

SECTION 3 PERFORMANCE EVALUATION AND REGISTRY SYSTEM (SPEARS)


SECTION 3 ANNUAL REPORT - FORM HUD 60002

VERSION 3.0

HUD.GOV

U.S. Department of Housing and Urban Development

Secretary Ben Carson



Section 3 Summary Annual Reporting System - Form 60002

INSTRUCTIONS FAQ CONTACT US LOGOUT

OMB Approval No. 2529-0043 (exp. 11/30/2018)

Section 3 60002 Form Home

Public reporting for this collection of information is estimated to average 8 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, 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 a self-monitoring tool. The data is entered into a database and will be analyzed and made available to the public upon request. 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)(8) 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.

Welcome FIRST - MSCT02 LAST - MSCT02

Please select the disbursement agency: *

Select an Agency...

If you are filing a report as an entity other than the agency to which funds were disbursed, you may identify your reporting entity later.

Continue

Session Timeout Warning: This application has a one-hour session timeout period. If there is no system activity (keystrokes or mouse movement) after one-hour, this application will timeout and your data will be lost.

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v3.0

USER INSTRUCTIONS

Section 3 Applicability

The following agencies that are direct recipients of the following HUD assistance are required to submit Form HUD 60002:

- a. **Public and Indian Housing (PIH)** funding: (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; (3) modernization grants pursuant to Section 14 of the U.S. Housing Act of 1937; and (4) certain other competitive PIH grant funding, such as HOPE VI or Choice Neighborhoods¹. Section 3 applies to all funding listed above, regardless of the dollar amount provided to the direct recipient.

EXEMPTION—PHAs that only receive or administer tenant-based Housing Choice (Section 8) Vouchers and do not utilize any of the financial assistance in connection with construction or rehabilitation or in conjunction with the funding described above.

- b. **Housing and Community Development Assistance (HCD)** funding: Section 3 applies to training, employment, contracting and other economic opportunities arising in connection with the expenditure of housing assistance (including section 8 assistance, and other housing assistance) and community development assistance that is used for the following projects; (1) Housing rehabilitation (including reduction and abatement of lead-based paint hazards, but excluding routine maintenance, repair and replacement); (2) housing construction; and (3) other public construction. Section 3 applies to all construction related activities and projects when the direct recipient receives more than \$200,000 from all sources of HCD funding in a given 12-month reporting period.

1 Section 3 Reporting Requirements

Direct recipients of HUD funding subject to Section 3 requirements are required to submit Section 3 reports for each type of covered funding received during their fiscal cycle or program year by submitting Form HUD 60002 in accordance with the following:

- a. If the program providing covered HUD funding requires an annual performance report (i.e., CAPERs report, etc.), Form HUD 60002 is due and shall be submitted electronically at the same time the program performance report is due.
- b. If an annual performance report is not required, Form HUD 60002 shall be submitted electronically by January 10th of each year.
- c. If the grantee received funding for a project (e.g., HOPE VI, Lead Hazard Control grant, etc.) that ends before December 31, Form HUD 60002 shall be submitted electronically with each annual performance report and/or within 10 days of project completion.

¹See the specific HUD Notice of Funding Availability (NOFA) to determine Section 3 applicability for competitive funding.

Form HUD 60002 should **not** be submitted by sub-recipients or contractors that receive funding from direct recipients of covered assistance. These entities must consult the direct recipient of covered funding to determine their Section 3 reporting requirements.

Recipients that submit false or erroneous data into this SPEARS will be subject to sanctions as set forth in the program NOFA or regulation governing the financial assistance used, such sanctions may include repayment of HUD funding or civil and criminal penalties.

2 Submitting Form HUD 60002 to HUD

The Section 3 Performance Evaluation and Registry System (SPEARS) is a Web-based system that allows direct recipients of HUD funding that are covered by Section 3 to submit Form HUD 60002. To access this system, users must obtain a user ID and password in HUD's Web Access Secure Systems (WASS) and have access to the FHSEC3 system in WASS. Visit the [60002 User Registration Guide](#) for information on how to register in WASS for access to SPEARS.

Section 1 – User Login Page

1. Login to Secure Systems URL: https://hudapps.hud.gov/HUD_Systems
2. Enter User ID and Password
3. [Click] the Login Button
- 4.

The screenshot shows the 'User Login' page. On the left is a blue sidebar with a house icon and the text 'Secure Systems Single Sign On'. The main content area has a blue header with 'User Login' and navigation links 'faq | help | search | home'. Below the header are input fields for 'User ID' and 'Password'. A link for 'Forgot your password?' is present. At the bottom are 'Login' and 'Cancel' buttons. A red 'ATTENTION' message and a 'NOTE' about session timeouts are displayed. The footer contains a home icon, contact information for the U.S. Department of Housing and Urban Development, and links for 'Home | Privacy Statement'.

User Login [faq](#) | [help](#) | [search](#) | [home](#)

Secure Systems
Single Sign On

User ID

Password

[Forgot your password?](#) Click the link to reset your password and for other useful information.

ATTENTION: This computer system, and all the systems associated with this system for User Authorization and Authentication, are protected by a computer security system; unauthorized access to these systems is not permitted; and usage may be monitored.

NOTE: There is an inactivity timeout of 30 minutes. Please save your work periodically to avoid being logged out. Please also note that there is a 4 hour session timeout, after which, you will need to re-authenticate. You can then resume where you left off.

