



**RFP Number:** P-004372-R  
**Date of Issuance:** April 23, 2014  
**Proposal Due Date:** May 23, 2014 at 11:00 AM

To Prospective Offerors:

The Philadelphia Housing Authority (“PHA” or the “Authority”) is hereby requesting proposals for:  
**Chemical Water Treatment Services at Various PHA Locations.**

The Philadelphia Housing Authority (PHA) is organized under the laws of the Commonwealth of Pennsylvania to develop, acquire, lease and operate low-rent housing programs. PHA is the largest housing agency in the Commonwealth, and the fourth largest in the Nation. The Authority has approximately 81,000 residents in 34 conventional developments, and about 5,500 scattered site units. Additionally, PHA currently administers over 16,000 Housing Choice Vouchers. PHA has an annual budget of approximately \$371 million, which is primarily funded by the U.S. Department of Housing and Urban Development. In April 2013, Kelvin Jeremiah was appointed President and CEO.

This procurement is being implemented in accordance with the CEA. Further, this procurement may be subject to the approval of the HUD representative acting for the Board of Commissioners as required by the CEA and the requirements of PHA’s Controlled Policy and Procedure Issuance No. 10, Procurement Policy.

Offerors must submit one (1) original and five (6) copies of their proposal, including the required proposal forms, as well as an electronic copy (on one or more CDs) in Microsoft Excel, Microsoft Word, and/or Portable Document Format (PDF) formats and the proposal shall be based upon and in conformity with this Request for Proposal. The proposal shall be enclosed in an envelope, which shall be sealed and clearly labeled with the name of the offeror, the RFP number, and the proposal due date. Proposals must be received by PHA Contracts Department at 3100 Penrose Ferry Road, Philadelphia, PA 19145, no later than 11:00 A.M. on proposal due date indicated above. Late proposals will not be considered. Proposals submitted via electronic mail will not be accepted. Photo identification is required for entrance into our facility.

Requests for additional information should be directed to Mr. Rovshan Safarov, Sourcing Manager, Philadelphia Housing Authority, 3100 Penrose Ferry Road, Philadelphia, PA 19145, e-mail; [Rovshan.Safarov@pha.phila.gov](mailto:Rovshan.Safarov@pha.phila.gov), Tel: (215) 684-4059. Note that inquiries received later than seven (7) days before receipt of proposals may not receive a response.

Sincerely,

KELVIN JEREMIAH  
PRESIDENT & CEO  
THE PHILADELPHIA HOUSING AUTHORITY

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<b>4. Section H</b> <input type="checkbox"/> Pages H-2 through H-4	<input type="checkbox"/>
<b>5. Certification and Representations Form – Section I</b> <input type="checkbox"/> Completed and Signed <input type="checkbox"/> Non Collusive Affidavit included if Clause 5(e) checked	<input type="checkbox"/>
<b>6. Affirmative Action Forms – Section J</b> <input type="checkbox"/> J24 - Schedule Of Participation <input type="checkbox"/> J25 - Schedule Of Binding Commitments With Minority And Women Owned Businesses <input type="checkbox"/> J26 – Documentation of Best Efforts <input type="checkbox"/> J27 – Information and Assistance Provided to Certified MBE/WBES <input type="checkbox"/> J28 – Affidavit of Unavailability of MBE/WBES <input type="checkbox"/> Forms J30 – J32 in addition to Forms J24 – J26 for Joint Ventures <input type="checkbox"/> J30 – 32 Joint Venture Questionnaire	<input type="checkbox"/>
<b>7. Section 3 Program Forms – Section K</b> <input type="checkbox"/> Form 1 – Existing Employee List <input type="checkbox"/> Form 2 - Hiring Plan <input type="checkbox"/> Form 3 – Hiring and Contracting Goals Narrative <input type="checkbox"/> Form 4 – Contracting Plan Worksheet <input type="checkbox"/> Form 5 – Subcontractor Activity (If Applicable) <input type="checkbox"/> Form 6 – Resident Affidavit (If requesting Section 3 Preference) <input type="checkbox"/> Form 7 – Section 3 Business Concerns (If requesting Section 3 Preference) <input type="checkbox"/> Form 10 – Utilization Plans (If Tier 3 is selected)	<input type="checkbox"/>
<b>8. Exceptions to PHA’s Contract Terms and Conditions</b> PHA will not consider any exceptions that are not submitted by bidder or Offeror unless they are present at the time of bid or offer.	<input type="checkbox"/>
<b>VOLUME II</b> (separate envelope)	
<b>9. Section H</b> <input type="checkbox"/> Cost/Pricing for the base and option periods (pages H-1a and H-1e)	<input type="checkbox"/>

CHEMICAL WATER TREATMENT SERVICES at VARIOUS PHA LOCATIONS P-004372-R

## A. A. INSTRUCTIONS TO OFFERORS

### 1. Preparation of Offers

- (a) Offerors are expected to examine the statement of work, the proposed contract terms and conditions, and all instructions. Failure to do so will be at the offeror's risk.
- (b) Each offeror shall furnish the information required by the solicitation as indicated in the Scope of Work and Mandatory Submissions Checklist, immediately preceding this Section A. The offeror shall sign the offer and print or type its name on the cover sheet and each continuation sheet on which it makes an entry. Erasures or other changes must be initialed by the person signing the offer. Offers signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to PHA.
- (c) Offers for services other than those specified will not be considered.
- (d) If this solicitation requires proposing on all items, failure to do so will result in the proposal being rejected. If proposing on all items is not required, proposers should insert the words "NO PROPOSAL" in the space provided for any item for which no price is submitted.

### 2. Amendments to Solicitations

- (a) If this solicitation is amended, then all terms and conditions which are not modified remain unchanged.
- (b) Offerors shall acknowledge receipt of any amendments to this solicitation by (1) signing and returning the amendment; (2) identifying the amendment number and date in the space provided for this purpose on the form for submitting an offer; (3) letter or telegram, or (4) facsimile, if facsimile offers are authorized in the solicitation. PHA must receive the acknowledgement by the time specified for receipt of offers.

### 3. Explanation to Prospective Offerors

Any prospective offeror desiring an explanation or interpretation of the solicitation, statement of work, etc. must request in writing soon enough to allow a reply to reach all prospective offerors before the submission of their offers. Oral explanations or instructions given before the award of the Contract will not be binding. Any information given to a prospective offeror concerning a solicitation will be furnished promptly to all other prospective offerors as an amendment of the solicitation, if that information is necessary in submitting offers or if the lack of it would be prejudicial to any other prospective offerors.

#### **4. Responsibility of Prospective Contractor**

- (a) PHA shall award a contract only to a responsible prospective contractor who is able to perform successfully under the terms and conditions of the proposed contract. To be determined responsible, a prospective contractor must -
- (i) Have adequate financial resources to perform the Contract, or the ability to obtain them;
  - (ii) Have a satisfactory performance record;
  - (iii) Have a satisfactory record of integrity and business ethics;
  - (iv) Have a satisfactory record of compliance with public policy (e.g., Equal Employment Opportunity); and
  - (v) Not have been suspended, debarred, or otherwise determined to be ineligible for award of contracts by the Department of Housing and Urban Development or any other agency of the U.S. Government. Current lists of ineligible contractors are available for inspection at the PHA/HUD.
- (b) Before an offer is considered for award, the offeror may be requested by PHA to submit a statement or other documentation regarding any of the foregoing requirements. Failure by the offeror to provide such additional information may render the offeror ineligible for award.

#### **5. Late Submissions, Modifications, and Withdrawal of Offers**

- (a) Any offer received at the place designated in the solicitation after the exact time specified for receipt will not be considered unless it is received before award is made and it -
- (i) Was sent by registered or certified mail not later than the fifth calendar day before the date specified for receipt of offers (e.g., an offer submitted in response to a solicitation requiring receipt of offers by the 20th of the month must have been mailed by the 15th);
  - (ii) Was sent by mail, or if authorized by the solicitation, was sent by telegram or via facsimile, and it is determined by the PHA that the late receipt was due solely to mishandling by PHA after receipt at PHA;
  - (iii) Was sent by U.S. Postal Service Express Mail Next Day Service - Post Office to Addressee, not later than 5:00 p.m. at the place of

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CHEMICAL WATER TREATMENT SERVICES at VARIOUS PHA LOCATIONS P-004372-R

mailing two working days prior to the date specified for receipt of proposals. The term “working days” excludes weekends and U.S. Federal holidays; or

- (iv) Is the only offer received.
- (b) Any modification of an offer, except a modification resulting from PHA’s request for “best and final” offer, is subject to the same conditions as in subparagraphs (a)(1), (2), and (3) of this provision.
- (c) A modification resulting from PHA’s request for “best and final” offer received after the time and date specified in the request will not be considered unless received before award and the late receipt is due solely to mishandling by PHA after receipt at PHA.
- (d) The only acceptable evidence to establish the date of mailing of a late offer, modification, or withdrawal sent either by registered or certified mail is the U.S. or Canadian Postal Service postmark both on the envelope or wrapper and on the original receipt from the U.S. or Canadian Postal Service. Both postmarks must show a legible date or the offer, modification, or withdrawal shall be processed as if mailed late. “Postmark” means a printed, stamped, or otherwise placed impression (exclusive of a postage meter machine impression) that is readily identifiable without further action as having been supplied and affixed by employees of the U.S. or Canadian Postal Service on the date of mailing. Therefore, offerors should request the postal clerk to place a hand cancellation bull’s-eye postmark on both the receipt and the envelope or wrapper.
- (e) The only acceptable evidence to establish the time of receipt at PHA is the time/date stamp of PHA on the offer wrapper or other documentary evidence of receipt maintained by PHA.
- (f) The only acceptable evidence to establish the date of mailing of a late offer, modification, or withdrawal sent by Express Mail Next Day Service-Post Office to Addressee is the date entered by the post office receiving clerk on the “Express Mail Next Day Service-Post Office to Addressee” label and the postmark on both the envelope or wrapper and on the original receipt from the U.S. Postal Service. “Postmark” has the same meaning as defined in paragraph (c) of this provision, excluding postmarks of the Canadian Postal Service. Therefore, offerors should request the postal clerk to place a legible hand cancellation bull’s-eye postmark on both the receipt and the envelope or wrapper.
- (g) Notwithstanding paragraph (a) of this provision, a late modification of an otherwise successful offer that makes its terms more favorable to PHA will be considered at any time it is received and may be accepted.

- (h) Proposals may be withdrawn by written notice, or if authorized by this solicitation, by telegram (including mailgram) or facsimile machine transmission received at any time before award. Proposals may be withdrawn in person by an offeror or its authorized representative if the identity of the person requesting withdrawal is established and the person signs a receipt for the offer before award.

## **6. Contract Award**

- (a) PHA will award a contract resulting from this solicitation to the responsible offeror whose offer conforming to the solicitation will be most advantageous to PHA, cost or price and other factors, specified elsewhere in this solicitation, considered.
- (b) PHA may (1) reject any or all offers if such action is in PHA's interest, (2) accept other than the lowest offer, (3) waive informalities and minor irregularities in offers received, and (4) award more than one contract for all or part of the requirements stated.
- (c) PHA may award a contract on the basis of initial offers received, without discussions. Therefore, each initial offer should contain the offeror's best terms from a cost or price and technical standpoint.
- (d) A written award or acceptance of offer mailed or otherwise furnished to the successful offeror within the time for acceptance specified in the offer shall result in a binding contract without further action by either party. Before the offer's specified expiration time, PHA may accept an offer, whether or not there are negotiations after its receipt, unless a written notice of withdrawal is received before award. Negotiations conducted after receipt of an offer do not constitute a rejection or counteroffer by PHA.
- (e) Neither financial data submitted with an offer, nor representations concerning facilities or financing, will form a part of the resulting contract.

## **7. Service of Protest**

- (a) Any protest against the award of a contract pursuant to this solicitation shall be served on PHA by obtaining written and dated acknowledgement of receipt from PHA at PHA Contracts Department, 3100 Penrose Ferry Road, Philadelphia, PA 19145. The determination of PHA with regard to such protest or to proceed to award notwithstanding such protest shall be final unless appealed by the protester.
- (b) An actual or prospective offeror who is aggrieved in connection with the solicitation or award of a contract may submit a protest. Protests based on the contents of the solicitation must be submitted prior to the date and time for receipt

of proposals. Protests based on contract award must be made within seven days after the protestor knows or should have known the facts giving rise to the protest.

- (c) All protests shall be resolved in accordance with PHA's protest policy and procedures, copies of which are maintained at PHA.

## 8. Offer Submission

- (a) Offers and modifications thereof shall be submitted in sealed envelopes or packages (1) addressed to PHA Contracts Department, 3100 Penrose Ferry Road, Philadelphia, PA 19145, and (2) showing (on the face of the envelope) the time specified for receipt, the solicitation number, and the name and address of the offeror. One original hard copy, five (5) hardcopies, and one electronic copy of the Offer and modifications, including the required proposal forms, shall be submitted (on one or more CDs) in Microsoft Excel, Microsoft Word, and/or Portable Document Format (PDF) formats
- (b) Telegraphic, e-mail, or facsimile offers, modifications, or withdrawals will not be considered unless authorized by the solicitation.
- (c) It is very important that the offer be properly identified on the face of the envelope as set forth above in order to insure that the date and time of receipt is stamped on the face of the offer envelope. Receiving procedures are: date and time stamp those envelopes identified as proposals and deliver them immediately to the appropriate contracting official, and only date stamp those envelopes which do not contain identification of the contents and deliver them to the appropriate procuring activity only through the routine mail delivery procedure.
- (d) To be considered for award, offers must include the following mandatory submissions:

- Proposal Form (Section H)
- Technical Proposal (Per SOW)
- Certifications and Representations (Section I)
- Affirmative Action Forms (Section J)
- Section Three Forms (Section K)
- Proposal Security (if required)
- Electronic Copy

## 9. Pre-Proposal Conference-N/A

A  mandatory  non-mandatory pre-proposal conference/meeting will be held at \_\_\_\_\_.  
\_\_\_\_\_ o'clock on \_\_\_\_\_ at 3100 Pennrose Ferry Rd, Philadelphia, PA 19145

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CHEMICAL WATER TREATMENT SERVICES at VARIOUS PHA LOCATIONS P-004372-R

**SAMPLE**

**B. SERVICE CONTRACT  
FOR THE PROVISION OF**

**PART I - AGREEMENT**

THIS AGREEMENT, made and entered into as of \_\_\_\_\_, 2013, by and between the PHILADELPHIA HOUSING AUTHORITY, a body corporate and politic created under the laws of the Commonwealth of Pennsylvania ("PHA"), whose address is 12 S. 23rd Street, Philadelphia, PA 19103 and \_\_\_\_\_ ("Contractor"), a \_\_\_\_\_, organized and existing under the laws of \_\_\_\_\_, whose address is \_\_\_\_\_

WITNESSETH.

WHEREAS, PHA desires to retain the services of Contractor and Contractor desires to provide such services to PHA; and

WHEREAS, by Resolution No. \_\_\_\_\_, adopted on \_\_\_\_\_ the President & CEO is authorized to conclude and execute a contract.

NOW THEREFORE, in consideration of the mutual covenants set forth herein, the parties agree as follows:

**1. SERVICE TO BE PERFORMED.**

- (a) Contractor agrees to perform the services described in the Solicitation \_\_\_\_\_, known as \_\_\_\_\_ Services and Contractor's proposal; both made part of this Agreement.
- (b) This Contract shall be for an initial contract period of two (2) years with three (3) additional one (1) year option periods, to be exercised solely at the discretion of PHA. The initial contract period will commence on \_\_\_\_\_, 2013, and will continue until \_\_\_\_\_, 2017, unless work is completed or terminated pursuant to this Contract.

**2. COMPENSATION.**

PHA will pay Contractor at the rate of \$ \_\_\_\_\_, with total payment not to exceed \$ \_\_\_\_\_ for the initial contract period of \_\_\_\_\_ ( ) year(s), \$ \_\_\_\_\_ if PHA exercises the first \_\_\_\_\_ ( )-year option period, \$ \_\_\_\_\_ if PHA exercises the second ( ) \_\_\_\_\_-year option period, and \$ \_\_\_\_\_

if PHA exercises the third ( ) \_\_\_-year option period. Such payment will be made monthly and upon receipt and approval of an itemized invoice, as set forth in Section 2 of the PHA General Terms and Conditions of this Agreement, including but not limited to the use of Electronic Funds transfer through the Automated Clearing House, at the option of PHA. .

