

Fall River Housing Authority

Section 3 Business Concern Application

Section 3 is a provision of the Housing and Urban Development (HUD) Act of 1968 that helps foster local economic development, neighborhood economic improvement, and individual self-sufficiency. The Section 3 program requires that the Fall River Housing Authority (FRHA), to the greatest extent feasible, provide contracting opportunities for low- or very-low income businesses in connection with projects and activities in their neighborhoods. For instructions and more information see the FRHA Section 3 program instructions and program guide attached.

NAME OF BUSINESS: _____

ADDRESS OF BUSINESSES: _____

TELEPHONE NUMBER: _____ FAX NUMBER: _____

EMAIL ADDRESS: _____

CONTACT PERSON: _____ TITLE: _____

1. TYPE OF BUSINESS (Check Applicable Status) Corporation Partnership Sole Proprietorship Joint Venture
Women or Minority owned business? _____ Federal Employer Identification Number/SSN _____

2. CHECK WHERE APPLICABLE (All documents must be submitted with the application for participation)

I am an individual, sole proprietorship, partnership, corporation or joint venture claiming a Section 3 preference as (select one):

- (1) An individual, sole proprietorship, partnership, corporation or joint venture that has a 51% ownership by a Section 3 qualified individual. You must provide all applicable supporting documentation.

CHECK AND ATTACH ALL THAT APPLY

- | | |
|---|--|
| <input type="checkbox"/> If corporation, statement from Secretary of State showing firm is current with annual fees or provide copy of cancelled check. | <input type="checkbox"/> Sole Owner (If Applicable)
Last IRS 1040 |
| <input type="checkbox"/> List of Owners/Stockholders and ownership percentage (%) of each | <input type="checkbox"/> Partnership or Joint Venture Agreement |
| <input type="checkbox"/> Business Occupational License if required for your goods or services. | |

The Section 3 qualified individual with 51% ownership must submit the Section 3 Resident Application and Resident Household Income Certification form(s).

- (2) A business claiming 30% of its current full-time workforce qualifies as Section 3 resident, or within three years of the date of first employment with the business concern qualified as a Section 3 residents. You must complete the Section 3 Contractor or Subcontractor Payroll Report for each F/T employee who has been employed at least one month (this includes all employees of the company) and the Section 3 Resident Application and Resident Household Income Certification form and all required supporting documentation to be completed for each Section 3 Resident claimed in meeting the 30% threshold.

- (3) A business claiming to subcontract in excess of 25 percent of the dollar award of all subcontracts to be awarded to business concerns that meet the qualifications set forth in paragraphs (1) or (2) above. You must submit the List of Subcontractors (this list must demonstrate that 25% of the total dollar award of all subcontracts to be awarded to Section 3 business concerns). You must also submit a Section 3 Business Concern Application and all required supporting documentation for each company listed.

I certify to the best of my knowledge that the information contained here within, and the documents attached, is true and correct.

PRINT NAME: _____

SIGNATURE: _____ DATE: _____

TITLE: _____

Please fill out the Section 3 business concern application and submit all required forms to the Fall River Housing Authority's main office. Attn: Section 3 application, 85 Morgan St, Fall River, MA 02721 or Fax 508-675-3591 or Email adam.gautie@fallriverha.org

Section 3 Program Guide

What is Section 3?

Section 3 is a provision of the Housing and Urban Development (HUD) Act of 1968 that helps foster local economic development, neighborhood economic improvement, and individual self-sufficiency. The Section 3 program requires that the FRHA, to the greatest extent feasible, provide contracting opportunities for low- or very-low income businesses in connection with projects and activities in their neighborhoods.

What is a Section 3 business concern?

A Section 3 business concern is a business that:

- Is 51 percent or more owned by Section 3 residents
- Employs Section 3 residents for at least 30 percent of its full-time, permanent staff
- Provides evidence of a commitment to subcontract to Section 3 business concerns, 25 percent or more of the dollar amount of the awarded contract
- Your business can qualify for Section 3 eligibility by meeting one or more of the criteria listed above
- A business not located in Fall River is eligible if they employ residents or subcontract to businesses that reside in Fall River.

Who are Fall River Section 3 residents?