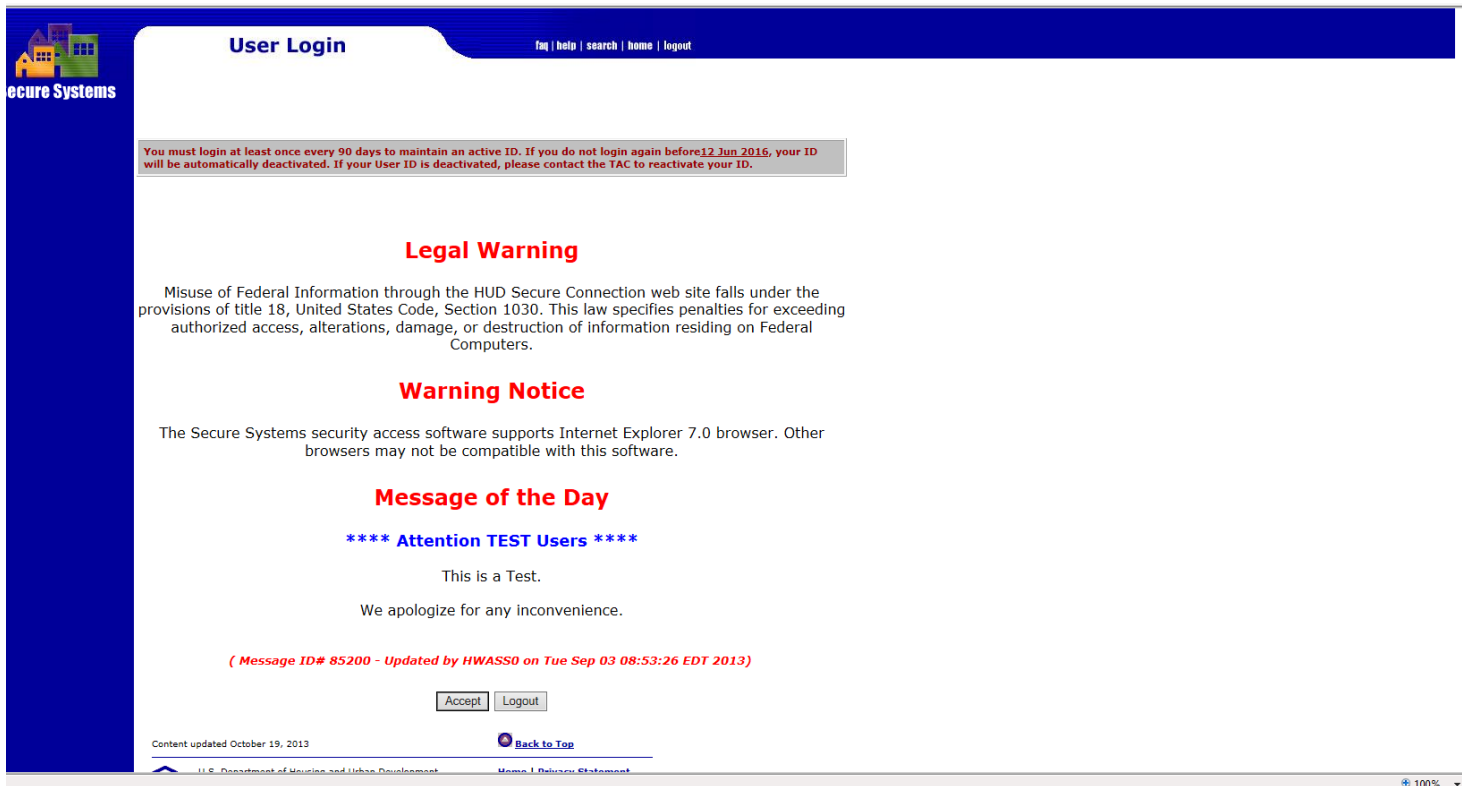
Content updated June 15, 2007

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[Home](#) | [Privacy Statement](#)

User Login Page

[Click] **Accept**



The screenshot shows the HUD Secure Systems User Login Page. The page has a blue header with the 'Secure Systems' logo on the left and navigation links (faq, help, search, home, logout) on the right. A yellow warning box at the top states: 'You must login at least once every 90 days to maintain an active ID. If you do not login again before 12 Jun 2016, your ID will be automatically deactivated. If your User ID is deactivated, please contact the TAC to reactivate your ID.' Below this, the 'Legal Warning' section states: 'Misuse of Federal Information through the HUD Secure Connection web site falls under the provisions of title 18, United States Code, Section 1030. This law specifies penalties for exceeding authorized access, alterations, damage, or destruction of information residing on Federal Computers.' The 'Warning Notice' section states: 'The Secure Systems security access software supports Internet Explorer 7.0 browser. Other browsers may not be compatible with this software.' The 'Message of the Day' section, dated 03 Sep 2013, says: '**** Attention TEST Users **** This is a Test. We apologize for any inconvenience.' At the bottom, there are 'Accept' and 'Logout' buttons. The footer includes the text 'Content updated October 19, 2013', a 'Back to Top' link, and the HUD logo with the text 'U.S. Department of Housing and Urban Development' and 'Home L. Release Statement'. The browser status bar at the bottom right shows '100%' zoom.

Secure Systems

faq | help | search | home | logout

You must login at least once every 90 days to maintain an active ID. If you do not login again before 12 Jun 2016, your ID will be automatically deactivated. If your User ID is deactivated, please contact the TAC to reactivate your ID.

Legal Warning

Misuse of Federal Information through the HUD Secure Connection web site falls under the provisions of title 18, United States Code, Section 1030. This law specifies penalties for exceeding authorized access, alterations, damage, or destruction of information residing on Federal Computers.

Warning Notice

The Secure Systems security access software supports Internet Explorer 7.0 browser. Other browsers may not be compatible with this software.

Message of the Day

**** Attention TEST Users ****

This is a Test.

We apologize for any inconvenience.

(Message ID# 85200 - Updated by HWASS0 on Tue Sep 03 08:53:26 EDT 2013)

Accept Logout

Content updated October 19, 2013

[Back to Top](#)

U.S. Department of Housing and Urban Development Home L. Release Statement

100%

Main Menu Page

[Select] **Section 3 Performance Evaluation and Registry System (SPEARS)** from the **Main Menu** Page



The screenshot shows a web application interface with a dark blue header and sidebar. The header contains the text "Main Menu" and navigation links: "faq | help | search | home | logout". The sidebar on the left features a logo with three houses and the text "Secure Systems". Below the logo, it says "Welcome FIRST - MSCT21" and "LAST - MSCT21". A "systems" section in the sidebar lists "Section 3 - Performance Evaluation and Registry System (SPEARS)". The main content area has a "Systems" section with a link to "Section 3 - Performance Evaluation and Registry System (SPEARS)" and a "System Administration" section with links for "Business Partners Maintenance", "Password Change", "Property Assignment Maintenance", and "User Maintenance". At the bottom, there is a footer with contact information for the U.S. Department of Housing and Urban Development, a "Back to Top" button, and links for "Home" and "Privacy Statement".

Secure Systems

Welcome FIRST - MSCT21
LAST - MSCT21

systems

- Section 3 - Performance Evaluation and Registry System (SPEARS)

Main Menu

faq | help | search | home | logout

Systems

- [Section 3 - Performance Evaluation and Registry System \(SPEARS\)](#)

System Administration

- [Business Partners Maintenance](#)
- [Password Change](#)
- [Property Assignment Maintenance](#)
- [User Maintenance](#)

Content updated October 19, 2013

[Back to Top](#)

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[Home](#) | [Privacy Statement](#)

Section 2- SPEARS Home Page

1. [Select] the **Disbursement Agency** from the Drop-Down List
 - Disbursement agency is the agency that is the direct recipient of HUD funding

NOTE: If you are filing as an entity other than the agency which is described as the **Disbursement Agency** from, you may identify your “**Reporting Entity**” later

2. [Click] the **CONTINUE** button

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Secretary Julián Castro



Section 3 Summary Annual Reporting System - Form 60002

[INSTRUCTIONS](#) [FAQ](#) [CONTACT US](#) [LOGOUT](#)


OMB Approval No. 2529-0043 (exp. 11/30/2018)

Section 3 60002 Form Home

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Welcome FIRST - MSCT21 LAST - MSCT21

Please select the disbursement agency: *

Select an Agency... 