**3. COMPLIANCE WITH APPLICABLE STATUTES, ORDINANCES AND REGULATIONS**

Contractor shall comply with all applicable Federal, State, county and city statutes, ordinances and regulations, including those pertaining to wages, hours and conditions of employment.

**4. GOVERNING LAW.**

This Agreement shall be governed by the laws of the Commonwealth of Pennsylvania, and all actions hereunder shall be brought in Pennsylvania.

**5. CONTRACT COMPOSITION.**

The following documents are hereby incorporated by reference, and constitute the Contract. Contractor acknowledges receipt of all listed documents. If there is any conflict between the documents of this Contract, then the following order of precedence shall govern:

Addendum Number \_\_\_\_\_ dated \_\_\_\_\_, 20\_\_.

Addendum Number \_\_\_\_\_ dated \_\_\_\_\_, 20\_\_.

Services Contract;

HUD Standard Terms & Conditions

Statement of Work

PHA Special Terms & Conditions

PHA Standard Terms & Conditions

Solicitation Number \_\_\_\_\_ dated \_\_\_\_\_, 20\_\_, and entitled  
Community Partners Program – Career and Professional Development.

Contractor’s proposal and Best and Final Offer (if requested) as accepted by the PHA.

Affirmative Action requirements

Instructions to Proposers

Representations, Certifications, and other statements to Proposers

**6. PRIOR AGREEMENT SUPERSEDED.**

This Agreement constitutes the sole Agreement of the parties and supersedes any prior understandings or written or oral agreements between the parties respecting the within subject matter.

IN WITNESS WHEREOF, each of the parties hereto has caused this Agreement to be duly executed as of the date first above written.

WITNESS:

\_\_\_\_\_

REPRESENTATIVE)

WITNESS:  
AUTHORITY

\_\_\_\_\_

CONTRACTOR

BY: \_\_\_\_\_

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

(AUTHORIZED

PHILADELPHIA HOUSING

BY: \_\_\_\_\_

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

CONTRACTING OFFICER

## STATEMENT OF WORK

### SOLICITATION/CONTRACT #P-004372-R

#### CHEMICAL WATER TREATMENT SERVICES AT VARIOUS PHA SITES

##### About the Philadelphia Housing Authority

The Philadelphia Housing Authority (PHA) is organized under the laws of the Commonwealth of Pennsylvania to develop, acquire, lease and operate low-rent housing programs. The PHA is the largest housing agency in the commonwealth, and the fourth largest in the Nation. It has approximately 80,000 residents in 33 conventional developments and approximately 5,500 scattered site units. The US Department of Housing and Urban Development (HUD) is the primary funding agency for the Authority's housing operations, housing choice program, as well as all new construction, modernization and rehabilitation of the Philadelphia Housing Authority's housing units. PHA has an operating budget in excess of \$300 million/year plus additional Section 8 revenues and comprehensive grant rehabilitation activity of approximately \$75 million per year. PHA also receives Federal Title, Office of Aging, and other Federal, State, and private funding for operation of various social services for public housing residents.

PHA reserves the right to procure supplies or services on behalf of its affiliated entities and subsidiaries including several limited partnerships (Related Entities). In such case, PHA will generally advise the Contractor that the contract or task/delivery order is being issued on behalf of a Related Entity and provide any special instructions. However, failure of PHA to do so does not negate the Contractor's obligation to provide the supply or service ordered.

##### **A. Purpose**

PHA has determined there is a need for chemical water treatment at various PHA sites located within the City of Philadelphia. PHA has indicated its best estimate of need, but cannot guarantee any level of work beyond the Guaranteed Minimum purchase. **Other units not listed below may be added during the term of the contract.**

##### **B. Scope of Chemical Water Treatment work:**

1. Chemical water treatment shall include all labor, supervision, equipment, tools, supplies and travel required to perform the work.
2. Contractor responsibilities for each visit, which shall occur at least once a month, are as follows:
  - a. Technical service for chilled water systems, steam boilers, hot water boilers and heating hot water closed loops (system or systems);
  - b. On-site water analysis of all boiler and water and glycol systems in operation; Glycol maintenance is applicable to Suffolk Manor and Wilson Park dual temperature/chilled water systems only;
  - c. Monitor, adjust, maintain, repair and calibrate automatic chemical feed and water softeners equipment;
  - d. Furnish and fill-out chemical treatment operating log sheets at each piece of equipment and during each service visit;
  - e. Test and check operation of water softener system on steam boilers;
  - f. Review in-house testing program and log sheets and record water meter readings;
  - g. Prepare a complete field service report detailing test results and recommendations and review with management;
  - h. Supply, deliver and apply filters for shot feeders, all water treatment chemicals including water softeners salt, and test reagents necessary to treat all steam boilers, heating hot water boilers, and closed loop hot/chilled/glycol water systems;
  - i. Provide chemical treatment acceptable to the boiler manufacturer;
  - j. Maintain a chemical inventory; including water shot feeders, softeners salt and ethylene/propylene glycols sufficient to ensure uninterrupted treatment. Glycol maintenance is applicable to Suffolk Manor and Wilson Park dual temperature/chilled water systems only;
  - k. Maintain/repair automatic blow down (drain) valves at steam boilers, where installed;
  - l. Provide to PHA staff Material Safety Data Sheets for supplied chemicals;
  - m. Instruct operating personnel in the proper methods of treatment application, water testing, equipment adjustments, and safety procedures;
  - n. Waterside inspection of all plant equipment when such equipment is open (usually in the summer);
  - o. Laboratory assistance for deposit analysis, biological studies, and corrosion coupon analysis; and
  - p. Report to PHA, within 8 hours of field visit, excessive system water loss and/or other abnormal operating conditions.
3. Deliverables (Reports and Review Meetings):
  - a. Submit, within three days from the visit, reports of your findings and recommended procedures.
  - b. Meet with management on a quarterly basis to discuss the findings, procedures and recommendations.

- c. Every six (6) months, vendor is to establish in writing, goals based on test results for the following six (6) months.
- d. **Training:**  
Vendor shall provide four (4) hours of training for PHA personnel twice a year, including hands-on training of procedures for steam boiler blow downs, field adjustments to control boiler water chemical readings, and boiler inspection. This should be scheduled in advance with PHA.
- e. **Service Visits**
  - 1. Locations of Steam Boilers:  
Blumberg Apartments, Emlen Arms, Fairhill Apartments, West Park Apartments, Wilson Park, and Germantown House.
    - While boilers are operating, the vendor shall visit each site with steam boilers two (2) times per month to analyze boiler water, perform boiler blow downs, and monitor, adjust, refill, and calibrate automatic chemical feed equipment as necessary.
  - 2. Locations of Hot Water Boilers: Abbottsford Homes, Bentley Hall, Cassie L. Holly, Collegeview, Gladys B. Jacobs, Harrison Plaza, Hill Creek, Holmcrest Homes, Emlen Arms, James W. Johnson, Katie B. Jackson, Mount Olivet Village, Spring Garden Apartments, and Suffolk Manor.
  - 3. Location of Chilled Glycol Water and Glycol Dual Temperature Closed Loops:  
Wilson Park ISM , GGFE Office and Suffolk Manor
  - 4. Location of Hot Water Closed Loops:  
Fairhill Apartments, West Park Apartments, Blumberg Apartments and Germantown House.

While hot water boilers and closed chilled/heating loops are operating, the Vendor shall visit each site with hot water boilers and closed loops for a minimum monthly service visit. **Note: the frequency of visits may be changed (increased) as required by the quality of water and as approved by PHA.**

f. **Reports**

Vendor shall provide reports, as specified in "Deliverables" above, to PHA (AFM Engineer Combustion Crew Supervisor) detailing the work performed and delivered/applied materials during the previous visit. During each visit vendor's technician will perform field tests and compare the results with the results posted in the operating log by PHA operators. Vendor's technician will review and discuss any recommendations at that time. Vendor's account manager will review lab results and field reports and will forward a complete report (including lab reports) to PHA's designated representatives for review and discussion. The reports, at minimum, shall include information regarding conductivity, PH, total hardness, "P" alkalinity, sulfite and boiler inhibitor.

- C. **Scheduled Work:** Contractor will perform all scheduled work during normal business hours between 8:00AM and 5:00 PM Monday through Friday. The Contractor must sign in and sign out at the manager's office or at the security desk.
- D. **Parts/Materials:** If any additional parts/Materials are required for the services, Contractor must obtain written approval from PHA's Contracting Officer before purchasing any parts/materials for water treatment systems and softeners services. Contractor must submit documentation to support parts/materials purchase, attached to the invoice, identifying the cost incurred to the Contractor, ("Contractor's Cost"). Contractor will be allowed to place a surcharge, no greater than ten percent (10%) of Contractor's Cost, in addition to Contractor's Cost. Contractor's failure to provide sufficient documentation to support Contractor's Cost will be grounds for the PHA's disapproval of the associated charge for parts/materials. PHA will monitor all invoices regularly to ensure that the maximum ten percent (10%) surcharge is enforced.
- E. **Performance:** If the Contractor fails to maintain the quality of water in all the systems for two consecutive weeks and more, his payment for that time will be reduced by 50%.
- F. **Warranty:** Contractor shall provide a minimum thirty (90) day warranty ("Warranty Period") on all replacement parts and repairs performed by Contractor. If any installed part breaks or fails to perform properly during the Warranty Period, Contractor shall replace such part at no charge to PHA (including no charge for installation). If any repair work performed by Contractor fails within the Warranty Period, Contractor will re-perform the repair at no additional charge to PHA. Contractor will assign all manufacturer warranties to PHA.

**G. Employees:** The Contractor shall assign only competent personnel in sufficient number(s) to perform the required services efficiently and in a manner satisfactory to PHA. If the Contract Administrator or designee notifies the Contractor in writing that any person assigned to perform work under this contract is incompetent, disorderly, or otherwise unsatisfactory as solely determined by PHA, such person shall not again be assigned in the execution of this contract without the written consent of the Contract Administrator. The Contractor will be held personally responsible for the actions of their employees while on/in PHA premises.

**H. Supervision:** The Contractor agrees to work closely with the owner or his agents to ensure proper management of the work. Contractor must ensure effective supervision and work with PHA to proactively resolve any potential service issues.

**I. Condition and Care of Property and Protection of the Work:** The Contractor shall continuously maintain adequate protection of all work covered by the Contract from damage or loss and shall protect the property from injury or loss arising in connection with this Contract, and shall make good any such damage, injury or loss.

**J. Submission Requirements<sup>1</sup>**

Submission packages shall consist of one (1) original and one (1) CD-RW. Proposals shall be submitted in a sealed package and marked "Solicitation Number P-004372– Boiler Water Treatment at Various PHA Sites."

To be considered responsive, a proposal must contain the following, referenced by number and in the order below:

1. A brief description of the history and organization of the offeror's firm, and of any proposed subcontractor.
2. Copies of business licenses, professional certifications or other credentials, together with evidence that offeror, if a corporation, is in good standing and qualified to conduct business in Pennsylvania.
3. Qualifications, credentials, and background and experience of the project director and other staff proposed to work on the project (key personnel).
4. References with contact information from organizations that have used offeror's services within the last 12-18 months.
5. Performing plan and approach to the RFP service.
6. Submit sections F (excel file of proposed pricing) thru M.
7. Provide unit price for each unscheduled service visit for each system at each site.

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<sup>1</sup> Proposals that fail to address each of the submission requirements above may be deemed non-responsive and will not be further considered.

**Steam/Water Systems Locations and Manufacturers:**

Locations	Type of Heating & Cooling System	Manufacturer	Year	Operation
Blumberg Apartments 2311 W Jefferson St	2 x Fire Tube Steam Heating Boilers (1-System) and 3 x Closed Hot Water Loops (3-Systems)	Superior	1996	Oct-April
Emlen Arms 6733 Emlen St	2 x Cast Iron (CI) Steam Heating Boilers (1-System) and 2 x Copper Hot Water Boilers(1-System)	Weil-McLain	2007	Oct - April
Fairhill Apartments 2443 N 11th St	3 x Fire Tube Steam Heating Boilers(1-System) and 2 x Closed Hot Water Loops(2-Systems)	Clever Brooks	1986	Oct - April
Harrison 1350 N 10 <sup>th</sup> St	2 x CI Hot Water Heating Boilers(1-System)	Weil-McLain	2010	Oct- April
Abbottsford Homes 3212 McMichael St	6 x CI Hot Water Heating Boilers in 3 Penthouses (3- Systems) and 3 Aluminum Boilers in Comm. Ctr. (1- System)	Crown	Various	Oct - April
West Park Apts 4445 Holden St	3 x Fire Tube Steam Heating Boilers(1-System) 6 x Closed Hot Water Loops(6- Systems)	Rock Mills	2001	Oct - April
Wilson Park 2502-04 Jackson St	3 x Fire Tube Steam Heating Boilers(1-System) 2x Air Cooled Chillers (1-system) in ISM building	Burnham Carrier	2003	Oct - April
Hill Creek* 528 Adams Ave	51 x Aluminum Hot Water Heating Boilers In 19 Boiler Rooms(19 - Systems)	Weil-McLain	2011	Year Round
James W. Johnson* 2500 W Norris St	18 x CI Hot Water Heating Boilers in 9 Boiler Rooms (9- Systems)	Weil-McLain	2012	Oct - April
Spring Garden Apts* 715 Brandywine St	10 x CI Hot Water Heating Boilers in 5 Boiler Rooms(5- Systems)	Weil-McLain	2004	Year Round
Cassie L. Holly 2100 Dickinson St	4 x Aluminum Hot Water Heating Boilers(1-System)	Weil-McLain	2011	Oct - April
Katie B. Jackson 400 N 50th St	3 x Aluminum Hot Water Heating Boilers(1-System)	Weil-McLain	2011	Oct - April
Collegeview 2732 W Thompson St	3 x CI Gas Fired Hot Water Heating Boilers in 3 Boiler Rooms(3-Systems)	Weil-McLain	1985	Year Round
Holmcrest Homes 8133 Erdrick Pl	2 x CI Gas Fired Hot Water Heating Boilers(1-System)	Weil-McLain	2005	Oct - April
Bentley Hall	3 x CI Hot Water Heating Boilers(1-System)	Weil-McLain	2000	Oct - April
GGFE	1x Air Cooled Chillers (1-system)	Trane	2006	May -Sept

**PAPMC SITES**

**LOCATIONS BELOW: BID AS OPTIONS.**

**PHA RESERVES THE RIGHT TO ISSUE SEPARATE CONTRACTS FOR THE FOLLOWING:**

Mount Olivet Village 642 N41st St	10 x CI Hot Water Boilers In 5 Boiler Rooms(5- Systems)	Weil-McLain	2004	Oct - April
Suffolk Manor 1416-24 Clearview St	Dual temp system consisting of 4 x CI Gas Fired Hot Water Boilers & 1 x Air Cooled Chilled Water (1-System)	Precision York	2003 2001	Year Round
GGFE Office 1800 Vare Ave	1 x Air Cooled Chilled water (1-System)	Trane	2006	May-Sept
Germantown House 5457 Wayne St	2 x Fire Tube Steam Heating Boilers(1-System) and one Hot Water Close Loop (1-System)	Burnham	2006	Oct - April

**NOTE: Where the above Table specifies Operation Time Oct-April, the service will be required Sept-May.**

**Where the above Table specifies Operation Time May-Sept, the service will be required Apr-Oct.**

## A. TERMS & CONDITIONS

### SECTION I HUD STANDARD TERMS & CONDITIONS

#### CHEMICAL WATER TREATMENT SERVICES at VARIOUS PHA LOCATIONS

P-004372-R

#### 1. Definitions

The following definitions are applicable to this Contract:

- (a) "PHA" or "Authority" or "Housing Authority" means the Philadelphia Housing Authority.
- (b) "Contract" means the contract entered into between the Authority and the Contractor. It includes the contract form, the Certifications and Representations, these contract clauses, and the scope of work. It includes all formal changes to any of those documents by addendum, Change Order, or other modification.
- (c) "Contractor" means the person or other entity entering into the Contract with the Authority to perform all of the work required under the Contract.
- (d) "Day" means calendar days, unless otherwise stated.
- (e) "HUD" means the Secretary of Housing and Urban development, his delegates, successors, and assigns, and the officers and employees of the United States Department of Housing and Urban Development acting for and on behalf of the Secretary.

