcontracts.

* The terms “low-income persons” and “very low-income persons” have the same meanings given in the terms in section 3 (b) (2) of the United States Housing Act of 1937. Low-income persons mean families (including single persons) whose incomes do not exceed 80 percent of the median income for the area, as determined by the Secretary, with adjustments for smaller and larger families, except that

8. Program Code: Enter the appropriate program code as listed at the bottom of the page.
9. Program Name: Enter the name of HUD Program corresponding with the “Program Code” in number 8.

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: (Mandatory Field) 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: (Mandatory Field) Enter the number of Section 3 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 D: Enter the percentage of the annual staff hours worked by Section 3 employees and trainees (including new hires) connected with this award. Include staff hours for part-time and full-time positions.
Column P: (Mandatory Field) Enter the number of Section 3 residents that were 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 that were 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 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.

Part III: Summary of Efforts & Self-Explanatory

The Secretary may establish income ceilings higher or lower than 90 percent of the median for the area on the basis of the Secretary’s findings that such variations are necessary because of prevailing levels of construction costs or unusually high- or low-income families. Very low-income persons mean low-income families (including single persons) whose incomes do not exceed 50 percent of the median family income area, as determined by the Secretary with adjustments or smaller and larger families, except that the Secretary may establish income ceilings higher or lower than 50 percent of the median for the area on the basis of the Secretary’s findings that such variations are necessary because of unusually high or low family incomes.
Attachment 4: Section 3 Summary Report
(10/1/2015-9/30/2016):
Neighborhood Stabilization Program / NSP
# Section 3 Summary Report

Economic Opportunities for Low – and Very Low-Income Persons

STATE OF ALABAMA
401 ADAMS AVE PO BOX 5690,
MONTGOMERY, AL 36103

### 1. Recipient Name & Address: (street, city, state, zip)

### 2. Federal Identification: (grant no.)

### 3. Total Amount of Award:

### 4. Contact Person

### 5. Phone: (Include area code)

### 6. Length of Grant

### 7. Reporting Period:

### 8. Date Report Submitted

### 9. Program Code: (Use separate sheet for each program code)

### 10. Program Name:

## Part I: Employment and Training (** Columns B, C and F are mandatory fields. Include New Hires in E &F **)

<table>
<thead>
<tr>
<th>Job Category</th>
<th>Number of New Hires</th>
<th>Number of New Hires that are Sec. 3 Residents</th>
<th>% of Aggregate Number of Staff Hours of New Hires that are Sec. 3 Residents</th>
<th>% of Total Staff Hours for Section 3 Employees and Trainees</th>
<th>Number of Section 3 Trainees</th>
</tr>
</thead>
<tbody>
<tr>
<td>Professionals</td>
<td>0</td>
<td>0</td>
<td></td>
<td></td>
<td>0</td>
</tr>
<tr>
<td>Technicians</td>
<td>0</td>
<td>0</td>
<td></td>
<td></td>
<td>0</td>
</tr>
<tr>
<td>Office/Clerical</td>
<td>0</td>
<td>0</td>
<td></td>
<td></td>
<td>0</td>
</tr>
<tr>
<td>Construction by Trade (List)</td>
<td>0</td>
<td>0</td>
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<td>0</td>
</tr>
<tr>
<td>Trade</td>
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<td>Trade</td>
<td>0</td>
<td>0</td>
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<td></td>
<td>0</td>
</tr>
<tr>
<td>Other (List)</td>
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<td></td>
<td></td>
<td>0</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>0</td>
<td>0</td>
<td></td>
<td></td>
<td>0</td>
</tr>
</tbody>
</table>

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* Program Codes
1 = Flexible Subsidy
2 = Section 202/811
3 = Public/Indian Housing
4 = Homeless Assistance
5 = HOME
6 = HOME State Administered
7 = CDBG Entitlement
8 = CDBG State Administered
9 = Other C2 Programs
10 = Other Housing Programs
Part II: Contracts Awarded

1. Construction Contracts:
   A. Total dollar amount of all contracts awarded on the project: $0
   B. Total dollar amount of contracts awarded to Section 3 businesses: $0
   C. Percentage of the total dollar amount that was awarded to Section 3 businesses: 0%
   D. Total number of Section 3 businesses receiving contracts: 0

2. Non-Construction Contracts:
   A. Total dollar amount all non-construction contracts awarded on the project/activity: $0
   B. Total dollar amount of non-construction contracts awarded to Section 3 businesses: $0
   C. Percentage of the total dollar amount that was awarded to Section 3 businesses: 0%
   D. Total number of Section 3 businesses receiving non-construction contracts: 0

Part III: Summary

Indicate the 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 assistance for housing. (Check all that apply.)