If you are filing a report as an entity other than the agency to which funds were disbursed, you may identify your reporting entity later.

Continue

Session Timeout Warning: This application has a one-hour session timeout period. If there is no system activity (keystrokes or mouse movement) after one-hour, this application will timeout and your data will be lost.

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SPEARS Home Page

SPEARS will automatically retrieve disbursement (or drawdown) data from HUD's Line of Credit Control System (LOCCS). This process may take several minutes to complete.

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Section 3 Summary Annual Reporting System - Form 60002

[INSTRUCTIONS](#) [FAQ](#) [CONTACT US](#) [LOGOUT](#)

OMB Approval No. 2529-0043 (exp. 11/30/2018)

Section 3 60002 Form Home

Public reporting for this collection of information is estimated to average 8 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, 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 a self-monitoring tool. The data is entered into a database and will be analyzed and made available to the public upon request. 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.

Welcome FIRST - MSCT21 LAST - MSCT21

Please select the disbursement agency: *

HSG AUTH OF BIRMINGHAM DISTRICT (63-6000390)

If you are filing a report as an entity

Please wait while we retrieve your grant disbursements. This may take a few minutes.

reporting entity later.

Continue

Session Timeout Warning: This application has a one-hour session timeout period. If there is no system activity (keystrokes or mouse movement) after one-hour, this application will timeout and your data will be lost.

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Section 3 – Agency Fiscal Year - New

After agency disbursement data has been loaded, the **Agency Fiscal Year Verification** screen may be displayed. This is a **one-time verification** for your agency. Once the fiscal year has been verified for your agency, this screen will no longer appear in future visits to SPEARS.

Agency Fiscal Year Verification

Please verify the month this agency's fiscal cycle begins.

Fiscal Cycle Begins: ▼

After verifying your agency's fiscal cycle, you will continue to the Section 3 Agency Summary.

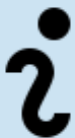
[Continue](#)

- [Select] **Fiscal Cycle Begins** from the drop down menu. This is the first month of your agency's fiscal year.
- [Click] **Start Report** to continue.

Section 4 – Agency Summary

The **Agency Summary** screen will be displayed. From this page, users may view notices, view/start expected reports, start a custom report, view/print/save past reports, request to unlock or delete reports and view details on unreported disbursements.

1. View Notices



Notice






Date 4/13/17


Subject HUD Section 3 Expected Report

[Read notice](#)

- The HUD 60002 system sends email notices when expected reports are due. A copy of recent notices emailed to your agency are available for viewing.
- [Click] **Read notice** to view recent notices.

2. Start Expected Report

Period	Program Area	Amount	Start
03/01/2016–02/28/2017	Emergency Shelter Grants (EMRG)	\$1,183,879.06	
10/01/2016–02/28/2017	HOME Program (HOME)	\$817,569.36	
10/01/2016–02/28/2017	Community Devel Block Grants (CDB1)	\$8,581,144.23	
10/01/2016–02/28/2017	Urban Revitalization Program(Hope6) (URP)	\$271,211.82	
10/01/2016–02/28/2017	Hsg Opport for Persons with AIDS (HPWA)	\$1,480,493.17	

- A list of Expected Reports for your agency is displayed.
- [Click]  to start a report for the selected disbursement.

3. Start Custom Report

[Start custom report...](#) 

The **Start Custom Report** screen is used to start a report for disbursements not listed in **Expected Reports** or when a report must be filed for dates different than an agency's fiscal cycle.

Start a new report

To start a new report enter the start date for the 12 month reporting period that the new report covers. The reporting period should coincide with your fiscal year (also referred to as program year). Data will be extracted from LOCCS for the 12-month period beginning after the start date indicated.

Reporting Period Month:

Reporting Period Year:

Report Coverage: All Program Areas (Moving To Work)

Cancel

Start Report...


- a. [Click] **Start Custom report** to generate a report not aligned with your fiscal year.
- b. [Select] a **Program Area, Month, and Year** from the drop down menus. *Note: Moving to Work agencies will not need to select a program area.*
- c. [Click] **Start Report** to continue.

Section 5 – New Report Page

1. Disbursement Details

- This page is automatically populated with the disbursement agency name, address, and tax ID with the program area, reporting period and the amount disbursed as reported in HUD's Line of Credit Control (eLOCCS) system.

2. Preliminary Questions

- a. Select the yes or no answer option for both preliminary questions.
- b. The  icon will display information for each question.


3. Reporting Entity

- a. By default, the Reporting Entity details will be filled with the disbursement agency's details.
- b. If the reporting entity is different from the disbursement agency, enter the reporting entity details.
- c. Fill in all required information. Fields marked with an asterisk (*) are required.
- d. **Note:** If a previous report has been submitted for a reporting entity different from a disbursement agency, the name and details will be available under the Past Entities drop down menu.

4. Contact Person

- Enter the name and contact information for the person who will be responsible for the report.
- Note: If a previous Report has been submitted, contact information will be available under the Past Contact Persons drop-down menu.
- Under **Reporting Entity** section, next to **Past Entities**, [Select] **Add New** from the dropdown box if another entity is submitting this report on behalf of the recipient agency, and enter the entity's Name and Address

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Section 3 Summary Annual Reporting System - Form 60002
INSTRUCTIONS FAQ CONTACT US LOGOUT
OMB Approval No. 2529-0043 (exp. 11/30/2018)

Section 3 60002 New Report

Disbursement Details

HSG AUTH OF BIRMINGHAM DISTRICT (63-6000390)
1826 3rd Avenue S

Birmingham, AL 35233

Capital Fund Program (CFP)
01/01/2012 through 12/31/2012
\$3,387,842.47

Preliminary Questions

1. Did the expenditure of these funds result in new hires for your agency or your contractors? ⓘ
☐ Yes ☐ No

2. Did the expenditure of these funds result in any covered contracts? ⓘ
☐ Yes ☐ No

Reporting Entity

Select "Add New" from the dropdown box if a different entity is submitting this report.