#### 2. Changes

- (a) PHA may at any time, by written order, and without notice to the sureties, if any, make changes within the general scope of this Contract in the services to be performed or supplies to be delivered.
- (b) If any such change causes an increase or decrease in the hourly rate, the not-to-exceed amount of the Contract, or the time required for performance of any part of the work under this Contract, whether or not changed by the order, or otherwise affects the conditions of this Contract, PHA shall make an equitable adjustment in the not-to-exceed amount, the hourly rate, the delivery schedule, or other affected terms, and shall modify the Contract accordingly.
- (c) The Contractor must assert its right to an equitable adjustment under this clause within 30 days from the date of receipt of the written order.

However, if PHA decides that the facts justify it, PHA may receive and act upon a proposal submitted before final payment of the Contract.

- (d) Failure to agree to any adjustment shall be a dispute under clause Disputes, herein. However, nothing in this clause shall excuse the Contractor from proceeding with the Contract as changed.
- (e) No services for which an additional cost or fee will be charged by the Contractor shall be furnished without the prior written consent of PHA.

### **3. Termination for Convenience and Default**

- (a) PHA may terminate this Contract in whole, or from time to time in part, for PHA's convenience or the failure of the Contractor to fulfill the Contract obligations (default). PHA shall terminate by delivering to the Contractor a written Notice of Termination specifying the nature, extent, and effective date of the termination. Upon receipt of the notice, the Contractor shall: (i) immediately discontinue all services affected (unless the notice directs otherwise); and (ii) deliver to PHA all information, reports, papers, and other materials accumulated or generated in performing this Contract, whether completed or in process.
- (b) If the termination is for the convenience of PHA, PHA shall be liable only for payment for services rendered before the effective date of the termination.
- (c) If the termination is due to the failure of the Contractor to fulfill its obligations under the Contract (default), PHA may (i) require the Contractor to deliver to it, in the manner and to the extent directed by PHA, any work as described in subparagraph (a)(ii) above, and compensation shall be determined in accordance with the Changes clause, paragraph 2, above; (ii) take over the work and prosecute the same to completion by contract or otherwise, and the Contractor shall be liable for any additional cost incurred by PHA; and (iii) withhold any payments to the Contractor, for the purpose of off-set or partial payment, as the case may be, of amounts owed to PHA by the Contractor.
- (d) If, after termination for failure to fulfill Contract obligations (default), it is determined that the Contractor had not so failed, the termination shall be deemed to have been effected for the convenience of PHA, and the Contractor shall be entitled to payment as described in paragraph (b) above.
- (e) Any disputes with regard to this clause are expressly made subject to the terms of clause titled Disputes herein.

#### **4. Examination and Retention of Contractor's Records**

- (a) PHA, HUD, or Comptroller General of the United States, or any of their duly authorized representatives shall, until 3 years after final payment under this Contract, have access to and the right to examine any of the Contractor's directly pertinent books, documents, papers, or other records involving transactions related to this Contract for the purpose of making audit, examination, excerpts, and transcriptions.
- (b) The Contractor agrees to include in first-tier subcontracts under this Contract a clause substantially the same as paragraph (a) above. "Subcontract," as used in this clause, excludes purchase orders not exceeding \$10,000.
- (c) The periods of access and examination in paragraphs (a) and (b) above for records relating to: (i) appeals under the clause titled Disputes; (ii) litigation or settlement of claims arising from the performance of this Contract; or, (iii) costs and expenses of this Contract to which PHA, HUD, or Comptroller General or any of their duly authorized representatives has taken exception shall continue until disposition of such appeals, litigation, claims, or exceptions.

#### **5. Rights in Data (Ownership and Proprietary Interest)**

PHA shall have exclusive ownership of, all proprietary interest in, and the right to full and exclusive possession of all information, materials and documents discovered or produced by Contractor pursuant to the terms of this Contract, including but not limited to reports, memoranda or letters concerning the research and reporting tasks of this Contract.

#### **6. Energy Efficiency**

The Contractor shall comply with all mandatory standards and policies relating to energy efficiency which are contained in the energy conservation plan issued in compliance with the Energy Policy and Conservation Act (Pub.L. 94-163) for the State of Pennsylvania.

#### **7. Disputes**

- (a) All disputes arising under or relating to this Contract, including any claims for damages for the alleged breach thereof which are not disposed of by agreement, shall be resolved under this clause.
- (b) All claims by the Contractor shall be made in writing and submitted to PHA. A claim by PHA against the Contractor shall be subject to a written decision by PHA.

- (c) PHA shall, with reasonable promptness, but in no event in more than 60 days, render a decision concerning any claim hereunder. Unless the Contractor, within 30 days after receipt of PHA's decision, shall notify PHA in writing that it takes exception to such decision, the decision shall be final and conclusive.
- (d) Provided the Contractor has (i) given the notice within the time stated in paragraph (c) above, and (ii) excepted its claim relating to such decision from the final release, and (iii) brought suit against PHA not later than one year after receipt of final payment, or if final payment has not been made, not later than one year after the Contractor has had a reasonable time to respond to a written request by PHA that it submit a final voucher and release, whichever is earlier, then PHA's decision shall not be final or conclusive, but the dispute shall be determined on the merits by a court of competent jurisdiction.
- (e) The Contractor shall proceed diligently with performance of this Contract, pending final resolution of any request for relief, claim, appeal, or action arising under the Contract, and comply with any decision of PHA.

## **8. Contract Termination; Debarment**

A breach of these Contract clauses may be grounds for termination of the Contract and for debarment or denial of participation in HUD programs as a Contractor and a subcontractor as provided in 24 CFR Part 24.

## **9. Assignment of Contract**

The Contractor shall not assign or transfer any interest in this Contract; except that claims for monies due or to become due from PHA under the Contract may be assigned to a bank, trust company, or other financial institution. If the Contractor is a partnership, this Contract shall inure to the benefit of the surviving or remaining member(s) of such partnership approved by PHA.

## **10. Certificate and Release**

Prior to final payment under this Contract, or prior to settlement upon termination of this Contract, and as a condition precedent thereto, the Contractor shall execute and deliver to PHA a certificate and release, in a form acceptable to PHA, of all claims against PHA by the Contractor under and by virtue of this Contract, other than such claims, if any, as may be specifically excepted by the Contractor in stated amounts set forth therein.

## 11. Organizational Conflict of Interest

- (a) The Contractor warrants that to the best of its knowledge and belief and except as otherwise disclosed, it does not have any organizational conflict of interest which is defined as a situation in which the nature of work under this Contract and a Contractor's organizational, financial, contractual or other interests are such that:
  - (i) Award of the Contract may result in an unfair competitive advantage; or
  - (ii) The Contractor's objectivity in performing the Contract work may be impaired.
- (b) The Contractor agrees that if after award it discovers an organizational conflict of interest with respect to this Contract or any task/delivery order under the Contract, he or she shall make an immediate and full disclosure in writing to the Contracting Officer which shall include a description of the action which the Contractor has taken or intends to take to eliminate or neutralize the conflict. PHA may, however, terminate the Contract or task/delivery order for the convenience of PHA if it would be in the best interest of PHA.
- (c) In the event the Contractor was aware of an organizational conflict of interest before the award of this Contract and intentionally did not disclose the conflict to the Contracting Officer, PHA may terminate the Contract for default.
- (d) The terms of this clause shall be included in all subcontracts and consulting agreements wherein the work to be performed is similar to the service provided by the prime Contractor. The Contractor shall include in such subcontracts and consulting agreements any necessary provisions to eliminate or neutralize conflicts of interest.

## 12. Inspection and Acceptance

- (a) PHA has the right to review, require correction, if necessary, and accept the work products produced by the Contractor. Such review(s) shall be carried out within 30 days so as to not impede the work of the Contractor. Any product of work shall be deemed accepted as submitted if PHA does not issue written comments and/or required corrections within 30 days from the date of receipt of such product from the Contractor.
- (b) The Contractor shall make any required corrections promptly at no additional charge and return a revised copy of the product to PHA within 7 days of notification or a later date if extended by PHA.

- (c) Failure by the Contractor to proceed with reasonable promptness to make necessary corrections shall be a default. If the Contractor's submission of corrected work remains unacceptable, PHA may terminate this Contract (or the task order involved) or reduce the Contract price or cost to reflect the reduced value of services received.

**13. Interest of Members of Congress**

No member of or delegate to the Congress of the United States of America or Resident Commissioner shall be admitted to any share or part of this Contract or to any benefit to arise there from, but this provision shall not be construed to extend to this Contract if made with a corporation for its general benefit.

**14. Interest of Members, Officers, or Employees and Former Members, Officers, or Employees**

No member, officer, or employee of PHA, no member of the governing body of the locality in which the project is situated, no member of the governing body in which PHA was activated, and no other public official of such locality or localities who exercises any functions or responsibilities with respect to the project, shall, during his or her tenure, or for one year thereafter, have any interest, direct or indirect, in this Contract or the proceeds thereof.

**15. Limitation on Payments to Influence Certain Federal Transactions**

- (a) Definitions. As used in this clause:

"Agency", as defined in 5 U.S.C. 552(f), includes Federal executive departments and agencies as well as independent regulatory commissions and Government corporations, as defined in 31 U.S.C. 9101(1).

"Covered Federal Action" means any of the following Federal actions: (i) The awarding of any Federal contract; (ii) The making of any Federal grant; (iii) The making of any Federal loan; (iv) The entering into of any cooperative agreement; and, (v) The extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement. Covered Federal action does not include receiving from an agency a commitment providing for the United States to insure or guarantee a loan.

"Indian tribe" and "tribal organization" have the meaning provided in section 4 of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450B). Alaskan Natives are included under the definitions of Indian tribes in that Act.

“Influencing or attempting to influence” means making, with the intent to influence, any communication to or appearance before an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with any covered Federal action.

“Local government” means a unit of government in a State and, if chartered, established, or otherwise recognized by a State for the performance of a governmental duty, including a local public authority, a special district, an intrastate district, a council of governments, a sponsor group representative organization, and any other instrumentality of a local government.

“Officer or employee of an agency” includes the following individuals who are employed by an agency: (i) An individual who is appointed to a position in the Government under title 5, U.S.C., including a position under a temporary appointment; (ii) A member of the uniformed services as defined in section 202, title 18, U.S.C.; (iii) A special Government employee as defined in section 202, title 18, U.S.C.; and, (iv) An individual who is a member of a Federal advisory committee, as defined by the Federal Advisory Committee Act, title 5, appendix 2.

“Person” means an individual, corporation, company, association, authority, firm, partnership, society, State, and local government, regardless of whether such entity is operated for profit or not for profit. This term excludes an Indian tribe, tribal organization, or other Indian organization with respect to expenditures specifically permitted by other Federal law.

“Recipient” includes all contractors, subcontractors at any tier, and subgrantees at any tier of the recipient of funds received in connection with a Federal contract, grant, loan, or cooperative agreement. The term excludes an Indian tribe, tribal organization, or any other Indian organization with respect to expenditures specifically permitted by other Federal law.

“Regularly employed means, with respect to an officer or employee of a person requesting or receiving a Federal contract, grant, loan, or cooperative agreement, an officer or employee who is employed by such person for at least 130 working days within one year immediately preceding the date of the submission that initiates agency consideration of such person for receipt of such contract, grant, loan, or cooperative agreement. An officer or employee who is employed by such person for less than 130 working days within one year immediately preceding the date of submission that initiates agency consideration of such person shall

be considered to be regularly employed as soon as he or she is employed by such person for 130 working days.

“State” means a State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, a territory or possession of the United States, an agency or instrumentality of a State, and a multi-State, regional, or interstate entity having governmental duties and powers.

(b) Prohibition.

- (i) Section 1352 of title 31, U.S.C. provides in part that no appropriated funds may be expended by the recipient of a Federal contract, grant, loan, or cooperative agreement to pay any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with any of the following covered Federal actions: the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (ii) The prohibition does not apply as follows:
  - (1) Agency and legislative liaison by Own Employees.
    - (a) The prohibition on the use of appropriated funds, in paragraph (i) of this section, does not apply in the case of a payment of reasonable compensation made to an officer or employee of a person requesting or receiving a Federal contract, grant, loan, or cooperative agreement, if the payment is for agency and legislative activities not directly related to a covered Federal action.
    - (b) For purposes of paragraph (b)(i)(1)(a) of this clause, providing any information specifically requested by an agency or Congress is permitted at any time.
    - (c) The following agency and legislative liaison activities are permitted at any time only where they are not related to a specific solicitation for any covered Federal action: (1) Discussing with an

agency (including individual demonstrations) the qualities and characteristics of the person's products or services, conditions or terms of sale, and service capabilities; and, (2) Technical discussions and other activities regarding the application or adaptation of the person's products or services for an agency's use.

- (d) The following agency and legislative liaison activities are permitted where they are prior to formal solicitation of any covered Federal action:
  - (1) Providing any information not specifically requested but necessary for an agency to make an informed decision about initiation of a covered Federal action;
  - (2) Technical discussions regarding the preparation of an unsolicited proposal prior to its official submission; and
  - (3) Capability presentations by persons seeking awards from an agency pursuant to the provisions of the Small Business Act, as amended by Public Law 95-507 and other subsequent amendments.
- (e) Only those activities expressly authorized by subdivision (b)(ii)(1)(a) of this clause are permitted under this clause.

(2) Professional and technical services.

- (a) The prohibition on the use of appropriated funds, in subparagraph (b)(i) of this clause, does not apply in the case of-
  - (i) A payment of reasonable compensation made to an officer or employee of a person requesting or receiving a covered Federal action or an extension, continuation, renewal, amendment, or modification of a covered Federal action, if payment is for professional or technical services rendered directly in the preparation, submission, or negotiation of any bid, proposal, or application for that Federal action or for meeting requirements imposed by or pursuant

to law as a condition for receiving that Federal action.

- (ii) Any reasonable payment to a person, other than an officer or employee of a person requesting or receiving a covered Federal action or an extension, continuation, renewal, amendment, or modification of a covered Federal action if the payment is for professional or technical services rendered directly in the preparation, submission, or negotiation of any bid, proposal, or application for that Federal action or for meeting requirements imposed by or pursuant to law as a condition for receiving that Federal action. Persons other than officers or employees of a person requesting or receiving a covered Federal action include consultants and trade associations.
  - (b) For purposes of subdivision (b)(ii)(2)(a) of clause, “professional and technical services” shall be limited to advice and analysis directly applying any professional or technical discipline.
  - (c) Requirements imposed by or pursuant to law as a condition for receiving a covered Federal award include those required by law or regulation, or reasonably expected to be required by law or regulation, and any other requirements in the actual award documents.
  - (d) Only those services expressly authorized by subdivisions (b)(ii)(2)(a)(i) and (ii) of this section are permitted under this clause.
- (3) Selling activities by independent sales representatives.

The prohibition on the use of appropriated funds, in subparagraph (b)(i) of this clause, does not apply to the following selling activities before an agency by independent sales representatives, provided such

activities are prior to formal solicitation by an agency and are specifically limited to the merits of the matter: (i) Discussing with an agency (including individual demonstration) the qualities and characteristics of the person's products or services, conditions or terms of sale, and service capabilities; and (ii) Technical discussions and other activities regarding the application or adaptation of the person's products or services for an agency's use.