- Attempted to recruit low-income residents through: local advertising media, signs prominently displayed at the project site, contracts with the community organizations and public or private agencies operating within the metropolitan area (or nonmetropolitan county) in which the Section 3 covered program or project is located, or similar methods.
- 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 concerns.
- Coordinated with Youthbuild Programs administered in the metropolitan area in which the Section 3 covered project is located.
- Other: describe below.

There were no NSP activities in this reporting period.

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Instructions: This form is to be used to report annual accomplishments regarding employment and other economic opportunities provided to low- and very low-income persons under Section 3 of the Housing and Urban Development Act of 1968. The Section 3 regulations apply to any public and Indian housing programs that receive: (1) development assistance pursuant to Section 5 of the U.S. Housing Act of 1937, (2) operating assistance pursuant to Section 9 of the U.S. Housing Act of 1937; or (3) modernization grants pursuant to Section 14 of the U.S. Housing Act of 1937 and to 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 awarded in connection with the Section-3-covered activity.

Form HUD-60002 has three parts, which are to be completed for all programs covered by Section 3. Part I relates to employment and training. The recipient has the option to determine numerical employment/training goals either on the basis of the number of hours worked by new hires (columns B, D, E and F). Part II of the form relates to contracting, and Part III summarizes recipients' efforts to comply with Section 3.

Recipients or contractors subject to Section 3 requirements must maintain appropriate documentation to establish that HUD financial assistance for housing and community development programs were directed toward low- and very low-income persons. A recipient of Section 3 covered assistance shall submit one copy of this report to HUD Headquarters, Office of Fair Housing and Equal Opportunity. Where the program providing assistance requires an annual performance report, this Section 3 report is to be submitted at the same time the program performance report is submitted. Where an annual performance report is not required, this Section 3 report is to be submitted by January 10 and, if the project ends before December 31, within 10 days of project completion. Only Prime Recipients are required to report to HUD. The report must include accomplishments of all recipients and their Section 3 covered contractors and subcontractors.

HUD Field Office: Enter the Field Office name.
1. Recipient: Enter the name and address of the recipient submitting this report.
2. Federal Identification: Enter the number that appears on the award form (with dashes). The award may be a grant, cooperative agreement or contract.
3. Dollar Amount of Award: Enter the dollar amount, rounded to the nearest dollar, received by the recipient.
4 & 5. Contact Person/Phone: Enter the name and telephone number of the person with knowledge of the award and the recipient's implementation of Section 3.
6. Reporting Period: Indicate the time period (months and year) this report covers.
7. Date Report Submitted: Enter the appropriate date.

Submit one (1) copy of this report to the HUD Headquarters Office of Fair Housing and Equal Opportunity, at the same time the performance report is submitted to the program office. The Section 3 report is submitted by January 10. Include only contracts executed during the period specified in item 8. PHAs/HHAs are to report all contracts/subcontracts.

* The terms "low-income persons" and very low-income persons" have the same meanings given the terms in section 3(2) of the United States Housing Act of 1937. Low-income persons mean families (including single persons) whose incomes do not exceed 80 percent of the median income for the area, as determined by the Secretary, with adjustments for smaller and larger families, except that

8. Program Code: Enter the appropriate program code as listed at the bottom of the page.
9. Program Name: Enter the name of HUD Program corresponding with the "Program Code" in number 8.

Part II: 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: (Mandatory Field) Enter the number of new hires for each category of workers identified in Column A in connection with this award. New hires refer 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: (Mandatory Field) 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 hires refer 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 all the 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: (Mandatory Field) Enter the number of Section 3 residents that were 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 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.

Part III: Summary of Efforts - Self-explanatory

The Secretary may establish income ceilings higher or lower than 80 percent of the median for the area on the basis of the Secretary's findings that such variations are necessary because of prevailing levels of construction costs or unusually high- or low-income families. Very low-income persons mean low-income families (including single persons) whose incomes do not exceed 50 percent of the median family income area, as determined by the Secretary with adjustments or smaller and larger families, except that the Secretary may establish income ceilings higher or lower than 50 percent of the median for the area on the basis of the Secretary's findings that such variations are necessary because of unusually high or low family incomes.