Past Entities:

Entity Name: *

Address 1: *

Address 2:

City: *

State: *

Zip: *

Contact Person

Select the contact person associated with the Reporting Entity from the dropdown box or choose "Add New" to enter new contact information.

Past Contact Persons:

Contact Person: *

Phone Number: *

Fax Number:

Email Address: *

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Section 6 – Short Report

Preliminary Questions: Section 3 requirements are only triggered when the expenditure of HUD funds results in new hires or contract awards.

Answering **YES** to one or both of the preliminary questions indicates that the recipient agency has Section 3 obligations and **must** complete Form HUD 60002 in its entirety in SPEARS.

Answering **NO** to both of the preliminary questions indicates that the recipient agency did not trigger the requirements of Section 3 during the expenditure of the covered funds disbursed. SPEARS will advance the user to the SUBMIT FORM PAGE where they will be required to certify that this information is accurate and submit Form HUD 60002 to HUD.

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Section 3 Summary Annual Reporting System - Form 60002

INSTRUCTIONS FAQ CONTACT US LOGOUT

OMB Approval No. 2529-0043 (exp. 11/30/2018)

Section 3 60002 New Report

Disbursement Details

HSG AUTH OF BIRMINGHAM DISTRICT (63-6000390)
1826 3rd Avenue S
Birmingham, AL 35233
Capital Fund Program (CFP)
01/01/2012 through 12/31/2012
\$3,387,842.47

Reporting Entity

Select "Add New" from the dropdown box if a different entity is submitting this report.

Past Entities: HSG AUTH OF BIRMINGHAM DISTRICT

Entity Name: * HSG AUTH OF BIRMINGHAM DISTRICT

Address 1: * 1826 3rd Avenue S


Address 2:


City: * Birmingham

State: * AL

Zip: * 35233

Preliminary Questions

1. Did the expenditure of these funds result in new hires for your agency or your contractors? 
☒ Yes ☐ No

2. Did the expenditure of these funds result in any covered contracts? 
☒ Yes ☐ No

Contact Person

Select the contact person associated with the Reporting Entity from the dropdown box or choose "Add New" to enter new contact information.

Past Contact Persons: Add New

Contact Person: * Test

Phone Number: * (205) 555-1212

Fax Number:

Email Address: * Test@habd.com

Cancel

Create Report

U.S. Department of Housing and Urban Development

SUBMIT FORM PAGE

Users that answered **NO** to both of the **Preliminary Questions** will be directed to the **SUBMIT FORM** PAGE where they will be required to certify that this information is accurate and **Submit Form** HUD 60002 to HUD.

The screenshot shows the 'Submit Form' page of the HUD.GOV Section 3 Summary Annual Reporting System - Form 60002. The page header includes the HUD.GOV logo, U.S. Department of Housing and Urban Development, Secretary Julián Castro, and the title 'Section 3 Summary Annual Reporting System - Form 60002'. Navigation links for 'INSTRUCTIONS', 'FAQ', 'CONTACT US', and 'LOGOUT' are present, along with the OMB Approval No. 2528-0043 (exp. 11/30/2016).

The main form area is titled 'Submit Form' and contains several sections:

- Disbursement Agency:** HARE Capital Fund Ctr (65-000090), 123 Main Street, Birmingham, AL 35222.
- Reporting Entity:** HARE Capital Fund Ctr, 123 Main Street, Birmingham, AL 35222.
- Contact Person:** Name: Tom, Phone Number: (205) 555-1212, Fax Number: , Email Address: Tom@hud.com.
- Disbursement Details:** Program Area: Capital Fund Program (CFP), Reporting Period: 01/01/2012 through 12/31/2012, Amount: \$1,237,842.67.

Below these sections, a statement reads: 'The expenditure of these funds did not result in any covered contracts or new hires during the 12-month period selected.' This is followed by a text area for 'You may describe other efforts made to achieve Section 3 compliance below:' with a rich text editor toolbar.

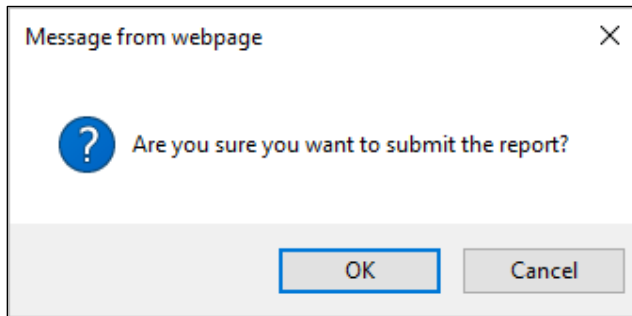
The **Certification Statement** section states: 'By submitting this Section 3 report, I certify under penalty of perjury under 18 U.S.C. § 1766 that the statements and information contained herein regarding the (1) meet the regulatory requirements of Section 3 of the Housing and Urban Development Act of 1968 as amended at 24 CFR § 155, and (2) are, to the best of your knowledge, true, full and accurate.'

At the bottom of the form are two buttons: 'Cancel Report' and 'Submit Form'.

The footer of the page includes: U.S. Department of Housing and Urban Development, 401 Tenth Street, N.W., Washington, DC 20013, Telephone: (202) 726-1112, TTY: (202) 726-1422, v2.0.

- a. Verify that the information is correct.

- b. A text box is provided below for you to describe efforts taken to achieve Section 3 compliance. This information is optional for the short form.
- c. [Click] **Submit Form**.
- d. A confirmation dialog will be displayed:



- e. [Select] **Submit Form** to submit the form to HUD.
 - f. After successful submission, you will be returned to the Agency Summary screen.
- Note:** A submitted short form cannot be unlocked for editing. It can only be deleted and resubmitted.

Section 7 – Employment and Training Opportunities Page

1. Select the job category from the dropdown menu for new hires that were obtained by your agency or our sub-recipients or contractors
2. Enter the total number of new hires for the job category selected
3. Enter the number of new hires that met the definition of a Section 3 resident for the job category selected
4. Enter the aggregate number of staff hours worked by all employees for the job category selected (optional)
5. Enter the total number of staff hours worked by employees that met the definition of a Section 3 resident for the job category selected (optional)
6. Enter the number of trainees that met the definition of a Section 3 resident for the job category selected
7. [Click] the “**Continue to Agency Contracting**” button when all data has been entered

Employment and Training Opportunities

Disbursement Agency: HABD Capital Fund Ofc
 Reporting Entity: HABD Capital Fund Ofc
 Program Area: Capital Fund Program (CFP)
 Amount: \$3,387,842.47
 Reporting Period: 01/01/2012 through 12/31/2012

List employment opportunities created by the recipient agency, its subrecipients, and contractors as a result of the expenditure of the covered funds above.