- (c) Agreement. In accepting any contract, grant, cooperative agreement, or loan resulting from this solicitation, the person submitting the offer agrees not to make any payment prohibited by this clause.
- (d) Penalties. Any person who makes an expenditure prohibited under paragraph (b) of this clause shall be subject to civil penalties as provided for by 31 U.S.C. 1352. An imposition of a civil penalty does not prevent the Government from seeking any other remedy that may be applicable.
- (e) Cost Allowability. Nothing in this clause is to be interpreted to make allowable or reasonable any costs which would be unallowable or unreasonable in accordance with Part 31 of the Federal Acquisition Regulation (FAR), or OMB Circulars dealing with cost allowability for recipients of assistance agreements. Conversely, costs made specifically unallowable by the requirements in this clause will not be made allowable under any of the provisions of FAR Part 31 or the relevant OMB Circulars.

## **16. Equal Employment Opportunity**

During the performance of this Contract, the Contractor agrees as follows:

- (a) The Contractor shall not discriminate against any employee or applicant for employment because of race, color, religion, sex, or national origin.
- (b) The Contractor shall take affirmative action to ensure that applicants are employed, and that employees are treated during employment without regard to their race, color, religion, sex, or national origin. Such action shall include, but not be limited to (1) employment; (2) upgrading; (3) demotion; (4) transfer; (5) recruitment or recruitment advertising; (6) layoff or termination; (7) rates of pay or other forms of compensation; and (8) selection for training, including apprenticeship.
- (c) The Contractor shall post in conspicuous places available to employees and applicants for employment the notices to be provided by the Contracting Officer that explain this clause.

- (d) The Contractor shall, in all solicitations or advertisements for employees placed by or on behalf of the Contractor, state that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex, or national origin.
- (e) The Contractor shall send, to each labor union or representative of workers with which it has a collective bargaining agreement or other contract or understanding, the notice to be provided by the Contracting Officer advising the labor union or workers' representative of the Contractor's commitments under this clause, and post copies of the notice in conspicuous places available to employees and applicants for employment.
- (f) The Contractor shall comply with Executive Order 11246, as amended, and the rules, regulations, and orders of the Secretary of Labor.
- (g) The Contractor shall furnish all information and reports required by Executive Order 11246, as amended and by rules, regulations, and orders of the Secretary of Labor, or pursuant thereto. The Contractor shall permit access to its books, records, and accounts by the Secretary of Labor for purposes of investigation to ascertain compliance with such rules, regulations, and orders.
- (h) In the event of a determination that the Contractor is not in compliance with this clause or any rule, regulation, or order of the Secretary of Labor, this Contract may be canceled, terminated, or suspended in whole or in part, and the Contractor may be declared ineligible for further Government contracts, or federally assisted construction contracts under the procedures authorized in Executive Order 11246, as amended. In addition, sanctions may be imposed and remedies invoked against the Contractor as provided in Executive Order 11246, as amended, the rules, regulations, and orders of the Secretary of Labor, or as otherwise provided by law.
- (i) The Contractor shall include the terms and conditions of this clause in every subcontract or purchase order unless exempted by the rules, regulations, or orders of the Secretary of Labor issued under Executive Order 11246, as amended, so that these terms and conditions will be binding upon each subcontractor or vendor. The Contractor shall take such action with respect to any subcontractor or purchase order as the Secretary of Housing and Urban Development or the Secretary of Labor may direct as a means of enforcing such provisions, including sanctions for noncompliance; provided that if the Contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction, the Contractor may request the United States to enter into the litigation to protect the interests of the United States.

**17. Dissemination or Disclosure of Information**

The Contractor shall not disseminate or disclose information or material to the general public, the news media, or any person or organization without prior express written approval by PHA.

**18. Contractor's Status**

It is understood that the Contractor is an independent contractor and is not to be considered an employee of PHA, or assume any right, privilege or duties of an employee, and shall save harmless PHA and its employees from claims suits, actions and costs of every description resulting from the Contractor's activities on behalf of PHA in connection with this Agreement.

**19. Other Contractors**

PHA may undertake or award other contracts for additional work at or near the site(s) of the work under this Contract. The Contractor shall fully cooperate with the other contractors and with PHA and HUD employees and shall carefully adapt scheduling and performing the work under this Contract to accommodate the additional work, heeding any direction that may be provided by the Contracting Officer. The Contractor shall not commit or permit any act that will interfere with the performance of work by any other contractor or PHA employee.

**20. Liens**

The Contractor is prohibited from placing a lien on PHA's property. This prohibition shall apply to all subcontractors.

**21. Training and Employment Opportunities for Residents in the Project Area (Section 3, HUD Act of 1968; 24 CFR 135)**

- (a) The work to be performed under this Contract is subject to the requirements of section 3 of the Housing and Urban Development Act of 1968, as amended, 12 U.S.C. 1701u (section 3). The purpose of section 3 is to ensure that employment and other economic opportunities generated by HUD assistance or HUD-assisted projects covered by section 3, shall, to the greatest extent feasible, be directed to low- and very low-income persons, particularly persons who are recipients of HUD assistance for housing.
- (b) The parties to this Contract agree to comply with HUD's regulations in 24 CFR Part 135, which implement section 3. As evidenced by their execution of this Contract, the parties to this Contract certify that they are under no contractual or other impediment that would prevent them from complying with the Part 135 regulations.

- (c) The Contractor agrees to send to each labor organization or representative of workers with which the Contractor has a collective bargaining agreement or other understanding, if any, a notice advising the labor organization or workers' representative of the Contractor's commitments under this section 3 clause, and will post copies of the notice in conspicuous places at the work site where both employees and applicants for training and employment positions can see the notice. The notice shall describe the section 3 preference, shall set forth minimum number and job titles subject to hire, availability of apprenticeship and training positions, the qualifications for each; and the name and location of the person(s) taking applications for each of the positions; and the anticipated date the work shall begin.
- (d) The Contractor agrees to include this section 3 clause in every subcontract subject to compliance with regulations in 24 CFR Part 135, and agrees to take appropriate action, as provided in an applicable provision of the subcontract or in this section 3 clause, upon a finding that the subcontractor is in violation of the regulations in 24 CFR Part 135. The Contractor will not subcontract with any subcontractor where the Contractor has notice or knowledge that the subcontractor has been found in violation of the regulations in 24 CFR Part 135.
- (e) The Contractor will certify that any vacant employment positions, including training positions, that are filled (1) after the Contractor is selected but before the Contract is executed, and (2) with persons other than those to whom the regulations of 24 CFR Part 135 require employment opportunities to be directed, were not filled to circumvent the Contractor's obligations under 24 CFR Part 135.

## **22. Procurement of Recovered Materials**

- (a) In accordance with Section 6002 of the Solid Waste Disposal Act, as amended by the Resource Conservation and Recovery Act, the Contractor shall procure items designated in guidelines of the Environmental Protection Agency (EPA) at 40 CFR part 247 that contain the highest percentage of recovered materials practicable, consistent with maintaining a satisfactory level of competition. The Contractor shall procure items designated in the EPA guidelines that contain the highest percentage of recovered materials practicable unless the Contractor determines that such items: (1) are not reasonably available in a reasonable period of time; (2) fail to meet reasonable performance standards, which shall be determined on the basis of the guidelines of the National Institute of Standards and Technology, if applicable to the item; of (3) are only available at an unreasonable price.

- (b) Paragraph (a) of the clause shall apply to items purchased under this Contract where: (1) the Contractor purchases in excess of \$10,000 of the item under this Contract; or (2) during the preceding Federal fiscal year, the Contractor : (i) purchased any amount of the items for use under a contract that was funded with Federal appropriations and was with a Federal agency or a State agency of a political subdivision of a State; and (ii) purchased a total of in excess of the item under and outside that contract.

**E. PHA STANDARD TERMS & CONDITIONS**

**CHEMICAL WATER TREATMENT SERVICES at VARIOUS PHA LOCATIONS**

**Solicitation Number: P-004372-R**

**SECTION II. PHA STANDARD TERMS & CONDITIONS**

**1. Minimum Acceptance Period**

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- a. "Acceptance period," as used in this provision, means the number of calendar days available to PHA for awarding a contract from the date specified in this solicitation for receipt of proposals.
- b. PHA requires a minimum acceptance period of 90 calendar days. If the award is delayed by a required approval of another governing agency, then the acceptance period shall be 120 days.
- c. A proposal allowing less than the PHA's minimum acceptance period will be rejected.

**2. Billing and Payment**

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- a. The Contractor shall submit invoices to the PHA as provided pursuant to the terms of this Contract. Invoices must show the type of service performed and the amount charged to the Contract during the billing period. PHA's billing address is:

Philadelphia Housing Authority  
Attn: Contract Administration  
P.O. Box 8737  
Philadelphia, PA 19104-9742

- b. PHA shall exert its best efforts to pay the Contractor within forty-five (45) days of receipt of an accurate/uncontested invoice, given fulfillment of deliverable(s), and if Contractor is in compliance with all Contract terms and conditions. PHA reserves the right to withhold payment for performance deficiencies.
- c. No interest shall be payable to the Contractor from PHA for delayed progress or final payment.

**3. PHA Option for Payment by Electronic Funds Transfer**

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- a. At PHA's option:
  - i. All payments by PHA under this Contract shall be made by electronic funds transfer (EFT) except as provided in paragraph (a)(ii) of this clause. As used in this clause, the term EFT refers to the funds transfer and may also include the payment information transfer.
  - ii. In the event PHA is unable to release one or more payments by EFT, the Contractor agrees to either (1) Accept payment by check or some other mutually agreeable method of payment; or (2) Request PHA to extend payment due dates until such time as PHA makes payment by EFT (but see paragraph (d) of this clause).
- b. Mandatory submission of Contractor's EFT information.

- i. The Contractor is required to provide PHA with the information required to make payment by EFT (see paragraph (j) of this clause). The Contractor shall provide this information directly to the office designated in this Contract to receive that information (hereafter: designated office) within 10 days after award of the Contract. If not otherwise specified in this Contract, the payment office is the designated office for receipt of the Contractor's EFT information. If more than one designated office is named for the Contract, the Contractor shall provide a separate notice to each office. In the event that the EFT information changes, the Contractor shall be responsible for providing the updated information to the designated office(s).
- ii. If the Contractor provides EFT information applicable to multiple contracts, the Contractor shall specifically state the applicability of this EFT information in terms acceptable to the designated office.

However, EFT information supplied to a designated office shall be applicable only to contracts that identify that designated office as the office to receive EFT information for that contract.

- c. Mechanisms for EFT payment. PHA may make payment by EFT through either the Automated Clearing House (ACH) network, subject to the rules of the National Automated Clearing House Association, or the Fedwire Transfer System. The rules governing Federal payments through the ACH are contained in 31 CFR Part 210.
- d. Suspension of payment.
  - i. PHA is not required to make any payment under this Contract until after receipt, by the designated office, of the correct EFT payment information from the Contractor. Until receipt of the correct EFT information, any invoice or contract financing request shall be deemed not to be a proper invoice for the purpose of prompt payment under this Contract. The prompt payment terms of the Contract regarding notice of an improper invoice and delays in accrual of interest penalties apply.
  - ii. If the EFT information changes after submission of correct EFT information, PHA shall begin using the changed EFT information no later than 30 days after its receipt by the designated office to the extent payment is made by EFT. However, the Contractor may request that no further payments be made until the updated EFT information is implemented by the payment office. If such suspension would result in a late payment under the prompt payment terms of this Contract, the Contractor's request for suspension shall extend the due date for payment by the number of days of the suspension.
- e. Liability for uncompleted or erroneous transfers.
  - i. If an uncompleted or erroneous transfer occurs because PHA used the Contractor's EFT information incorrectly, PHA remains responsible for (1) Making a correct payment; (2) Paying any prompt payment penalty due; and (3) Recovering any erroneously directed funds.
  - ii. If an uncompleted or erroneous transfer occurs because the Contractor's EFT information was incorrect, or was revised within 30 days of Government release of the EFT payment transaction instruction to the Federal Reserve System, and

(1) If the funds are no longer under the control of the payment office, PHA is deemed to have made payment and the Contractor is responsible for recovery of any erroneously directed funds; or (2) If the funds remain under the control of the payment office, PHA shall not make payment and the provisions of paragraph (d) shall apply.

- f. EFT and prompt payment. A payment shall be deemed to have been made in a timely manner in accordance with the prompt payment terms of this Contract if, in the EFT payment transaction instruction released to the Federal Reserve System, the date specified for settlement of the payment is on or before the prompt payment due date, provided the specified payment date is a valid date under the rules of the Federal Reserve System.
- g. EFT and assignment of claims. If the Contractor assigns the proceeds of this Contract as provided for in the assignment of claims terms of this Contract, the Contractor shall require as a condition of any such assignment, that the assignee shall provide the EFT information required by paragraph (j) of this clause to the designated office, and shall be paid by EFT in accordance with the terms of this clause. In all respects, the requirements of this clause shall apply to the assignee as if it were the Contractor. EFT information that shows the ultimate recipient of the transfer to be other than the Contractor, in the absence of a proper assignment of claims acceptable to PHA, is incorrect EFT information within the meaning of paragraph (d) of this clause.
- h. Liability for change of EFT information by financial agent. PHA is not liable for errors resulting from changes to EFT information provided by the Contractor's financial agent.
- i. Payment information. The payment or disbursing office shall forward to the Contractor available payment information that is suitable for transmission as of the date of release of the EFT instruction to the Federal Reserve System. PHA may request the Contractor to designate a desired format and method(s) for delivery of payment information from a list of formats and methods the payment office is capable of executing. However, PHA does not guarantee that any particular format or method of delivery is available at any particular payment office and retains the latitude to use the format and delivery method most convenient to PHA. If PHA makes payment by check in accordance with paragraph (a) of this clause, PHA shall mail the payment information to the remittance address in the Contract.
- j. EFT information. The Contractor shall provide the following information to the designated office. The Contractor may supply this data for this or multiple contracts (see paragraph (b) of this clause). The Contractor shall designate a single financial agent per contract capable of receiving and processing the EFT information using the EFT methods described in paragraph (c) of this clause.
  - i. The contract number (or other procurement identification number).
  - ii. The Contractor's name and remittance address, as stated in the Contract(s).
  - iii. The signature (manual or electronic, as appropriate), title, and telephone number of the Contractor official authorized to provide this information.
  - iv. The name, address, and 9-digit Routing Transit Number of the Contractor's financial agent.

- v. The Contractor's account number and the type of account (checking, saving, or lockbox).
- vi. If applicable, the Fedwire Transfer System telegraphic abbreviation of the Contractor's financial agent.
- vii. If applicable, the Contractor shall also provide the name, address, telegraphic abbreviation, and 9-digit Routing Transit Number of the correspondent financial institution receiving the wire transfer payment if the Contractor's financial agent is not directly on-line to the Fedwire Transfer System; and, therefore, not the receiver of the wire transfer payment.

#### **4. Notices**

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- a. Any notice to or demand upon the Contractor shall be considered given if delivered at the office of the Contractor as stated on the signature page of the Contract or at such place or other address as he may designate, in writing, to the Authority.
- b. All papers required to be delivered to PHA, unless otherwise specified in writing to the Sourcing Manager, shall be sent to:

Attn: Rovshan G. Safarov  
Philadelphia Housing Authority  
3100 Penrose Ferry Road  
Philadelphia, PA 19145

- c. All Contractor notices, demands, requests, instructions, approvals, claims, etc., must be made in writing to PHA. No oral communications will be considered binding under the terms of this Contract.

#### **5. Option to Extend Term of Contract**

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PHA may extend the term of this Contract through exercise of option year(s), if any, by written notice to the Contractor.

#### **6. Option to Extend Services**

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PHA may require continued performance of any services within the limits and at the rates specified in the Contract. These rates may be adjusted only as a result of revisions to prevailing labor rates provided by the Secretary of Labor. This option provision may be exercised more than once, but the total extension of performance hereunder shall not exceed 6 months. The Contracting Officer may exercise the option by written notice to the Contractor within ten (10) days prior to the expiration of the Contract.

#### **7. Contract Modifications**

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- a. Only the Contracting Officer has authority to modify any term or condition of this Contract. Any contract modification shall be authorized in writing.
- b. PHA may modify the Contract unilaterally (1) pursuant to a specific authorization stated in a Contract clause; or (2) for administrative matters which do not change the rights or responsibilities of the parties. All other Contract modifications shall be in the form of supplemental agreements signed by the Contractor and the Contracting Officer.