Fall River Section 3 residents are:

- Fall River public housing residents or HCVP (Section 8) recipients.
- Persons who reside in Fall River who have a household income that falls below HUD income limits for the Providence-Fall River metro area (see chart below)
- Persons who do not reside in Fall River or whose incomes are above the limits are not Section 3 eligible.

HUD Providence-Fall River MFI income Limits

1 Person	2 Person	3 Person	4 Person	5 Person	6 Person	7 Person	8 Person
\$41,000	\$46,850	\$52,700	\$58,550	\$63,250	\$67,900	\$72,600	\$77,300

How does the Fall River Housing Authority Section 3 Program Work?

When you submit your Section 3 business concern application your business contact information will be kept on file for contracting opportunities. Each time the FRHA has a contract to award the FRHA will review this list for potential businesses and you may be contacted by the FRHA for bids, quotes, or proposals. If you are not eligible for the Section 3 program the program is **optional** and does not bar you from future opportunities with the FRHA. It's solely intended to provide the FRHA with a list of low income businesses for potential contract opportunities. Preference in the award of a contract will be given to Section 3 qualified business concerns however award of contract is not guaranteed and will be awarded when consistent with local, federal, and state procurement law.

If you are interested in participating in the FRHA Section 3 program as a resident please submit the FRHA Section 3 resident application. Your contact information will be kept on file for possible employment within the FRHA or with other Section 3 business concerns.

How do you participate in the Section 3 program?

Please fill out the Section 3 business concern application and submit all required forms to the Fall River Housing Authority's main office. Attn: Section 3 application, 85 Morgan St, Fall River, MA 02721 or Fax 508-675-3591 or Email adam.gautie@fallriverha.org

If submitting with an IFB/RFP package please submit prior to IFB/RFP opening to location specified on IFB/RFP package.

Instructions for Section 3 Compliance

Business not claiming a Section 3 business concern preference:

The FRHA Section 3 program is **optional** and not required to do business with the FRHA. It's solely a program to develop relationships with low income businesses and provide possible opportunities for contracts. Failure to complete, execute, and submit all forms will render the vendor/contractors to **not** be considered for a Section 3 preference.

Business claiming a Section 3 business concern preference:

A business claiming a Section 3 business concern preference must submit Section 3 required certification documents. To qualify, the party wishing to claim a Section 3 preference shall complete the following forms and submit:

1. For all individual, sole proprietorship, partnership, corporation, or joint venture claiming a Section 3 preference claiming a 51% ownership by a Section 3 qualified individual.
 - Section 3 Business Concern Application and all required supporting documentation
 - List of Current (pre-bid) Employees
 - Section 3 Strategy Commitment and Compliance Assessment
 - Section 3 Resident Application
 - Section 3 Resident Household Income Certification
2. For businesses claiming 30% of their current full-time workforce qualify as Section 3 residents, or within three years of the date of first employment with the business concern were Section 3 residents.
 - Section 3 Business Concern Application
 - List of Current (pre-bid) Employees
 - Section 3 Contractor or Subcontractor Payroll Report Complete for each F/T employee who has been employed at least one month. (this includes all employees of the company)
 - Section 3 Resident Preference Claim Form and all required supporting documentation (to be completed for each section 3 resident claimed in meeting the 30% threshold)
 - Section 3 Resident Application (to be completed for each section 3 resident claimed in meeting the 30% threshold)
 - Section 3 Resident Household Income Certification (to be completed for each section 3 resident claimed in meeting the 30% threshold)
 - Section 3 Strategy Commitment and Compliance Assessment
3. For businesses claiming to subcontract 25% of the dollar award of all subcontracts to be awarded to business concerns that meet qualifications set in the previous 2 paragraphs.
 - Section 3 Business Concern Application
 - List of Current (pre-bid) Employees
 - Section 3 Contractor or Subcontractor Payroll Report Complete for each F/T employee who has been employed at least one month. (this includes all employees of the company)
 - Section 3 Resident Preference Claim Form and all required supporting documentation (to be completed for each section 3 resident claimed in meeting the 30% threshold)
 - Section 3 Resident Application (to be completed for each section 3 resident claimed in meeting the 30% threshold)
 - Section 3 Resident Household Income Certification (to be completed for each section 3 resident claimed in meeting the 30% threshold)
 - Section 3 Strategy Commitment and Compliance Assessment