If you have no New Hires, leave this form blank and continue using the "Continue To Agency Contracting" button below.

Job Category	Number of New Hires	Number of New Hires that are Section 3 Residents	Aggregate Number of Staff Hours Worked (Optional)	Total Staff Hours Worked by Section 3 Employees (Optional)	Number of Section 3 Trainees
Carpentry	10	2			
Select Item...					
Select Item...					
Select Item...					
Select Item...					
Select Item...					
CATEGORY TOTAL:	10	2	0	0	0

Exit Report

Add Rows

Save

Continue To Agency Contracting

To add more rows, save your work and additional rows will be provided.

TIPS:

- ✓ To remove a job category—Click "Select Item" from the dropdown menu
- ✓ Users do not have to enter zeros into every field on this page
- ✓ Users may add additional jobs by clicking on the "Add Rows" button
- ✓ Agencies that do not meet the minimum numerical goal for hiring (i.e., 30% of new hires shall be Section 3 residents) will be required to provide an explanation on the "Other Efforts to Achieve Compliance Page"

Section 8 – Contracting Opportunities Page

1. Enter the total dollar amount of construction contracts awarded from the agency's disbursements during the reporting period
2. Enter the dollar amount of construction contracts that were awarded to businesses that meet the definition of a Section 3 business during the reporting period (This number should be a sub-set of the total dollar amount of construction contracts awarded)
3. The percentage is automatically calculated
4. Enter the number of Section 3 businesses that were awarded contracts during the reporting period (i.e., the number of businesses that received the construction contracts awarded in item #2)
5. Enter similar information in the non-construction contracting portion of the screen.
6. To save changes to complete the report at a later time, [click] **Save**.
7. To return to the Agency Summary screen without saving changes, [click] **Exit Report**.

Disbursement Agency: HABD Capital Fund Ofc
Reporting Entity: HABD Capital Fund Ofc
Program Area: Capital Fund Program (CFP)
Amount: \$ 3,387,842.47
Reporting Period: 01/01/2012 through 12/31/2012

List Contracting Opportunities for Both Construction and Non-Construction Contracts:

Construction Contracting Opportunities:

Total Dollar Amount of Construction Contracts Awarded:	<input type="text" value="\$750,000"/>
Dollar Amount of Construction Contracts Awarded To Section 3 Businesses:	<input type="text" value="\$60,000"/>
Percentage:	<input type="text" value="8%"/>
Number of Section 3 Businesses that Received Construction Contracts:	<input type="text" value="1"/>

Non-Construction Contracting Opportunities:

Total Dollar Amount of Non-Construction Contracts Awarded:	<input type="text" value="\$50,000"/>
Dollar Amount of Non-Construction Contracts Awarded To Section 3 Businesses:	<input type="text" value="\$20,000"/>
Percentage:	<input type="text" value="40%"/>
Number of Section 3 Businesses that Received Non-Construction Contracts:	<input type="text" value="0"/>

Non-construction contracts are typically construction-related contracts for professional services like: landscaping, pest control, accounting, architecture, legal services, engineering, etc.

[Exit Report](#)

[Save](#)

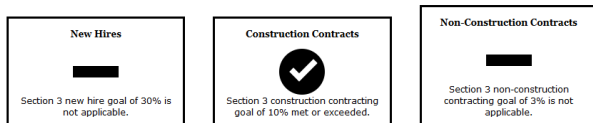
[Continue To Report Summary](#)

Section 9 – Summary of Best Efforts to Comply

1. Section 3 Goals.

- a. A visual indicator of each Section 3 goal is displayed. A ✔ shows that a goal has been met.

Section 3 Goals



- b. Verify that the information is correct. If corrections are needed, [Select] the **Exit Report** button to go back to the **Agency Summary** screen.

2. Best Efforts to Comply by Agency, Subrecipients or Contractors.

- a. Indicate best efforts to comply by [Checking] any applicable checkboxes.

Indicate the efforts taken to direct employment, training or contracting opportunities to Section 3 residents and businesses.








Section 3 Recruitment
<input type="checkbox"/> Recruited Section 3 residents through: local advertising media, signs prominently displayed at the project site, contacts with 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.
Training or Employment of Section 3 Residents
<input type="checkbox"/> Participated in a HUD program or other program which promotes the training or employment of Section 3 residents.
Promoting Section 3 Businesses
<input type="checkbox"/> Participated in a HUD program or other program which promotes the award of contracts to business concerns that meet the definition of a Section 3 business concern.
Pre-Apprenticeship Programs
<input type="checkbox"/> Coordinated with Youthbuild Programs administered in the metropolitan area in which the Section 3 covered project is located.

3. Efforts for achieving compliance, barriers encountered.

- a. Recipients that failed to meet any of the three minimum numerical goals for employment, construction contracts, or non-construction contracts **MUST** enter an explanation into the narrative box on this page.

Efforts for achieving compliance, barriers encountered, etc...

The other efforts section isn't required because your agency met all three minimum numerical goals for the reporting period, but you may still describe other efforts to achieve Section 3 compliance.

B **I**       

- b. [Select] **Continue to Report Summary** to proceed.

Section 10 – Report Summary and Certification

1. Report Summary

- a. A Report Summary Screen will be presented prior to submission.
- b. Verify that all information presented is correct.

Disbursement Details

Reporting Period	03/01/2016 through 02/28/2017
Program Area	Capital Fund Program (CFP)
Amount	\$ 10,826,718.15
Total Amount of All Contracts Awarded	\$ 0.00
Total Amount of Section 3 Contracts Awarded	\$ 0.00

Employment Opportunities

Total Number of New Hires	0
Number of Section 3 New Hires	0
Percent	N/A
Goal	Section 3 new hire goal of 30% is not applicable.



Construction Opportunities

Total Amount of Construction Contracts Awarded	\$ 0.00
Amount of Construction Contracts Awarded To Section 3	\$ 0.00
Businesses	
Percent	N/A
Number of Section 3 Construction Contracts	0
Goal	Section 3 construction contracting goal of 10% is not applicable.



2. Certification

- At the bottom of the Report Summary, a certification statement is displayed.
- Carefully review the Certification Statement before submission.
- [Click] **Submit Report** to submit the form to HUD.
- You will be prompted “Are you sure you want to submit the report?”. [Click] OK.
- After successful submission, the user will be returned to the **Agency Summary** screen.