## **8. Hold Harmless**

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The Contractor shall hold PHA harmless from and indemnify PHA against any and all claims, demands and actions based upon or arising out of any activities performed by the Contractor and its employees and agents pursuant to the Contract and shall, at the request of PHA, defend any and all actions brought against PHA based upon any such claims or demands.

## **9. Suspension of Work**

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- a. The Contracting Officer may order the Contractor, in writing, to suspend, delay, or interrupt all or any part of the work of this Contract for the period of time that the Contracting Officer determines appropriate for the convenience of PHA.
- b. If the performance of all or any part of the work is, for an unreasonable period of time, suspended, delayed, or interrupted (1) by an act of the Contracting Officer in the administration of this Contract, or (2) by the Contracting Officer's failure to act within the time specified in this Contract (or within a reasonable time if not specified), an adjustment shall be made for any increase in the cost of performance of this Contract (excluding profit) necessarily caused by the unreasonable suspension, delay, or interruption, and the Contract modified in writing accordingly. However, no adjustment shall be made under this clause for any suspension, delay, or interruption to the extent that performance would have been so suspended, delayed, or interrupted by any other cause, including the fault or negligence of the Contractor, or for which an equitable adjustment is provided for or excluded under any other term or condition of this Contract.
- c. A claim under this clause shall not be allowed (1) for any costs incurred more than 20 days before the Contractor shall have notified the Contracting Officer in writing of the act or failure to act involved (but this requirement shall not apply as to a claim resulting from a suspension order), and (2) unless the claim, in an amount stated, is asserted in writing as soon as practicable after the termination of the suspension, delay, or interruption, but not later than the date of final payment under the Contract.

## **10. Default**

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If the Contractor refuses or fails to prosecute the work, or any separable part thereof, with the diligence that will insure its completion within the time specified in this Contract, or any extension thereof, or fails to complete said work within this time, the Contracting Officer may, by written notice to the Contractor, terminate the right to proceed with the work (or separable part of the work) that has been delayed. In this event, PHA may take over the work and complete it, by contract or otherwise, and may take possession of and use any materials, equipment, and plant on the work site necessary for completing the work. The Contractor and its sureties shall be liable for any damage to PHA resulting from the Contractor's refusal or failure to complete the work within the specified time, whether or not the Contractor's right to proceed with the work is terminated. This liability includes any increased costs incurred by the PHA in completing the work.

## **11. Contractor Claims**

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In the event of a controversy or claim arising from the Contract, the Contractor must, within six months after the cause of action accrues, file a written claim with the Contracting Officer

for a determination. The claim shall state all grounds upon which the Contractor asserts a controversy exists. If the Contractor fails to file a claim or files an untimely claim, the Contractor is deemed to have waived its right to assert a claim in any forum. The Contracting Officer shall review timely-filed claims and issue a determination in accordance with the "Disputes" clause in Terms and Conditions, Section I, Article 7.

## **12. Contractor Integrity**

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### **a. Definitions**

- i. Confidential Information means information that is not public knowledge, or available to the public on request, disclosure of which would give an unfair, unethical, or illegal advantage to another desiring to contract with PHA.
  - ii. Consent means written permission signed by a duly authorized officer or employee of PHA, provided that where the material facts have been disclosed, in writing, by prequalification, bid, proposal, or contractual terms, PHA shall be deemed to have consented by virtue of execution of this agreement.
  - iii. Contractor means the individual or entity that has entered into this agreement with PHA, including directors, officers, partners, managers, key employees, and owners of more than a five percent interest.
  - iv. Financial Interest means: (1) ownership of more than a five percent interest in any business; or (2) holding a position as an officer, director, trustee, partner, employee, or the like, or holding any position of management.
  - v. Gratuity means any payment of more than nominal monetary value in the form of cash, travel, entertainment, gifts, meals, lodging, loans, subscriptions, advances, deposits of money, services, employment, or contracts of any kind.
- b. The Contractor shall maintain the highest standards of integrity in the performance of this agreement and shall take no action in violation of state or federal laws, regulations, or other requirements that govern contracting with PHA.
  - c. The Contractor shall not disclose to others any confidential information gained by virtue of this agreement.
  - d. The Contractor shall not, in connection with this or any other agreement with PHA, directly or indirectly, offer, confer, or agree to confer any pecuniary benefit on anyone as consideration for the decision, opinion, recommendation, vote, other exercise of discretion, or violation of a known legal duty by any officer or employee of PHA.
  - e. The Contractor shall not, in connection with this or any other agreement with PHA, directly or indirectly, offer, give, or agree or promise to give to anyone any gratuity for the benefit of or at the direction or request of any officer or employee of PHA.
  - f. Except with the consent of PHA, neither the Contractor nor anyone in privity with him or her shall accept or agree to accept from, or give or agree to give to, any person, any gratuity from any person in connection with the performance of work under this agreement except as provided therein.
  - g. Except with the consent of PHA, the Contractor shall not have a financial interest in any other contractor, subcontractor, or supplier providing services, labor, or material on this project.

- h. The Contractor, upon being informed that any violation of these provisions has occurred or may occur, shall immediately notify PHA in writing.
- i. The Contractor, by execution of this agreement and by the submission of any bills or invoices for payment pursuant thereto, certifies and represents that he or she has not violated any of these provisions.
- j. The Contractor, upon the inquiry or request of PHA, HUD, the Inspector General of the Commonwealth or any agents or representatives of PHA, HUD or the Inspector General of the Commonwealth, shall provide, or if appropriate, make promptly available for inspection or copying, any information of any type or form deemed relevant by PHA, HUD or the Inspector General of the Commonwealth to the Contractor's integrity or responsibility, as those terms are defined by federal and state statutes, regulations, or management directives. Such information may include, but shall not be limited to, the Contractor's business or financial records, documents or files of any type or form which refer to or concern this agreement. Such information shall be retained by the Contractor for a period of three years beyond the termination of the Contract unless otherwise provided by law.
- k. For violation of any of the above provisions, PHA may terminate this and any other agreement with the Contractor, claim liquidated damages in an amount equal to the value of anything received in breach of these provisions, claim damages for all expenses incurred in obtaining another contractor to complete performance hereunder, and debar and suspend the Contractor from doing business with PHA. These rights and remedies are cumulative, and the use or nonuse of any one shall not preclude the use of all or any other. These rights and remedies are in addition to those PHA may have under law, statute, regulation, or otherwise.

### **13. Subcontracts**

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- a. There shall be no subcontracting without the prior written consent of the Contracting Officer.
- b. The PHA may, without claim for extra cost by the Contractor, disapprove any subcontractor for cause on the basis of its own determination or because the proposed subcontractor is suspended or debarred by the U.S. Government, the Commonwealth of Pennsylvania or PHA.
- c. The Contractor shall cause provisions to be inserted in all subcontracts to bind subcontractors to the terms of this Contract (including Affirmative Action provisions) insofar as they are applicable to the work of the subcontractor.
- d. Nothing contained in the Contract shall create any contractual relation between any subcontractor and PHA.

### **14. Subcontracting with Small and Minority Firms, and Women's Business Enterprise**

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The Contractor shall take the following steps to assure that, whenever possible, subcontracts are awarded to small and minority firms, and women's business enterprises by:

- a. Placing qualified small and minority businesses and women's business enterprises on solicitation lists;

- b. Assuring that small and minority businesses and women's business enterprises are solicited whenever possible;
- c. Dividing total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by small and minority businesses and women's business enterprises;
- d. Establishing delivery schedules, where the requirements of the Contract permit, which encourage participation by small and minority businesses and women's business enterprises; and
- e. Using the services and assistance of the U.S. Small Business Administration, the Minority Business Development Agency of the U.S. Department of Commerce, and state and local governmental small business agencies.

## **15. Contractor Conflicts**

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The Contractor, its employees, agents and subcontractors shall not, during the term of this Contract, undertake any employment or engagement or, except as required by law, perform any act or allow any omission, which may result in a conflict with any of their respective obligations under this Contract. A conflict includes, but is not limited to engagement by a third party to review, comment or critique PHA work in the same or similar areas as reflected in this Contract's scope of work. In the event Contractor, its agents, or subcontractors are called upon under a purported requirement of law to do or omit anything that may be in violation of the foregoing, the Contractor shall give the PHA Contracting Officer sufficient advance written notice thereof to allow the matter to be contested by PHA.

## **16. Permits and Licenses**

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If any permits, licenses or other approvals are necessary for the performance of this Contract, then the Contractor shall obtain all such permits, licenses or approvals, including use of patents, trademarks or copyrights, at no extra charge to PHA.

## **17. Rights in Data and Copyrights**

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- a. Except as provided elsewhere in this clause, PHA shall have unlimited rights in data first produced in the performance of this Contract; form, fit, and function data delivered under this Contract; data delivered under this Contract (except for restricted computer software) that constitute manuals or instructional and training material for installation, operation, or routine maintenance and repair of items, components, or processes delivered or furnished for use under this Contract; and all other data delivered under this Contract unless provided otherwise for limited rights data or restricted computer software.
- b. The Contractor shall have the right to: use, release to others, reproduce, distribute, or publish any data first produced or specifically used by the Contractor in the performance of this Contract, unless provided otherwise in this clause; protect from unauthorized disclosure and use those data which are limited rights data of restricted computer software to the extent provided in this clause; substantiate use of, add or correct limited rights, restricted rights, or copyright notices and to take other appropriate action in accordance with this clause; and establish claim to copyright subsisting in data first produced in the performance of this Contract to the extent provided below.

- c. For data first produced in the performance of this Contract, the Contractor may establish, without prior approval of the Contracting Officer, claim to copyright subsisting in scientific or technical articles based on or containing data first produced in the performance of this Contract. The Contractor grants the PHA and others acting on its behalf a paid-up, non-exclusive, irrevocable, worldwide license in such copyrighted data to reproduce, prepare derivative works, distribute copies to the public, and perform or display publicly by or on behalf of the PHA.
- d. The Contractor shall not, without the prior written permission of the Contracting Officer, incorporate in data delivered under this Contract any data not first produced in the performance of this Contract and which contains copyright notice, unless the Contractor identifies such data and grants the PHA a license of the same scope as identified in the preceding paragraph.
- e. The PHA agrees not to remove any copyright notices placed on data and to include such notices in all reproductions of the data. If any data delivered under this Contract are improperly marked, the Contracting Officer may either return the data to the Contractor, or cancel or ignore the markings.
- f. The Contractor is responsible for obtaining from its subcontractors all data and rights necessary to fulfill the Contractor's obligations under this Contract.
- g. Notwithstanding any provisions to the contrary contained in any contractor's standard commercial license or lease agreement pertaining to any restricted computer software delivered under this Contract, and irrespective of whether any such agreement has been proposed prior to the award of this Contract or of the fact that such agreement may be affixed to or accompany the restricted computer software upon delivery, the Contractor agrees that the PHA shall have the rights set forth below to use, duplicate, or disclose any restricted computer software delivered under this Contract. The terms and conditions of this Contract, including any commercial lease or licensing agreement, shall be subject to the following procedures.
  - i. The restricted computer software delivered under this Contract may not be used, reproduced, or disclosed by PHA except as provided below or as expressly stated otherwise in this Contract.
  - ii. The restricted computer software may be: used or copied for use in or with the computer(s) for which it was acquired, including use at any PHA location to which such computer(s) may be transferred; used or copied for use in or with backup computer if any computer for which it was acquired is inoperative; reproduced for safekeeping (archives) or backup purposes; modified, adapted, or combined with other computer software, provided that the modified, combined, or adapted portions of the derivative software incorporating any of the delivered, restricted computer software shall be subject to the same restrictions set forth in this Contract; and used or copies for use in or transferred to a replacement computer.

## **18. Royalties and Patents**

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The Contractor shall pay all royalties and license fees. It shall defend all suits or claims for infringement of any patent rights and shall save PHA harmless from loss on account thereof; except that PHA shall be responsible for all such loss when a particular design, process or

the product of a particular manufacturer or manufacturers is specified and the Contractor has no reason to believe that the specified design, process, or product is an infringement. If, however, the Contractor has reason to believe that any design, process or product specified by PHA is an infringement of a patent, the Contractor shall promptly notify the Contracting Officer. Failure to give such notice shall make the Contractor responsible for resultant loss.

## **19. Warranty & Product Documents**

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- a. The Contractor shall submit product data and manufacturer's specifications as required by PHA. Manufacturer's written product and procedures requirements, when approved by PHA, become part of the Contract. PHA reserves the right to reject items not in compliance with the manufacturer's specifications.
- b. The Contractor shall submit warranty and guaranty papers along with the manufacturer's data for each product. The adequacy of the documentation is subject to approval by PHA. The Contractor shall be a fully authorized and qualified seller, user or installer of the materials specified and/or approved. The Contractor shall submit proof of certification indicating he is acceptable to the manufacturer.

- c. On-Site Delivery

If PHA requires Contractor to deliver goods to a PHA site, then the Contractor's representative shall sign in at the PHA manager's office on-site prior to commencing delivery.

## **20. Insurance**

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- a. Before commencing work, the Contractor and each sub-contractor shall furnish the PHA with certificates of insurance showing the following insurance is in force and will insure all operations under the Contract:
  - i. Workers' Compensation, in accordance with State or Territorial Workers' Compensation laws and Employers Liability with limits of not less than \$500,000.
  - ii. Commercial General Liability with a combined single limit for bodily injury and property damage of not less than \$1,000,000.00 per occurrence/\$2,000,000 General Aggregate. This shall cover the use of all equipment, hoists, and vehicles on the site(s) not covered by Automobile Liability under (3) below. If the Contractor has a "claims-made" policy based on Section (e) (5) of this clause, then the following additional requirements apply: the policy must provide a "retroactive date" which must be on or before the execution date of the Contract; and should the policy be canceled on non-renewed, the extended reporting coverage will be purchased to extend coverage to one year after the end of the contract period, limited only by the exhaustion of the policy limits. See PHA Special Terms and Conditions for higher levels of coverage for certain types of purchases.
  - iii. Automobile Liability coverage on owned, non-owned, and hired auto coverage for motor vehicles used on the site(s) or in connection therewith and with a combined single limit for bodily injury and property damage of not less than \$1,000,000.00 per occurrence.

- b. All insurance shall be carried with companies which are financially responsible and admitted to do business in the State in which the project is located and have an A.M. Best Rating of A . If any such insurance is due to expire during the Contract period, the Contractor (including subcontractors, as applicable) shall not permit the coverage to lapse and shall furnish evidence of coverage to the Contracting Officer. All certificates of insurance, as evidence of coverage, shall provide that no coverage may be canceled or non-renewed by the insurance company until at least thirty (30) days prior written notice has been given to the Contracting Officer. Such notice must be sent by Certified Mail, Return Receipt Requested, to the Contracting Officer's attention.
- c. Additional Insured Requirement: Philadelphia Housing Authority is to be named an "additional insured" on all policies required hereunder except Workers' Compensation, Employer's Liability, and Professional Liability. An endorsement stating the above shall be provided to the PHA by the Contractor prior to the commencement of the work. The General Liability additional insured endorsement shall be provided to PHA.
- d. Minimum Scope of Insurance: Coverage should be at least as broad as:
  - i. Insurance Services Office form number CA 0001 (Ed. 03/06) covering Automobile Liability, Symbol "1" - "any auto".
  - ii. Workers' Compensation Insurance as required by the Pennsylvania Workers' Compensation Act, with \$500,000 limit of liability for Employers Liability Insurance.
- e. Other Insurance Provisions: The policies are to contain, or be endorsed to contain, the following provisions:
  - i. General Liability and Automobile Liability coverages
    - 1) The PHA, its Board of Commissioners, officers, employees and volunteers are to be covered as additional insureds as respects: liability arising out of activities performed or should have been performed by or on behalf of the Contractor; products and completed operations of the Contractor; automobiles owned, leased, hired or borrowed by the Contractor. The coverage shall contain no special limitations on the scope of protection afforded to the PHA, its Board of Commissioners, officers, employees or volunteers.
    - 2) The Contractor's insurance coverage shall be primary insurance as respects the PHA, its Board of Commissioners, officers, employees and volunteers. Any insurance or self-insurance maintained by PHA, its Board of Commissioners, officers, employees, or volunteers shall be excess of the Contractor's insurance and shall not contribute with it.
    - 3) Any failure to comply with reporting provisions of the policies shall not affect coverage provided to the PHA, its Board of Commissioners, officers, employees or volunteers.
    - 4) The Contractor's insurance shall apply separately to each insured against whom claim is made or suit brought, except with respect to the limits of the insurer's liability.