Completing the Section 3 Strategy Commitment

In completing the Section 3 Strategy Commitment, the bidder's efforts shall be directed towards identifying methods to achieve success under this program, as opposed to documenting the reasons why success was not achieved. Some examples of good faith efforts include, but are not limited to the following:

Hiring:

- Prominently place a notice of commitments under Section 3 at the project site or other places where applications for training and employment are taken.
- Contact local job training centers, employment service agencies, and community organizations.
- Develop on-the-job training opportunities or participate in job training programs.
- Contact FRHA, FRHA resident councils, FRHA resident management corporations, and FRHA residents.
- Contact FRHA for a list of agencies which may be able to provide assistance regarding opportunities for training which can be utilized on this contract.
- Advertise in the local media.
- Keep a list of Section 3 area residents who apply on their own or by referral for available positions.
- Send to labor organizations or representatives of workers with whom the recipient, contractor, or subcontractor has a collective bargaining agreement or other understanding, a notice about contractual commitments under Section 3.
- Select Section 3 area residents, particularly FRHA residents, for training and employment positions.
- Provide ongoing monitoring of the program by the contractor and its subcontractors to ensure compliance and to identify problems or difficulties in meeting the requirements, and implement strategies to overcome the problems. Where problems or difficulties in meeting the goals are encountered, take aggressive efforts to rectify the matter. Such action shall include, but not be limited to convening a meeting with FRHA to advise it of the problems and proposed solutions. FRHA will offer its assistance whenever possible.

Contracting:

Target recruitment of Section 3 business concerns by taking such steps as:

- Contact Section 3 business concerns in the FRHA's directory.
- Prominently place a notice of commitment relative to Section 3 contracting at the project site and other appropriate places.
- Contact FRHA for a list of certified firms.
- Contact other organizations which might be helpful in identifying Section 3 business concerns.
- Advertise in the local media.
- Dividing total work into smaller sub-tasks (i.e. by floor);
- Using multiple firms for the same type of work (i.e. two drywall subcontractors or several plumbing suppliers);
- Exercise flexibility in utilizing Section 3 business concerns in other or additional areas than initially proposed if necessary to meet the program objectives.
- Provide ongoing monitoring of the program by the contractor and its subcontractors to ensure compliance and to identify problems or difficulties in meeting the requirements, and implement strategies to overcome the problems. Where problems or difficulties in meeting the goals are encountered, take aggressive efforts to rectify the matter. Such action shall include, but not be limited to convening a meeting with FRHA to advise it of the problems and proposed solutions. FRHA will offer its assistance whenever possible.

What is Section 3?

Section 3 is a provision of the Housing and Urban Development (HUD) Act of 1968 that helps foster local economic development, neighborhood economic improvement, and individual self-sufficiency. The Section 3 program requires that the Fall River Housing Authority (FRHA), to the greatest extent feasible, provide job training, employment, and contracting opportunities for low- or very-low income residents in connection with projects and activities in their neighborhoods. For instructions and more information see the FRHA Section 3 Program Guide attached.

Who are Section 3 residents?

Section 3 residents are:

- Public housing residents or HCVP participants (Section 8)
- Persons who live in Fall River and who have a household income that falls below HUD's income limits.(see chart below)
- Persons who do not reside in the city of Fall River are not eligible for the Section 3 program.
- Persons not eligible for Section 3 still have employment opportunities. The program is **optional** and does not bar you from future employment opportunities with the FRHA or other contractors/vendors. It's solely intended to provide the FRHA with a list of low income residents for potential job opportunities. Employment is not guaranteed.

Section 3 Resident Determination

1. I am am not a resident of the Fall River Housing Authority. If you are, please give the name of your public housing development. _____

2. I do do not receive assistance from a Fall River Housing Authority Housing Choice Voucher program (Section 8).

3. I am am not a resident of Fall River

4. Find your family size in the box below.

Is your family income equal to or less than the income listed below? YES NO

HUD Providence-Fall River MFI income Limits

1 Person	2 Person	3 Person	4 Person	5 Person	6 Person	7 Person	8 Person
\$41,000	\$46,850	\$52,700	\$58,550	\$63,250	\$67,900	\$72,600	\$77,300

I have attached one of the following documents as proof of my status:

- Proof of residency (lease in a HUD or other federally assisted program).
- Proof of public assistance, e.g., Temporary Assistance to Needy Families (TANF) recipients, etc.
- Proof of participation in a HUD YOUTHBUILD program
- Proof of participation in a federally assisted program such as job training programs, etc.
- Proof of participation in a state or local assistance program, or other program that assists low- or very-low income persons.
- Resident Household Income Certification form. **(Please attach only for a resident who is not a public housing resident or not a recipient of a housing assistance program such as HCVP (Section 8))**

PRINT NAME: _____

ADDRESS: _____

PHONE: _____ EMAIL: _____

SIGNATURE: _____ DATE: _____

Please submit this application to your development's main office or the Fall River Housing Authority's main office.
 ATTN: FRHA Section 3 Application, 85 Morgan St, Fall River, MA 02721
 Fax: 508-675-3591
 Email: adam.gautie@fallriverha.org

Fall River Housing Authority

Section 3 Resident Household Income Certification

Any individual who is seeking to be certified as a Section 3 resident, and who is **not a public housing resident, or not in a federally assisted housing program, or not a recipient public assistance program** shall attest to their total current gross annual household income, and provide the name and date of birth of each household member. All additional household income earned by household members, excluding children under 18, and/or provided through public or private assistance, child support, bank or investment earnings must be included, where indicated below.

I, _____, (Individual's Full Name) **DO SOLEMNLY SWEAR THAT THE INFORMATION I HAVE PROVIDED BELOW IS TRUE.**

Number of family members who live in my household: _____.

My total current gross annual household income is: _____.

The source(s) of my total **annual** household income is/are:

	Head of Household	Spouse (if applicable)	Other Adult Members age 18 & over (if applicable)	Other Adult Members age 18 & over (if applicable)	Other Adult Members age 18 & over (if applicable)	Other Adult Members age 18 & over (if applicable)
Gross Earnings						
TANF						
Child Support						
Bank Income						
Other Income (list)						
1.						
2.						
3.						
4.						

PRINT NAME: _____

SIGNATURE: _____ **DATE:** _____

Fall River Housing Authority

SECTION 3 CONTRACTOR OR SUBCONTRACTOR PAYROLL REPORT

* REGULAR, FULL-TIME EMPLOYEES ONLY

If you are claiming a Section 3 preference by declaring that 30% of your workforce qualifies as Section 3 employees, you must submit documentation with you bid for each current public housing or other Section 3 employee for four weeks or one month, immediately preceding Invitation to bid notice, or application date, whichever is more recent.

Total Number of Permanent, Full-Time Employees _____

	Section 3 Employee Name	Time Period	Social Security #	Hourly Rate	Hours Per Week	Gross Pay Per Week
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
11						
12						
13						
14						
15						
16						
17						
18						
19						
20						
21						
22						
23						
24						
25						
26						
27						
28						

COMPANY NAME: _____

PRINT NAME: _____

AUTHORIZED COMPANY TITLE: _____

SIGNATURE: _____ **DATE:** _____

*** The Fall River Housing Authority may request the contractor or subcontractor to produce copies of their firm's actual payroll records to substantiate any information included on this form.**

Fall River Housing Authority

SECTION 3 CONTRACTOR OR SUBCONTRACTOR REPORT

*SUBCONTRACTS TO SECTION 3 CERTIFIED BUSINESS CONCERNS ONLY

If you are claiming a Section 3 preference by declaring that you are subcontracting 25 percent or more of the dollar amount of the awarded contract to Section 3 business concerns, you must submit documentation with you bid/proposal for each certified Section 3 business concern claimed.

Bid/RFP Title and Number: _____ Total amount of your bid: _____

	Subcontractor	Date of Submission of Section 3 Business Application *	Federal Identification # or Social Security #	Type of Work to be Performed	Number of Employees	Total Amount of Subcontract
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
11						
12						
13						
14						
15						
16						
17						
18						
19						
20						
21						
22						
23						
24						
25						
26						

COMPANY NAME: _____

PRINT NAME: _____

AUTHORIZED COMPANY TITLE: _____

SIGNATURE: _____ DATE: _____

* The Fall River Housing Authority requires that each subcontractor substantiate his/her Section 3 claim by submitting a Section 3 Business Application prior to or with the bid submission.