Certification Statement

By submitting this Section 3 report, I certify under penalty of perjury under 28 U.S.C. § 1746 that the statements and information contained herein regarding the :

1. meet the regulator requirements of Section 3 of the Housing and Urban Development Act of 1968 as set forth at 24 CFR § 135; and
2. are, to the best of your knowledge, truthful and accurate.

Section 11 – View/Print/Save Report


- a. On the **Agency Summary** page [Click] the **Report ID** in the **Submitted** section to **View**, **Print** or **Save** a copy of a submitted report in PDF format.
- b. Depending on the browser version used, the user will be presented the option to **Save** (download) or **Open** the PDF file which can then be printed.

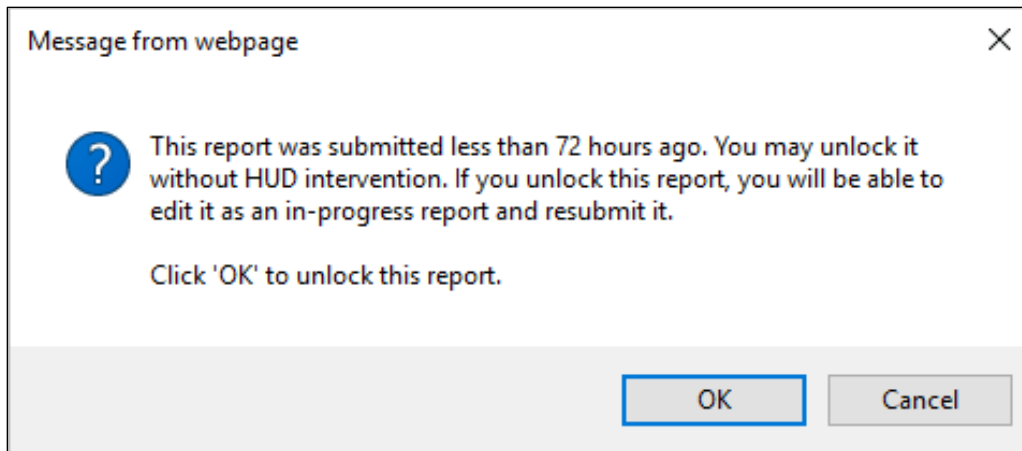
Section 12 – Unlocking a Report

A submitted report will be locked from edits automatically after 72 hours of submission. Users may request reports to be unlocked so they may be altered and/or resubmitted. Short Reports cannot be unlocked, but instead must be deleted and resubmitted. Legacy or Program Code Reports – those submitted prior to March 26, 2016, may only be deleted.

1. Reports submitted within 72 hours

A report may be unlocked without approval from HUD within 72 hours of submission.

- a. Under **Submitted Reports**, identify the report you wish to unlock.
- b. [Click] the unlock icon .
- c. A confirmation window will open.
- d. [Click] **OK** to unlock the report
- e. You will now find the report listed under the **In-Progress Reports** section.



2. Reports submitted after 72 hours

Reports submitted over 72 hours may be unlocked, with HUD approval. To send a request to HUD to unlock a report:

- a. [Click] the unlock icon,  for the report you wish to unlock.
- b. A dialog box will open with instructions to email 60002questions@hud.gov to send a request for HUD to unlock the report.
- c. If the user has an email client installed and configured, [click] the **Open Email Message** button and a new email will be opened with pre-filled information. The user may add additional text to the message before sending.
- d. If there is no email client installed, copy the subject and message text in the dialog box into a new email addressed to: 60002questions@hud.gov.
- e. Once the report has been unlocked by HUD, the unlocked report will be listed under the In-Progress Reports section on the Agency Summary screen and can be edited.

Unlock Report Email

You must send a message to 60002Questions@HUD.gov with the following information:

Subject: Unlock Report 16358

Message:

This is a request to unlock the following report for editing and resubmission:
Report ID: 16358
Agency: CITY OF PHOENIX , ARIZONA
Program: Emergency Shelter Grants (EMRG)
Amount: \$1,040,545.34

I am requesting permission to Unlock the report because:

If you have a mail client installed, you may click the "Open Email Message" button to open a new message. Otherwise, you may copy and paste the message above into a new message.

Close

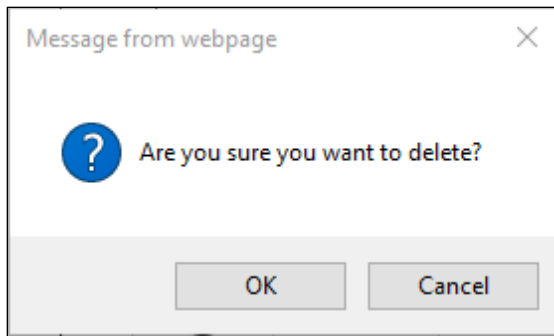
Open Email Message

Section 13 – Deleting a Report


1. Deleting an In-Progress Report

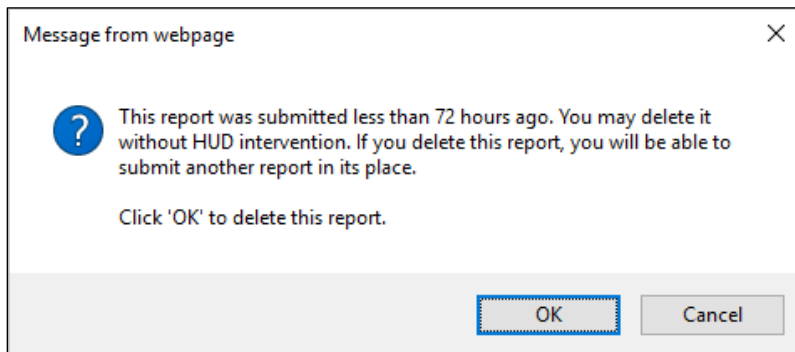
- On the **Agency Summary** screen, identify the **In-Progress Report** to be deleted.
- [Click] the delete icon,  in the row corresponding to the identified report.
- A confirmation dialog will be displayed:
- [Click] **OK** to confirm and the report will be deleted.

22



2. Deleting a Submitted Report

- a. Identify the Submitted Report to be deleted.
- b. [Click] the delete button  in the row corresponding to the identified report.
- c. If the report was submitted less than 72 hours ago, a confirmation dialog will be displayed. [Click] **OK** to delete the report:



- d. If the report is older than 72 hours, the user must send a request to HUD to delete the report. A dialog will open with instructions to send an email to 60002questions@hud.gov to request the report be deleted.