- 5) In each instance, coverage should be provided on an “occurrence” basis, as opposed to a “claims-made” basis. Claims-made coverage will only be accepted in the event that it is verified that occurrence coverage is not available.

Also included in the Commercial General Liability coverage supplied by the Contractor will be Explosion Collapse and Underground Hazard Liability, if applicable.

- ii. **Workers’ Compensation and Employer’s Liability Coverage:** The Contractor agrees to obtain a waiver from the insurer waiving all rights of subrogation against the PHA, its Board of Commissioners, officers, employees and volunteers for losses arising from work performed by, for, or in behalf of the Contractor for the PHA.
  - iii. **All Coverages:** Each insurance policy required by this clause shall be endorsed to state that coverage shall not be suspended, voided, canceled by either party reduced in coverage or in limits except after thirty (30) days prior written notice by certified mail, return receipt requested, has been given to the PHA Risk Management Department.
  - iv. **Professional Liability Insurance:** If the entity responding to this Request for Proposal will provide architectural, engineering, consulting, construction management, counseling, medical, legal, or professional services, the Contractor shall maintain Professional Liability Insurance.. The minimum limit of liability will be \$1,000,000.00 per claim, \$2,000,000.00 annual aggregate on an occurrence basis. If suitable coverage cannot be obtained on an occurrence basis, then the Contractor may purchase suitable coverage on a claims-made basis with the retroactive date being on or before the execution date of the Contract. Should such insurance be cancelled, or not renewed, the Contractor agrees to purchase extended reporting coverage which extends the discovery period for at least five (5) years from the date of cancellation. The Contractor also agrees to continue the above coverage for a period of at least five (5) years from the date of completion of the Contract. This coverage shall not have a deductible maximum greater than \$10,000.00 per loss. This type of insurance is required for certain types of purchases as defined in PHA Special Terms and Conditions.
- f. **Deductibles and Self-Insured Retention:** Self-insured retentions must be declared to and approved by the PHA. At the option of the PHA, either: The insurer shall reduce or eliminate such deductibles or self-insured retentions as respects the PHA, its Board of Commissioners, officers, employees and volunteers. **Verification of Coverage:** Contractor shall furnish the PHA with certificates of insurance and with original endorsements affecting coverage required by this clause. The certificate shall include the Contract number and the Development name. These certificates and endorsements for each insurance policy are to be signed by a person authorized by that insurer to bind coverage on its behalf. All certificates and endorsements are to be received and approved by the PHA before work commences. Upon renewal of coverages, Contractor must provide new insurance certificates meeting the insurance coverages as indicated above. The PHA reserves the right to require complete, certified copies of all required insurance policies, at any time.

- g. Subcontractors: Coverage provided under the applicable Contractor's policies will include coverage for those liabilities incurred through the actions, omissions and activities of all subcontractors. Contractor will cause any subcontractors to carry insurance coverage identical to that of the Contractor as regards perils insured against, scope of coverage, and limits of liability such as for Workers Compensation and Liability Insurance for asbestos and other hazardous types of purchases. When applicable and upon request, certificates of subcontractor's insurance shall be provided to PHA.
- h. Binders: Binders are not acceptable as adequate insurance coverage.

**21. Compliance with Law**

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The Contractor shall comply with all applicable federal and state laws and regulations and local ordinances in performing its obligations under the Contract.

**22. Nondiscrimination/Sexual Harassment**

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- a. In the hiring of any employees for the manufacture of supplies, performance of work, or any other activity required under the Contract or any subcontract, the Contractor, subcontractor or any person acting on behalf of the Contractor or subcontractor shall not by reason of gender, race, creed, or color discriminate against any person who is qualified and available to perform the work to which the employment relates.
- b. Neither the Contractor nor any subcontractor nor any person on their behalf shall in any manner discriminate against or intimidate any employee involved in the manufacture of supplies, the performance of work or any other activity required under the Contract on account of gender, race, creed, or color.
- c. The Contractor and any subcontractors shall establish and maintain a written sexual harassment policy and shall inform their employees of the policy. The policy must contain a notice that sexual harassment will not be tolerated and employees who practice it will be disciplined.
- d. The Contractor shall not discriminate by reason of gender, race, creed, or color against any subcontractor or supplier who is qualified to perform the work to which the Contract relates.
- e. The Contractor and each subcontractor shall furnish all necessary employment documents and records to and permit access to its books, records, and accounts by the Contracting Officer for purposes of investigation to ascertain compliance with this clause.
- f. The Contractor shall include the provisions of this Nondiscrimination/Sexual Harassment clause in every subcontract so that such provisions will be binding upon each subcontractor.
- g. PHA may cancel or terminate the Contract, and all money due or to become due under the Contract may be forfeited for a violation of the terms and conditions of this clause. In addition, PHA may proceed with debarment or suspension of the Contractor.

## **23. Americans with Disabilities Act**

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Contractor shall comply with federal regulations promulgated under the authority of The Americans with Disabilities Act, 28 C. F. R. § 35.101 et seq. The Contractor understands and agrees that no individual with a disability shall, on the basis of the disability, be excluded from participation in this Contract or from activities provided for under this Contract. As a condition of accepting and executing this Contract, the Contractor agrees to comply with the "General Prohibitions Against Discrimination," 28 C. F. R. § 35.130, and all other regulations promulgated under Title II of The Americans With Disabilities Act which are applicable to the benefits, services, programs, and activities provided by PHA through contracts with outside contractors.

## **24. Commonwealth of Pennsylvania Steel Products Procurement Act**

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- a. This project is subject to the provisions of the Steel Products Procurement Act of 1978 (P.L. 6, No. 3) as amended by the Act of July 9, 1984 (P.L. 674, No. 144). All contractors, subcontractors, and material suppliers shall be required to comply with all provisions of this Act.
- b. The Contractor shall be required to provide with each Application-Certificate of Payment form an executed copy of the Certification of Compliance with the Steel Products Procurement Act form and additional documentation, including but not limited to, invoices, bills of lading, mill certifications, or other acceptable evidence that the steel products represented on the payment application comply with one or more of the following categories:
  - i. That the steel utilized on this project was melted and manufactured in the United States; and/or
  - ii. The product contains both foreign and United States steel, and at least seventy-five percent (75%) of the cost of all of the articles, materials, and supplies incorporated in the product have been mined, produced, or manufactured, as the case may be, in the United States; and/or
  - iii. The steel product is not produced in the United States in sufficient quantities to meet the requirements of the Contract, and prior written approval to use foreign steel has been obtained from The Pennsylvania State University.
- c. Any nonconforming steel products incorporated into the work shall be removed and replaced by the Contractor, at its own expense, with products meeting the requirements of the Act.
- d. Willful violation of this Act can result in penalties, including (but not necessarily limited to) prohibition from submitting any bids, or performing any work, or supplying any materials to a public agency for a period five (5) years from the date of the determination that a violation has occurred.

## **25. Applicable Law**

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The Contract shall be governed by and interpreted and enforced in accordance with the laws of the Commonwealth of Pennsylvania (without regard to any conflict of laws provisions) and the decisions of the Pennsylvania courts. The Contractor consents to the jurisdiction of any court of the Commonwealth of Pennsylvania and any federal courts in Pennsylvania,

waiving any claim or defense that such forum is not convenient or proper. The Contractor agrees that any such court shall have in personam jurisdiction over it, and consents to service of process in any manner authorized by Pennsylvania law.

**26. Provisions Required or Prohibited by Law**

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Each and every provision of law and clause required by law to be inserted in this Contract shall be deemed to be inserted herein, and this Contract shall be read and enforced as though such provisions were included herein. Any clause in this Contract prohibited by law shall be deemed to be deleted from this Contract, and this Contract shall be read and enforced as though such provision were not included herein.

**27. Related Entities**

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PHA reserves the right to procure supplies or services on behalf of its affiliated entities and subsidiaries including but not limited to several limited partnerships ("Related Entities"). Each Related Entity shall have the right to procure such supplies or services directly from Contractor pursuant to this Contract. PHA will generally advise the Contractor that the contract or task/delivery order is being issued on behalf of a Related Entity and provide any special instructions. However, failure of PHA to do so does not negate the Contractor's obligation to provide the supply or service ordered.

**28. Order of Precedence**

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Conflicts in the contract documents shall be resolved in accordance with the following order of precedence:

1. Addendum Number \_\_\_\_\_ dated \_\_\_\_\_, 20\_\_\_\_.
2. Addendum Number \_\_\_\_\_ dated \_\_\_\_\_, 20\_\_\_\_.
3. Services Contract;
4. HUD Standard Terms & Conditions
5. Statement of Work
6. PHA Special Terms & Conditions
7. PHA Standard Terms & Conditions
8. Solicitation Number \_\_\_\_\_, \_\_\_\_\_ dated \_\_\_\_\_, 20\_\_\_\_, and entitled \_\_\_\_\_.
9. Contractor's proposal and Best and Final Offer (if requested) as accepted by the PHA.
10. Affirmative Action requirements
11. Instructions to Proposers
12. Representations, Certifications, and other statements to Proposers

**29. Certifications and Representations**

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In the event that Contractor's certifications and representations set forth in Section I shall at any time cease to be true and correct in all material respects, Contractor shall promptly notify PHA of same, setting forth the particulars and identifying the steps, if any, being taken by Contractor to render such representation or certification to be true and correct in all material respects.

### 30. Taxes

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- a. Contractor agrees to disclose to PHA all taxes paid pursuant to 72 Pennsylvania Statutes (“P.S.”) § 7202 (“Sales Tax”) paid by the Contractor in connection with the Contract, including in the Contractor’s bid an itemization of Sales Tax expected to be paid in connection with this Contract.
- b. Contractor agrees to cooperate fully with PHA in determining which items Contractor purchases pursuant to this Contract are those on which Contractor will pay Sales Tax.
- c. Contractor will also cooperate fully with PHA in seeking guidance from the Pennsylvania Department of Revenue (“Department of Revenue”) in determining which items are subject to Sales Tax.
- d. With respect to any item on which Contractor expects to pay Sales Tax, Contractor agrees to allow PHA the option of purchasing such item directly and to reduce the cost charged to PHA by the amount of Sales Tax Contractor would have paid had Contractor purchased such item.
- e. Contractor assigns to PHA all of its right, title and interest in and to any and all refund of Sales Tax Contractor will pay in connection with this Contract and agrees to cooperate fully with PHA in assisting PHA to obtain a refund of any and all Sales Tax Contractor paid in connection with this Contract, including but not limited to:
  - i. filing a petition for refund with the Department of Revenue at the request of PHA;
  - ii. providing PHA with any receipts or other documentation reasonably requested by PHA in connection with PHA pursuing such refund; and
  - iii. testifying at a hearing in connection with the pursuit of such refund.
- f. In the event PHA exercises its right under Section e to require Contractor to file a petition for refund of Sales Tax paid, PHA will, at its sole discretion:
  - i. determine the manner in which to pursue, and whether to continue pursuing, such refund; and
  - ii. select the representative to pursue such refund.

Further, PHA agrees to pay all fees and costs associated with pursuing such refund, but Contractor agrees that its payment under this Contract constitute full and complete consideration for any assistance Contractor may provide to PHA in pursuing such refund on PHA’s behalf. Not later than five days after receipt thereof, Contractor agrees to pay to PHA any amount of Sales Tax refund received by Contractor in connection with a refund of Sales Tax paid in connection with this Contract.

- g. Contractor agrees to purchase, but not pay Sales Tax on, every item that qualifies as ‘building machinery and equipment’ (as defined in 72 P.S. § 7201(pp)) by providing Contractor’s vendor with a properly completed exemption certificate (REV-1220) within sixty days of the purchase of each such item. Contractor further agrees that it shall include on line 7 of such exemption certificate the following statement: Property or services qualify as ‘building machinery and equipment’ and will be transferred pursuant to a construction contract to a tax-exempt organization. Further, if any purchase of items by Contractor includes both Sales Tax exempt ‘building machinery and equipment’ and

otherwise taxable property, Contractor agrees to maintain records sufficient to permit the Department of Revenue to ascertain whether the items purchased were in fact 'building machinery and equipment.'

- h. Contractor agrees to be solely responsible for any Sales Tax assessed on any item Contractor purchased pursuant to this Contract and further agrees to indemnify PHA for any Sales Tax PHA is subsequently assessed by the Department of Revenue with respect to any item Contractor purchased in connection with this Contract and on which Contractor did not pay Sales Tax.

### **31. Public Disclosure**

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After the award of a contract pursuant to this RFP, all proposal submissions are subject to disclosure in response to a request for public records made under the Pennsylvania Right-to-Know-Law, 65 P.S. § 67.101, *et seq.* If a proposal submission contains confidential proprietary information or trade secrets, a signed written statement to this effect must be provided with the submission in accordance with 65 P.S. § 67.707(b) for the information to be considered exempt under 65 P.S. § 67.708(b)(11) from public records requests.

#### **1. Minimum Wages**

- (a) All maintenance laborers and mechanics employed under this Contract in the operation of the project(s) shall be paid unconditionally and not less often than semi-monthly, and without subsequent deduction (except as otherwise provided by law or regulations), the full amount of wages due at time of payment computed at rates not less than those contained in the wage determination of the Secretary of Housing and Urban Development which is attached hereto and made a part hereof. Such laborers and mechanics shall be paid the appropriate wage rate on the wage determination for the classification of work actually performed, without regard to skill. Laborers or mechanics performing work in more than one classification may be compensated at the rate specified for each classification for the time actually worked therein; provided, that the employer's payroll records accurately set forth the time spent in each classification in which work is performed. The wage determination, including any additional classifications and wage rates approved by HUD under subparagraph 1(b), shall be posted at all times by the Contractor and its subcontractors at the site of the work in a prominent and accessible place where it can be easily seen by the workers.
- (b) (i) Any class of laborers or mechanics which is not listed in the wage determination and which is to be employed under the Contract shall be classified in conformance with the wage determination. HUD shall approve an additional classification and wage rate only when the following criteria have been met:

- (1) The work to be performed by the classification required is not performed by a classification in the wage determination;
- (2) The classification is utilized in the area by the industry; and
- (3) The proposed wage rate bears a reasonable relationship to the wage rates contained in the wage determination.

(ii) The wage rate determined pursuant to this paragraph shall be paid to all workers performing work in the classification under this contract from the first day on which work is performed in the classification.

### **33. Withholding of funds**

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The Contracting Officer, upon his/her own action or upon request of HUD, shall withhold or cause to be withheld from the Contractor under this Contract or any other contract subject to HUD-determined wage rates, with the same prime Contractor, so much of the accrued payments or advances as may be considered necessary to pay laborers and mechanics employed by the Contractor or any subcontractor the full amount of wages required by this clause. In the event of failure to pay any laborer or mechanic employed under this Contract all or part of the wages required under this Contract, the Contracting Officer or HUD may, after written notice to the Contractor, take such action as may be necessary to cause the suspension of any further payment or advance until such violations have ceased. PHA or HUD may, after written notice to the Contractor, disburse such amounts withheld for and on account of the Contractor or subcontractor to the respective employees to whom they are due.

### **34. Records**

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- (a) The Contractor and each subcontractor shall make and maintain for three (3) years from the completion of the work records containing the following for each laborer and mechanic:
  - 1) Name, address and Social Security Number;
  - 2) Correct work classification or classifications;
  - 3) Hourly rate or rates of monetary wages paid;
  - 4) Rate or rates of any fringe benefits provided;
  - 5) Number of daily and weekly hours worked;
  - 6) Gross wages earned;
  - 7) Any deductions made; and
  - 8) Actual wages paid.

