

APPENDIX C-5

Section 3 Forms

FORM 1

Certification of Intent to Comply with Section 3

This form is to be submitted by proposers with their proposal. Failure to submit this form may result in the rejection of your proposal.

| HIRING | SUBCONTRACTING |
|--|--|
| <input type="checkbox"/> New Hires/Trainees Projected | <input type="checkbox"/> Subcontracting Projected |
| <input type="checkbox"/> No New Hires/Trainees Projected | <input type="checkbox"/> No Subcontracting Projected |

I hereby certify that:

1. I am the _____ [Insert Title] of _____
_____ [Insert Name of Proposer] (the "Company");
2. I am duly authorized by the Company to submit a proposal on its behalf to the Boston Housing Authority for _____
[Insert Project Name and Number] and to execute any and all documents required to be filed as a condition of such proposal;
3. I have read and understood the Section 3 Provision, which applies Section 3 of the Housing and Urban Development Act of 1968, as amended, and the Section 3 regulations found at 24 CFR 135.
4. The Company will comply with the requirements of 24 CFR 135 and the Section 3 Provision. This includes ensuring that, to the greatest extent feasible, **at least thirty percent (30%) of new hires and trainees** will be Section 3 residents and **at least three percent (3%) of the contract value** for non-construction contracts will be awarded to Section 3 business concerns.
5. The Company is responsible for the compliance of its subcontractors and will ensure that its subcontractors comply with the requirements set out in 24 CFR 135 and the Section 3 Provision.
6. Any vacant positions filled after the contract award notification but before contract execution will not be filled to circumvent the Company's Section 3 obligations.
Signed under the penalties of perjury.

[Company]

Date: _____

By: _____
[Signature]
Duly Authorized

APPENDIX C-5

Section 3 Forms

FORM 2

Section 3 Hiring, Training, and Contracting Opportunities

This form is to be completed by the proposer on behalf of itself and all projected subcontractors, if any. Provide estimates of hiring and contracting needs on the project.

HIRING OPPORTUNITIES

| Job Category | Number of positions needed to complete project | Number of positions filled by current employees* | Number of positions to be filled by Section 3 Residents | Anticipated dates of work |
|------------------------------------|--|--|---|---------------------------|
| <i>Example: Tenant Coordinator</i> | <i>1</i> | <i>0</i> | <i>1</i> | <i>10/1/11-12/31/11</i> |
| 1) Professionals | | | | |
| 2) Technicians | | | | |
| 3) Office/Clerical | | | | |
| 4) Tenant Coordinator | | | | |
| 5) Other: | | | | |
| Totals | | | | |

SUBCONTRACTING OPPORTUNITIES

| Sub-trade and Company (if known) | Type of Business | Section 3 Business Concern? (Y/N) | Amount of Contract |
|----------------------------------|-------------------------|-----------------------------------|--------------------|
| <i>Example: HVAC Inc.</i> | <i>HVAC Engineering</i> | <i>Y</i> | <i>8,000</i> |
| 1) | | | |
| 2) | | | |
| 3) | | | |

* **“Current employee”** means an employee who is on the payroll as of the date of the signature below. HUD considers an employee who has been laid off and is returning to the payroll to be a “new hire” for purposes of Section 3 compliance.

The above tables represent an accurate estimate of workforce and subcontracting needs for this project and also represent the number of Section 3 residents and business concerns that the company proposes to employ and/or contract with.

Signed under the penalties of perjury.

 [Company]

Date: _____

By: _____
 [Signature] Duly Authorized

APPENDIX C-5

Section 3 Forms

FORM 3 Quarterly Section 3 Report

This form or a certified substitute document containing the information requested below is to be completed by the consultant and all subcontractors, if any, and submitted within 5 business days of each calendar quarter (i.e., Jan.-Mar., Apr.-Jun.). Attach verifications (e.g., Section 3 Resident Affidavit and copy of photo identification) as necessary.

BHA Job No. _____ Month Ending: _____

NEW HIRES

| Employee Name <i>(Report New Hires Only)</i> | Job Title | Section 3 Resident? (Y/N) | Address | Date Hired | Hours this month | Hours to date | Cumulative Wages |
|---|--------------------------|------------------------------|--|-----------------|------------------|---------------|------------------|
| <i>Example: Gladys Jones</i> | <i>Project Assistant</i> | <i>Y</i> | <i>Franklin Field, 100 Ames St. Dorchester, MA 02124</i> | <i>10/15/11</i> | <i>80</i> | <i>200</i> | <i>3,000</i> |
| 1) | | | | | | | |
| 2) | | | | | | | |
| 3) | | | | | | | |
| 4) | | | | | | | |
| 5) | | | | | | | |

SECTION 3 BUSINESS CONCERNS

| Section 3 Business Concern | Address | Dates of Work | Contract Price | Paid to Date | Amount Remaining to be paid |
|----------------------------------|--|-----------------------------|----------------|--------------|-----------------------------|
| <i>Example: ABC Security Co.</i> | <i>123 Main St., Boston MA 02111</i> | <i>11/1/11- 5/30/12</i> | <i>15,000</i> | <i>2,500</i> | <i>12,500</i> |
| 1) | | | | | |
| 2) | | | | | |
| 3) | | | | | |
| 4) | | | | | |

[Company]

Date: _____

By: _____
[Signature]