Delete Report Email

You must send a message to 60002Questions@HUD.gov with the following information:

Subject: Delete Report 1565

Message:
This is a request to delete the following report for resubmission:
Report ID: 1565
Agency: CITY OF PHOENIX , ARIZONA
Program: ENTITLED CITIES (EC1)
Amount: \$14,970,709.00

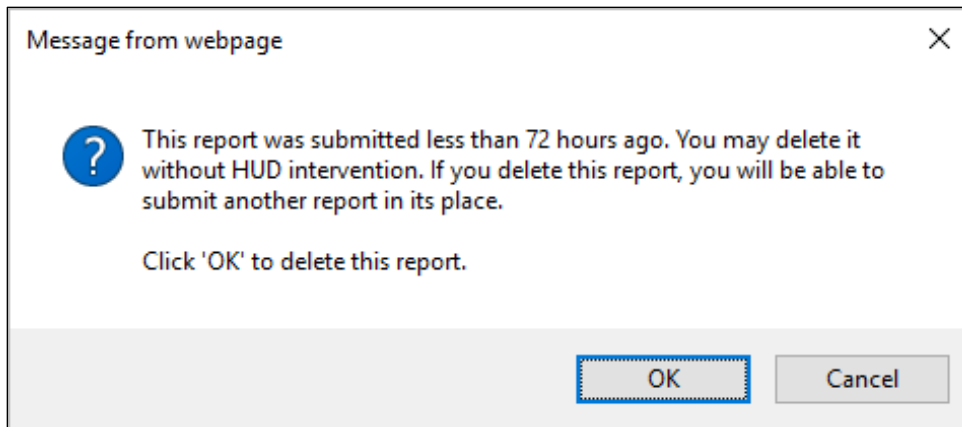
I am requesting permission to Delete the report because:

If you have a mail client installed, you may click the "Open Email Message" button to open a new message. Otherwise, you may copy and paste the message above into a new message.

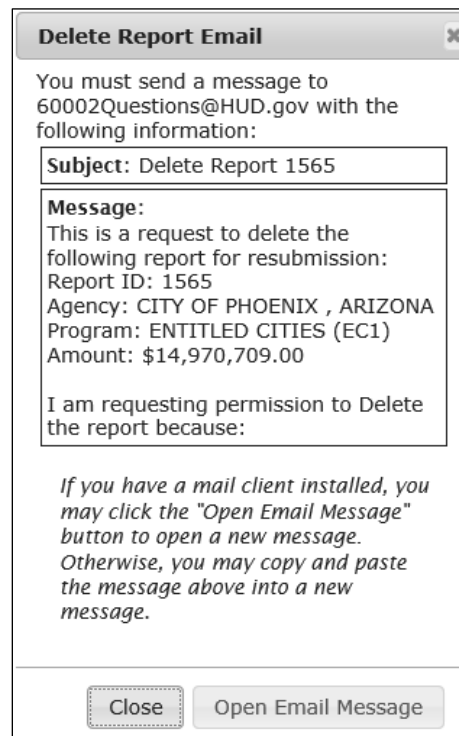
Close

Open Email Message

- e. If the user has an email client installed and configured, [click] the **Open Email Message** button and a new email message will be opened with pre-filled information. The user may add additional text to the message before sending.
- f. If there is no email client installed, copy the subject and message text in the dialog box into a new email addressed to:
60002questions@hud.gov.



- g. If the report is older than 72 hours, the user must send a request to HUD to delete the report. A dialog will open with instructions to send an email to 60002questions@hud.gov to request the report be deleted.



- h. If the user has an email client installed and configured, [click] the **Open Email Message** button and a new email message will be opened with pre-filled information. The user may add additional text to the message before sending.
- i. If there is no email client installed, copy the subject and message text in the dialog box into a new email addressed to:
60002questions@hud.gov.

Section 14 – Unreported Disbursements

Unreported disbursements are disbursed funds that don't have an associated Form HUD 60002 report. Unreported disbursements are listed by Program Area and agency fiscal cycle year. The Amount column indicates the sum of disbursed amounts without reports. The information displayed is based on your agencies fiscal year.

1. View/Download Unreported Disbursements

- a. [Click] the dollar value in the **Amount** column to view the individual transactions that remain unreported.

Section 3 Program Areas with unreported disbursements since 07/01/2012

Program	Program Year	Amount
Community Devel Block Grants (CDB1)	2013	<u>\$1,297,950.47</u>
Operating Fund (OFND)	2014	<u>\$21,219,146.00</u>
Capital Fund Program (CFP)	2015	<u>\$1,450,373.34</u>
Operating Fund (OFND)	2016	<u>\$34,556,648.00</u>
Emergency Shelter Grants (EMRG)	2016	<u>\$682,593.65</u>

- b. A page will be displayed with the amount and Section 3 report year of the Disbursements for the program selected. Information about [Section 3 Reporting Periods](#) is posted on the Section 3/SPEARS Website under Resources

Program Area: Community Devel Block Grants (CDB1)

Program Year: 2013

[Back to Agency Summary](#)

Program Code	Program Name	Project Number	Program Year	Amount	Date
EU9	COUNTIES RECOVERY	B-09-UY-12-0006	2013	\$42,230.04	2012-07-10
EU9	COUNTIES RECOVERY	B-09-UY-12-0006	2013	\$6,022.95	2012-07-10
EU9	COUNTIES RECOVERY	B-09-UY-12-0006	2013	\$8,089.82	2012-07-17
EU9	COUNTIES RECOVERY	B-09-UY-12-0006	2013	\$8,294.01	2012-07-24
EU9	COUNTIES RECOVERY	B-09-UY-12-0006	2013	\$47,938.42	2012-08-07

TRANSACTIONS \$: Allows users to view all of the disbursement data for the program area selected as extracted from HUD's Line of Credit Control System (LOCCS) during the 12-month period covered by the report

- c. To export data to MS Excel or CSV formats, [click] the associated export options below the table.

Export options: [CSV](#) | [Excel](#)

Note: Columns can be sorted by clicking the headers and the sorting can be reversed by clicking the same header again

Section 3 Report Main Page

HOUSING AUTHORITY OF BIRMINGHAM DISTRICT (05-0000390)

Start a new report

To start a new report enter the start date for the 12 month reporting period and select the program area that the new report covers. The reporting period may be your local fiscal year, federal fiscal year, calendar year, etc. Data will be extracted from LOCCS for the 12-month period beginning after the start date indicated.

Start Date: (MM/DD/YYYY)

Program Area:

In Progress Reports:








Resume	Report ID	Start Date	Program Area	Amount	Last User	Delete	Transactions
No reports currently in progress.							

Submitted Reports:

View	Report ID	Start Date	Program Area	Amount	Submitted By	Submitted	Goals Met	Unlock/Delete
No reports have been submitted.								