- (b) The Contractor and each subcontractor shall make the records required under paragraph 3(a) available for inspection, copying, or transcription by authorized representatives of HUD or PHA and shall permit such representatives to interview employees during working hours on the job. If the Contractor or any subcontractor fails to make the required records available, HUD or its designee may, after written notice to the Contractor, take such action as may be necessary to cause the suspension of any further payment, advance or guarantee of funds.

### **35. Apprentices and Trainees**

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- (a) Apprentices and trainees will be permitted to work at less than the predetermined rate for the work they perform when they are employed pursuant to and individually registered in:
- 1) A bona fide apprenticeship program registered with the U.S. Department of Labor, Employment and Training Administration (ETA), Office of Apprenticeship Training, Employer and Labor Services (OATELS), or with a state apprenticeship agency recognized by OATELS, or if a person is employed in his/her first 90 days of probationary employment as an apprentice in such an apprenticeship program, who is not individually registered in the program, but who has been certified by OATELS or a state apprenticeship agency (where appropriate) to be eligible for probationary employment as an apprentice;
  - 2) A trainee program which has received prior approval, evidenced by formal certification by the U.S. Department of Labor, ETA; or

A training/trainee program that has received prior approval by HUD.

(b) Each apprentice or trainee must be paid at not less than the rate specified in the registered or approved program for the apprentice's/trainee's level of progress, expressed as a percentage of the journeyman hourly rate specified in the applicable wage determination. Apprentices and trainees shall be paid fringe benefits in accordance with the provisions of the registered or approved program. If the program does not specify fringe benefits, apprentices/trainees must be paid the full amount of fringe benefits listed on the wage determination for the applicable classification.

(c) The allowable ratio of apprentices or trainees to journeyman on the job site in any craft classification shall not be greater than the ratio permitted to the employer as to the entire work force under the approved program.

(d) Any worker employed at an apprentice or trainee wage rate who is not registered in an approved program, and any apprentice or trainee performing work on the job site in excess of the ratio permitted under the approved program, shall be paid not less than the applicable wage rate on the wage determination for the classification of work actually performed.

(e) In the event OATELS, a state apprenticeship agency recognized by OATELS or ETA, or HUD, withdraws approval of an apprenticeship or trainee program, the employer will no longer be permitted to utilize apprentices/trainees at less than the applicable predetermined rate for the work performed until an acceptable program is approved.

### **36. Disputes concerning labor standards**

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(a) Disputes arising out of the labor standards provisions contained in this Section, other than those in Paragraph 6, shall be subject to the following procedures. Disputes within the meaning of this paragraph include disputes between the Contractor (or any of its subcontractors) and PHA, or HUD, or the employees or their representatives, concerning payment of prevailing wage rates or proper classification. The procedures in this section may be initiated upon HUD's own motion, upon referral of PHA, or upon request of the Contractor or subcontractor(s).

- 1) A Contractor and/or subcontractor or other interested party desiring reconsideration of findings of violation by PHA or HUD relating to the payment of straight-time prevailing wages or classification of work shall request such reconsideration by letter postmarked within 30 calendar days of the date of notice of findings issued by PHA or HUD. The request shall set forth those findings that are in dispute and the reasons, including any affirmative defenses, with respect to the violations. The request shall be directed to PHA or HUD official in accordance with instructions contained in the notice of findings or, if the notice does not specify to whom a request should be made, to the Regional Labor Relations Officer (HUD).
- 2) PHA or HUD official shall, within 60 days (unless otherwise indicated in the notice of findings) after receipt of a timely request for reconsideration, issue a written decision on the findings of violation. The written decision on reconsideration shall contain instructions that any appeal of the decision shall be addressed to the Regional Labor Relations Officer by letter postmarked within 30 calendar days after the date of the decision. In the event that the Regional Labor Relations Officer was the deciding official on reconsideration, the appeal shall be directed to the Director, Office of Labor Relations (HUD). Any appeal must set forth the aspects of the decision that are in dispute and the reasons, including any affirmative defenses, with respect to the violations.
- 3) The Regional Labor Relations Officer shall, within 60 days (unless otherwise indicated in the decision on reconsideration) after receipt of a timely appeal, issue a written decision on the findings. A decision of the Regional Labor Relations Officer may be appealed to the Director, Office of Labor Relations, by letter postmarked within 30 days of the Regional Labor Relations Officer's decision. Any appeal to the Director must set forth the aspects of the prior decision(s) that are in dispute and the reasons. The decision of the Director, Office of Labor Relations, shall be final.

(b) Disputes arising out of the labor standards provisions of paragraph 6 shall not be subject to paragraph 5(a) of this clause. Such disputes shall be resolved in accordance with the procedures of the U.S. Department of Labor set forth in 29 CFR Parts 5, 6 and 7. Disputes within the meaning of this paragraph 5(b) include disputes between the Contractor (or any of its subcontractors) and PHA, HUD, the U.S. Department of Labor, or the employees or their representatives.

### **37. Contract Work Hours and Safety Standards Act**

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The provisions of this paragraph 6 are applicable only where the amount of the prime contract exceeds \$100,000. As used in this paragraph, the terms "laborers" and "mechanics" includes watchmen and guards.

- a. Overtime requirements. No Contractor or subcontractor contracting for any part of the Contract work which may require or involve the employment of laborers or mechanics shall require or permit any such laborer or mechanic in any workweek in which he or she is employed on such work to work in excess of 40 hours in such workweek unless such laborer or mechanic receives compensation at a rate not less than one and one-half times the basic rate of pay for all hours worked in excess of 40 hours in such workweek.
- b. Violation; liability for unpaid wages; liquidated damages. In the event of any violation of the provisions set forth in paragraph 6(a), the Contractor and any subcontractor responsible thereof shall be liable for the unpaid wages. In addition, such Contractor and subcontractor shall be liable to the United States (in the case of work done under contract for the District of Columbia or a territory, to the District or to such territory), for liquidated damages. Such liquidated damages shall be computed with respect to each individual laborer or mechanic, including watchmen and guards, employed in violation of the provisions set forth in paragraph (a) of this clause, in the sum of \$10 for each calendar day on which such individual was required or permitted to work in excess of the standard workweek of 40 hours without payment of the overtime wages required by provisions set forth in paragraph (a) of this clause.
- c. Withholding for unpaid wages and liquidated damages. HUD or its designee shall upon its own action or upon written request of an authorized representative of the U.S. Department of Labor withhold or cause to be withheld, from any moneys payable on account of work performed by the Contractor or subcontractor under any such Contract or any federal contract with the same prime Contractor, or any other federally-assisted contract subject to the Contract Work Hours and Safety Standards Act, which is held by the same prime Contractor such sums as may be determined to be necessary to satisfy any liabilities of such Contractor or subcontractor for unpaid wages and liquidated damages as provided in the provisions set forth in paragraph (b) of this clause.

### **38. Subcontracts**

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The Contractor or subcontractor shall insert in any subcontracts all the provisions contained in this Section and also a clause requiring the subcontractors to include these provisions in any lower tier subcontracts. The prime Contractor shall be responsible for the compliance by any subcontractor or lower tier subcontractor with all the provisions contained in these clauses.

### **39. Non-Federal Prevailing Wage Rates**

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Any prevailing wage rate (including basic hourly rate and any fringe benefits), determined under state law to be prevailing, with respect to any employee in any trade or position employed under the Contract, is inapplicable to the contract and shall not be enforced against the Contractor or any subcontractor, with respect to employees engaged under the contract whenever such non-Federal prevailing wage rate, exclusive of any fringe benefits, exceeds the applicable wage rate determined by the Secretary of HUD to be prevailing in the locality with respect to such trade or position.

### **40. Wage Determination**

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For maintenance related tasks and activities, the most current HUD (U.S. Department of Housing and Urban Development) Wage rates will apply, and Contractors may pay maintenance laborers and mechanics no less than the wage rate(s) indicated for the type of work they actually perform. The most current wage rate schedule immediately follows:



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## SECTION III. PHA SPECIAL TERMS & CONDITIONS

### CHEMICAL WATER TREATMENT SERVICES at VARIOUS PHA LOCATIONS SOLICITATION NUMBER P-004372-R

#### 1. **Term of the Contract**

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The term of the Contract shall consist of a two (2) year base period with three (3) one -year option periods to extend services. This term includes the performance period of all task orders or purchases released under the contract. Contract options may be exercised early if Contract funding is utilized before the Contract performance period expires; provided that PHA shall be under no obligation to do so, and the Contract rates will not increase until the annual period for which they were proposed has elapsed.

#### 2. **Cost Proposals**

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Offerors [] are [] are not required to propose prices for all line items in the Schedule.

*The following selected clauses are applicable to the Contract:*

#### 3. [] **Proposal Security**

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- a. Failure to furnish proposal security in the proper form and amount, by the time set for opening of bids, may be cause for rejection of the proposal.
- b. The Offeror shall furnish a proposal guarantee in the form of a firm commitment, e.g., proposal bond supported by good and sufficient surety or sureties acceptable to PHA, postal money order, certified check, cashier's check, irrevocable letter of credit, or, under Treasury Department regulations, certain bonds or notes of the United States. PHA will return proposal guarantees, other than proposal bonds, (1) to unsuccessful Offerors as soon as practicable after the opening of proposals, and (2) to the successful Offeror upon execution of contractual documents and bonds (including any necessary coinsurance or reinsurance agreements), as required by the proposal as accepted.
- c. The amount of the proposal guarantee shall be 5 percent of the proposal price.
- d. If the successful Offeror, upon acceptance of its proposal by PHA within the period specified for acceptance, fails to execute all contractual documents or furnish executed bond(s) within 10 days after receipt of the forms by the Offeror, the Contracting Officer may terminate the Contract for default.

- e. In the event the Contract is terminated for default, the Offeror is liable for any cost of acquiring the work that exceeds the amount of its proposal, and the proposal guarantee is available to offset the difference.

**4.  Multiple Awards**

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PHA reserves the right to make multiple awards under this solicitation. Although the scope of services will remain the same for each contract, the dollar amount of each contract may vary.

**5.  Fixed Fee**

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- a. If a cost plus fixed fee type of contract is used, PHA shall pay the Contractor for performing this Contract the fixed fee specified in the Schedule.
- b. Payment of the fixed fee shall be made as specified in the Schedule; provided that after payment of 85 percent of the fixed fee, the Contracting Officer may withhold further payment of fee until a reserve is set aside in an amount that the Contracting Officer considers necessary to protect PHA's interest. This reserve shall not exceed 15 percent of the total fixed fee or \$100,000, whichever is less.

**6.  Indefinite Quantity (Special Services)**

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- a. This is an indefinite-quantity contract with FIRM FIXED UNIT PRICING for the supplies or services specified and effective for the period stated, in the Schedule. The quantities of supplies and services specified in the Schedule are estimates only and are not purchased by this Contract.
- b. Delivery or performance shall be made only as authorized by orders issued in accordance with the Ordering clause. The Contractor shall furnish to PHA, when and if ordered, the supplies or services specified in the Schedule up to and including the quantity designated in the Schedule as the "maximum." PHA shall order at least the quantity of supplies or services designated in the Schedule as the "minimum."
- c. Except for any limitations on quantities in the Order Limitations clause or in the Schedule, there is no limit on the number of orders that may be issued. PHA may issue orders requiring delivery to multiple destinations or performance at multiple locations.
- d. Any order issued during the effective period of this Contract and not completed within that period shall be completed by the Contractor within the time specified in the order. The Contract shall govern the Contractor's and PHA's rights and obligations with respect to that order to the same extent as if the order were completed during the Contract's effective period.

**7.  Definite Quantity**

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- a. This is a definite-quantity, indefinite-delivery contract with FIRM FIXED UNIT PRICING for the supplies or services specified, and effective for the period stated, in the Schedule.
- b. PHA shall order the quantity of supplies or services specified in the Schedule, and the Contractor shall furnish them when ordered. Delivery or performance shall be at locations designated in orders issued in accordance with the Ordering clause and the Schedule.

- c. Except for any limitations on quantities in the Order Limitations clause or in the Schedule, there is no limit on the number of orders that may be issued. PHA may issue orders requiring delivery to multiple destinations or performance at multiple locations.
- d. Any order issued during the effective period of this Contract and not completed within that time shall be completed by the Contractor within the time specified in the order. The Contract shall govern the Contractor's and PHA's rights and obligations with respect to that order to the same extent as if the order were completed during the Contract's effective period.

**8. [ ] Requirements**

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- a. This is a requirements contract for the supplies or services specified and effective for the period stated, in the Schedule. The quantities of supplies or services specified in the Schedule are estimates only and are not purchased by this Contract. Except as this Contract may otherwise provide, if PHA's requirements do not result in orders in the quantities described as "estimated" or "maximum" in the Schedule, that fact shall not constitute the basis for an equitable price adjustment.
- b. Delivery or performance shall be made only as authorized by orders issued in accordance with the Ordering clause. Subject to any limitations in the Order Limitations clause or elsewhere in this Contract, the Contractor shall furnish to PHA all supplies or services specified in the Schedule and called for by orders issued in accordance with the Ordering clause. PHA may issue orders requiring delivery to multiple destinations or performance at multiple locations.
- c. Except as this Contract otherwise provides, PHA shall order from the Contractor all the supplies or services specified in the Schedule that are required to be purchased by PHA activity or activities specified in the Schedule.
- d. PHA is not required to purchase from the Contractor requirements in excess of any limit on total orders under this Contract.
- e. If PHA urgently requires delivery of any quantity of an item before the earliest date that delivery may be specified under this Contract, and if the Contractor will not accept an order providing for the accelerated delivery, PHA may acquire the urgently required goods or services from another source.
- f. Any order issued during the effective period of this Contract and not completed within that period shall be completed by the Contractor within the time specified in the order. The Contract shall govern the Contractor's and PHA's rights and obligations with respect to that order to the same extent as if the order were completed during the Contract's effective period.

**9. [ ] Ordering**

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- a. Any supplies and services to be furnished under this Contract shall be ordered by issuance of delivery orders or task orders by the individuals or activities designated in the Schedule during the term of the Contract. Such orders may be issued from the date of award through the remaining time and or available funds, in accordance with this Contract. The ordering activity for this Contract/task order is PHA's Procurement and or Contract Administration department.

- b. All delivery orders or task orders are subject to the terms and conditions of this Contract. In the event of conflict between a delivery order or task order and this Contract, the Contract shall control.
- c. If mailed, a delivery order or task order is considered "issued" when PHA deposits the order in the mail. Orders may be issued orally, by facsimile, or by electronic methods.
- d. Contractor must resolve any discrepancies appearing on PHA's task/delivery order prior to delivery. Contractor must resolve issues regarding quantities, services, descriptions, items, etc. Failure to comply and resolve discrepancies shall remain the Contractor's sole responsibility.

**10. [ ] Order Limitations**

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- a. **Minimum order.** When PHA requires supplies or services covered by this Contract in an amount of less than \_\_\_\_\_ [insert dollar figure or quantity], the PHA is not obligated to purchase, nor is the Contractor obligated to furnish, those supplies or services under the Contract.
- b. **Maximum order.** The Contractor is not obligated to honor-
  - i. Any order for a single item in excess of 10% of the total Contract value for the Contract period;
  - ii. Any order for a combination of items in excess of 100% of the total Contract value for the Contract period; or
  - iii. A series of orders from the same ordering office within seven (7) days that together call for quantities exceeding the limitation in paragraph (b)(1) or (2) of this section.
- c. Notwithstanding paragraphs (b) of this section, the Contractor shall honor any order exceeding the maximum order limitations in paragraph (b), unless that order (or orders) is returned to the ordering office within five (5) days after issuance, with written notice stating the Contractor's intent not to ship the item (or items) called for and the reasons.