Legacy Reports:

Legacy reports are reports that were submitted by program code with previous versions of the SPEARS 60002 application.

View	Report ID	Start Date	Program Code	Amount	Submitted	Goals Met	Delete
	3591	01/01/2013	PERFORM FUNDING SYS (PFS)	\$24,372,352.00	10/26/2015	✓ — ✓	✕
	3596	01/01/2013	PERFORMANCE FUND SYS (SPF)	\$18,056.00	10/26/2015	— — —	✕
	3588	01/01/2013	CAPITAL FUND PROGRAM (CFP)	\$10,574,771.70	10/26/2015	✓ ✓ —	✕
	5033	01/01/2014	CAPITAL FUND PROGRAM (CFP)	\$8,088,275.15	10/30/2015	✓ ✓ —	✕
	5038	01/01/2014	PERFORM FUNDING SYS (PFS)	\$26,303,852.00	10/30/2015	✓ — ✓	✕
	15439	01/01/2015	CAPITAL FUND PROGRAM (CFP)	\$4,082,604.83	02/18/2016	✕ ✕ —	✕
	15441	01/01/2015	PERFORM FUNDING SYS (PFU)	\$26,043,656.00	02/18/2016	✓ — ✓	✕

Section 3 Program Areas with unreported disbursements since 07/01/2012

Program	Amount	Transactions
Capital Fund Program (CFP)	\$5,050,523.97	\$
Operating Fund (OFND)	\$25,788,171.00	\$

In Progress Reports: Lists Section 3 reports that they agency started but has not submitted

Submitted Reports: Lists Section 3 reports that the agency has submitted using SPEARS v2.0

Legacy Reports: Lists Section 3 reports that the agency submitted using a previous version of SPEARS

Section 3 Program Areas with unreported disbursements: Lists Section 3 reports that have yet to be submitted to HUD

OTHER KEY FEATURES

In Progress Reports:















Resume	Report ID	Start Date	Program Area	Amount	Last User	Delete	Transactions
	16374	01/01/2012	Capital Fund Program (CFP)	\$3,387,842.47	LAST - MSCT21, FIRST - MSCT21 (MSCT21)		\$

Submitted Reports:

View	Report ID	Start Date	Program Area	Amount	Submitted By	Submitted	Goals Met	Unlock/Delete
No reports have been submitted.								

Legacy Reports:

Legacy reports are reports that were submitted by program code with previous versions of the SPEARS 60002 application.

View	Report ID	Start Date	Program Code	Amount	Submitted	Goals Met	Delete
	3591	01/01/2013	PERFORM FUNDING SYS (PFS)	\$24,372,352.00	10/26/2015	✓ — ✓	
	3596	01/01/2013	PERFORMANCE FUND SYS (SPF)	\$18,056.00	10/26/2015	— — —	
	3588	01/01/2013	CAPITAL FUND PROGRAM (CFP)	\$10,574,771.70	10/26/2015	✓ ✓ —	
	5033	01/01/2014	CAPITAL FUND PROGRAM (CFP)	\$8,088,275.15	10/30/2015	✓ ✓ —	
	5038	01/01/2014	PERFORM FUNDING SYS (PFS)	\$26,303,852.00	10/30/2015	✓ — ✓	
	15439	01/01/2015	CAPITAL FUND PROGRAM (CFP)	\$4,082,604.83	02/18/2016	✗ ✗ —	
	15441	01/01/2015	PERFORM FUNDING SYS (PFU)	\$26,043,656.00	02/18/2016	✓ — ✓	

Section 3 Program Areas with unreported disbursements since 07/01/2012

Program	Amount	Transactions
Capital Fund Program (CFP)	\$1,662,681.50	\$
Operating Fund (OFND)	\$25,788,171.00	\$

RESUME: Allows users to resume a report in progress

VIEW: Allows users to view or print a previously submitted Section 3 report

Goals Met Key:

✓ : Goal has been met

X : Goal has not been met

— : Goal was not applicable

Note: The order for the goals from left to right is:
1) employment; 2) construction contracts; 3) non-construction contracts

Delete: Allows users to delete legacy or In Progress reports and re-enter them

Unlock: Allows users to unlock reports submitted using SPEARS v2.0 for up to 72 hours to either make corrections or delete them. If Submitted report is more than 72hrs, an email draft message will be generated to send an email to 60002Questions@hud.gov.

START NEW REPORT PAGE

The SPEARS Start Report Page now reflects that the Section 3 report has been submitted to HUD

To obtain a copy of a report, click on the “View” icon next to the report to open/save/print the report in PDF format

Start Date: (mm/dd/yyyy)

Program Area:

[Start Report...](#)

In Progress Reports:

Resume	Report ID	Start Date	Program Area	Amount	Last User	Delete	Transactions
No reports currently in progress.							

Submitted Reports:

View	Report ID	Start Date	Program Area	Amount	Submitted By	Submitted	Goals Met	Unlock/Delete
	16377	01/01/2012	Capital Fund Program (CFP)	\$3,387,842.47	LAST - MSCT21, FIRST - MSCT21 (MSCT21)	03/22/2016	---	

Legacy Reports:

Legacy reports are reports that were submitted by program code with previous versions of the SPEARS 60002 application.

View	Report ID	Start Date	Program Code	Amount	Submitted	Goals Met	Delete
	3591	01/01/2013	PERFORM FUNDING SYS (PFS)	\$24,372,352.00	10/26/2015	✓-✓	
	3596	01/01/2013	PERFORMANCE FUND SYS (SPF)	\$18,056.00	10/26/2015	---	
	3588	01/01/2013	CAPITAL FUND PROGRAM (CFP)	\$10,574,771.70	10/26/2015	✓✓-	
	5033	01/01/2014	CAPITAL FUND PROGRAM (CFP)	\$8,088,275.15	10/30/2015	✓✓-	
	5038	01/01/2014	PERFORM FUNDING SYS (PFS)	\$26,303,852.00	10/30/2015	✓-✓	
	15439	01/01/2015	CAPITAL FUND PROGRAM (CFP)	\$4,082,604.83	02/18/2016	××-	
	15441	01/01/2015	PERFORM FUNDING SYS (PFU)	\$26,043,656.00	02/18/2016	✓-✓	

Section 3 Program Areas with unreported disbursements since 07/01/2012

Program	Amount	Transactions
Capital Fund Program (CFP)	\$1,662,681.50	\$
Operating Fund (OFND)	\$25,788,171.00	\$

U.S. Department of Housing and Urban Development
 451 7th Street S.W., Washington, DC 20410
 Telephone: (202) 708-1112 TTY: (202) 708-1455
 v2.0