**11. [ ] Prequalification**

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- a. Contract award may only be made to pre-qualified offerors. Although not a condition to submitting an offer, it is strongly advised that a pre-qualification application be obtained, completed, and returned to PHA's Pre-Qualification Division prior to the submission of a proposal. Applications may be obtained from the Pre-Qualification Division, 3100 Penrose Ferry Road, Philadelphia, PA 19145; Tel: 215-684-8562.
- b. Failure to complete the application within the required time limits may cause the offeror to be deemed non-responsive and ineligible for contract award. The following time limit applies to this solicitation:
  - [ ] Offerors will be given ten (10) working days after notification by the Pre-Qualification Division to supply the information necessary to complete the Pre-Qualification application.
  - [ ] Offerors will be given two (2) working days after notification by the Pre-Qualification Division to supply the information necessary to complete the Pre-Qualification application.

12.  **Liquidated Damages**

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- a. If the Contractor fails to complete the work within the time specified in the Contract, or any extension, the contractor shall pay to the PHA as liquidated damages, the sum of \$\_\_\_\_\_ for each day of delay. To the extent that the Contractor's delay or nonperformance is excused under another clause of this Contract, liquidated damages shall not be due to PHA. The Contractor remains liable for damages caused other than by delay.
- b. If the PHA terminates the Contractor's right to proceed, the resulting damage will consist of liquidated damages until such reasonable time as may be required for final completion of the work together with any increased costs incurred by PHA to complete the work.

13.  **Warranty**

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The equipment provided under this Contract shall have a warranty of 3 (three) (months) from the date of final acceptance of all deliveries or work under this Contract.

14.  **Insurance**

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The following types of insurance are required in addition to the workers compensation and auto liability insurance included in Section 20 of PHA Standard Terms and Conditions.

**G. EVALUATION CRITERIA**  
**Chemical Water Treatment Services at Various PHA Locations**  
**P-004372-R**

All proposals received by the specified date shall be subject to evaluation by a review committee. The following criteria will be used to rank offerors. PHA reserves the right to hold discussions with and request Best and Final Offers from the highest rated offerors determined by PHA to be within the competitive range. Award will be made to the offeror whose price and technical factors are most advantageous to PHA.

<u>NO.</u>	<u>ITEM DESCRIPTION</u>	<u>POINTS</u>
1	<u>Previous Experience</u> Evidence of proven ability to complete specified work/tasks as required	30
2	<u>Past Performance</u> Demonstrated successful past performance of contract work substantially similar to that required by the solicitation as <u>verified</u> by reference checks or other means	30
3	<u>Evidence of Understanding Services Required</u> Refers to proposer's understanding of needs of PHA, the nature and scope of services involved as demonstrated by the completeness/conciseness of proposers' response.	20
4	<u>Technical capabilities</u> (In terms of personnel, Equipment, and materials) and management plan (including staffing of key positions, method of assigning work, and procedures for maintaining level of service, etc.)	10
5	<u>MBE / WBE / Section 3 Participation</u> Evidence of minimum participation goals	10
<b>TOTAL</b>		<b>100</b>

**CHEMICAL WATER TREATMENT SERVICES at VARIOUS PHA LOCATIONS SOLICITATION  
NUMBER P-004372-R**

I, we \_\_\_\_\_ agree to perform the services requested in accordance with the attached Statement of Work for the following:

<u>Cost for Base Period (Year 1)</u> .....	(\$ _____ )
<u>Cost for Base Period (Year 2)</u> .....	(\$ _____ )
<u>1<sup>st</sup> Option Period (Year 3)</u> .....	(\$ _____ )
<u>2<sup>nd</sup> Option Period (Year 4)</u> .....	(\$ _____ )
<u>3<sup>rd</sup> Option Period (Year 5)</u> .....	(\$ _____ )
 <u>TOTAL</u> .....	 (\$ _____ )

**CHEMICAL WATER TREATMENT SERVICES at VARIOUS PHA LOCATIONS SOLICITATION NUMBER P-004372-R**  
**Base Period (year 1)**

Locations	Type of Heating & Cooling System	Manufacturer	Year	Operation	System/ Loops Qty	# Month Service	UnitPrice	Subtotal
Blumberg Apartments 2311 W Jefferson St	2 x Fire Tube Steam Heating Boilers (1-System)	Superior	1996	Oct-April	1	9	\$ -	\$ -
	and 3 x Closed Hot Water Loops (3-Systems)	Superior	1996	Oct-April	3	9	\$ -	\$ -
Emlen Arms 6733 Emlen St	2 x Cast Iron (CI) Steam Heating Boilers (1-System)	Weil-McLain	2007	Oct - April	1	9	\$ -	\$ -
	and 2 x Copper Hot Water Boilers(1-System)	Weil-McLain	2007	Oct - April	1	9	\$ -	\$ -
Fairhill Apartments 2443 N 11th St	3 x Fire Tube Steam Heating Boilers(1-System)	Clever Brooks	1986	Oct - April	1	9	\$ -	\$ -
	and 2 x Closed Hot Water Loops(2-Systems)	Clever Brooks	1986	Oct - April	2	9	\$ -	\$ -
Harrison 1350 N 10 <sup>th</sup> St	2 x CI Hot Water Heating Boilers(1-System)	Weil-McLain	2010	Oct- April	1	9	\$ -	\$ -
Abbottsford Homes 3212 McMichael St	6 x CI Hot Water Heating Boilers in 3 Penthouses (3- Systems)	Crown	Various	Oct - April	3	9	\$ -	\$ -
	and 3 Aluminum Boilers in Comm. Ctr. (1- System)	Crown	Various	Oct - April	1	9	\$ -	\$ -
West Park Apts 4445 Holden St	3 x Fire Tube Steam Heating Boilers(1-System)	Rock Mills	2001	Oct - April	1	9	\$ -	\$ -
	6 x Closed Hot Water Loops(6- Systems)	Rock Mills	2001	Oct - April	6	9	\$ -	\$ -
Wilson Park 2502-04 Jackson St	3 x Fire Tube Steam Heating Boilers(1-System)	Rock Mills	2003	Oct - April	1	9	\$ -	\$ -
	2x Air Cooled Chillers (1-system) in ISM building	Carrier		Year Round	1	12	\$ -	\$ -
Hill Creek* 528 Adams Ave	51 x Aluminum Hot Water Heating Boilers In 19 Boiler Rooms(19 - Systems)	Weil-McLain	2011	Year Round	19	12	\$ -	\$ -
James W. Johnson* 2500 W Norris St	18 x CI Hot Water Heating Boilers in	Weil-McLain	2012	Oct - April	9	9	\$ -	\$ -
	9 Boiler Rooms (9- Systems)							
Spring Garden Apts* 715 Brandywine St	10 x CI Hot Water Heating Boilers	Weil-McLain	2004	Year Round	5	12	\$ -	\$ -
	in 5 Boiler Rooms(5- Systems)							
Cassie L. Holly 2100 Dickinson St	4 x Aluminum Hot Water Heating Boilers(1-System)	Weil-McLain	2011	Oct - April	1	9	\$ -	\$ -
Katie B. Jackson 400 N 50th St	3 x Aluminum Hot Water Heating Boilers(1-System)	Weil-McLain	2011	Oct - April	1	9	\$ -	\$ -
Collegeview 2732 W Thompson St	3 x CI Gas Fired Hot Water Heating Boilers in 3 Boiler Rooms (3-Systems)	Weil-McLain	1985	Year Round	3	12	\$ -	\$ -
Holmcrest Homes 8133 Erdrick Pl	2 x CI Gas Fired Hot Water Heating Boilers (1-System)	Weil-McLain	2005	Oct - April	1	9	\$ -	\$ -
Bentley Hall 1710 Croskey St	3 x CI Hot Water Heating Boilers(1-System)	Weil-McLain	2000	Oct - April	1	9	\$ -	\$ -
GGFE Office 1800 Vare Ave	1x Air Cooled Chillers (1-system)	Trane	2006	May - Sept	1	7	\$ -	\$ -
<b>TOTAL</b>								\$ -

**PAPMC SITES**  
**LOCATIONS BELOW: BID AS ALTERNATES.**

Locations	Type of Heating & Cooling System	Manufacturer	Year	Operation	System/ Loops Qty	# Month Service	UnitPrice	Subtotal
Mount Oliver Village 642 N41st St	10 x CI Hot Water Boilers In 5 Boiler Rooms(5- Systems)	Weil-McLain	2004	Oct - April	5	9	\$ -	\$ -
Suffolk Manor 1416-24 Clearview St	Dual temp system consisting of 4 x CI Gas Fired Hot Water Boilers & 1 x Air Cooled Chilled Water (1-System)	Precision boilers & York Chiller	2003	Year Round	1	12	\$ -	\$ -
Germantown House 5457 Wayne St	2 x Fire Tube Steam Heating Boilers(1-System) and one Hot Water Close Loop (1-System)	Bumham	2006	Oct - April	1	9	\$ -	\$ -
		Bumham	2006	Oct - April	1	9	\$ -	\$ -
<b>TOTAL</b>								\$ -

**NOTE: Where the above Table specifies Operation Time Oct-April, the service will be required Sept-May.**  
**NOTE: Water softner treatment at ALL steam boiler site price to be included in steam boiler treatment.**

**CHEMICAL WATER TREATMENT SERVICES at VARIOUS PHA LOCATIONS SOLICITATION NUMBER P-004372-R  
Base Period (Year 2)**

Locations	Type of Heating & Cooling System	Manufacturer	Year	Operation	System/ Loops Qty	# Month Service	UnitPrice	Subtotal
Blumberg Apartments 2311 W Jefferson St	2 x Fire Tube Steam Heating Boilers (1-System)	Superior	1996	Oct-April	1	9	\$ -	\$ -
	and 3 x Closed Hot Water Loops (3-Systems)	Superior	1996	Oct-April	3	9	\$ -	\$ -
Erlen Arms 6733 Erlen St	2 x Cast Iron (CI) Steam Heating Boilers (1-System)	Weil-McLain	2007	Oct - April	1	9	\$ -	\$ -
	and 2 x Copper Hot Water Boilers(1-System)	Weil-McLain	2007	Oct - April	1	9	\$ -	\$ -
Fairhill Apartments 2443 N 11th St	3 x Fire Tube Steam Heating Boilers(1-System)	Clever Brooks	1986	Oct - April	1	9	\$ -	\$ -
	and 2 x Closed Hot Water Loops(2-Systems)	Clever Brooks	1986	Oct - April	2	9	\$ -	\$ -
Harrison 1350 N 10 <sup>th</sup> St	2 x CI Hot Water Heating Boilers(1-System)	Weil-McLain	2010	Oct- April	1	9	\$ -	\$ -
Abbottsford Homes 3212 McMichael St	6 x CI Hot Water Heating Boilers in 3 Penthouses (3- Systems)	Crown	Various	Oct - April	3	9	\$ -	\$ -
	and 3 Aluminum Boilers in Comm. Ctr. (1- System)	Crown	Various	Oct - April	1	9	\$ -	\$ -
West Park Apts 4445 Holden St	3 x Fire Tube Steam Heating Boilers(1-System)	Rock Mills	2001	Oct - April	1	9	\$ -	\$ -
	6 x Closed Hot Water Loops(6- Systems)	Rock Mills	2001	Oct - April	6	9	\$ -	\$ -
Wilson Park 2502-04 Jackson St	3 x Fire Tube Steam Heating Boilers(1-System)	Rock Mills	2003	Oct - April	1	9	\$ -	\$ -
	2x Air Cooled Chillers (1-system) in ISM building	Carrier		Year Round	1	12	\$ -	\$ -
Hill Creek* 528 Adams Ave	51 x Aluminum Hot Water Heating Boilers In 19 Boiler Rooms(19 - Systems)	Weil-McLain	2011	Year Round	19	12	\$ -	\$ -
James W. Johnson* 2500 W Norris St	18 x CI Hot Water Heating Boilers in	Weil-McLain	2012	Oct - April	9	9	\$ -	\$ -
	9 Boiler Rooms (9- Systems)							
Spring Garden Apts* 715 Brandywine St	10 x CI Hot Water Heating Boilers	Weil-McLain	2004	Year Round	5	12	\$ -	\$ -
	in 5 Boiler Rooms(5- Systems)							
Cassie L. Holly 2100 Dickinson St	4 x Aluminum Hot Water Heating Boilers(1-System)	Weil-McLain	2011	Oct - April	1	9	\$ -	\$ -
Katie B. Jackson 400 N 50th St	3 x Aluminum Hot Water Heating Boilers(1-System)	Weil-McLain	2011	Oct - April	1	9	\$ -	\$ -
Collegeview 2732 W Thompson St	3 x CI Gas Fired Hot Water Heating Boilers in 3 Boiler Rooms (3-Systems)	Weil-McLain	1985	Year Round	3	12	\$ -	\$ -
Holmcrest Homes 8133 Erdrick Pl	2 x CI Gas Fired Hot Water Heating Boilers (1-System)	Weil-McLain	2005	Oct - April	1	9	\$ -	\$ -
Bentley Hall 1710 Croskey St	3 x CI Hot Water Heating Boilers(1-System)	Weil-McLain	2000	Oct - April	1	9	\$ -	\$ -
GGFE Office 1800 Vare Ave	1x Air Cooled Chillers (1-system)	Trane	2006	May -Sept	1	7	\$ -	\$ -
<b>TOTAL</b>								\$ -

**PAPMC SITES**

**LOCATIONS BELOW: BID AS ALTERNATES.**

Locations	Type of Heating & Cooling System	Manufacturer	Year	Operation	System/ Loops Qty	# Month Service	UnitPrice	Subtotal
Mount Olivet Village 642 N41st St	10 x CI Hot Water Boilers In 5 Boiler Rooms(5- Systems)	Weil-McLain	2004	Oct - April	5	9	\$ -	\$ -
Suffolk Manor 1416-24 Clearview St	Dual temp system consisting of 4 x CI Gas Fired Hot Water Boilers & 1 x Air Cooled Chilled Water (1-System)	Precision boilers & York Chiller	2003	Year Round	1	12	\$ -	\$ -
Germantown House 5457 Wayne St	2 x Fire Tube Steam Heating Boilers(1-System) and one Hot Water Close Loop (1-System)	Burnham	2006	Oct - April	1	9	\$ -	\$ -
		Burnham	2006	Oct - April	1	9	\$ -	\$ -
<b>TOTAL</b>								\$ -

**NOTE: Where the above Table specifies Operation Time Oct-April, the service will be required Sept-May.**

**NOTE: Water softner treatment at ALL steam boiler site price to be included in steam boiler treatment.**

**CHEMICAL WATER TREATMENT SERVICES at VARIOUS PHA LOCATIONS SOLICITATION NUMBER P-004372-R  
1<sup>st</sup> Option Period (Year 3)**

Locations	Type of Heating & Cooling System	Manufacturer	Year	Operation	System/ Loops Qty	# Month Service	UnitPrice	Subtotal
Blumberg Apartments 2311 W Jefferson St	2 x Fire Tube Steam Heating Boilers (1-System) and 3 x Closed Hot Water Loops (3-Systems)	Superior Superior	1996 1996	Oct-April Oct-April	1 3	9 9	\$ - \$ -	\$ - \$ -
Erlen Arms 6733 Erlen St	2 x Cast Iron (CI) Steam Heating Boilers (1-System) and 2 x Copper Hot Water Boilers(1-System)	Weil-McLain Weil-McLain	2007 2007	Oct - April Oct - April	1 1	9 9	\$ - \$ -	\$ - \$ -
Fairhill Apartments 2443 N 11th St	3 x Fire Tube Steam Heating Boilers(1-System) and 2 x Closed Hot Water Loops(2-Systems)	Clever Brooks Clever Brooks	1986 1986	Oct - April Oct - April	1 2	9 9	\$ - \$ -	\$ - \$ -
Harrison 1350 N 10 <sup>th</sup> St	2 x CI Hot Water Heating Boilers(1-System)	Weil-McLain	2010	Oct - April	1	9	\$ -	\$ -
Abbottsford Homes 3212 McMichael St	6 x CI Hot Water Heating Boilers in 3 Penthouses (3- Systems) and 3 Aluminum Boilers in Comm. Ctr. (1- System)	Crown Crown	Various Various	Oct - April Oct - April	3 1	9 9	\$ - \$ -	\$ - \$ -
West Park Apts 4445 Holden St	3 x Fire Tube Steam Heating Boilers(1-System) 6 x Closed Hot Water Loops(6- Systems)	Rock Mills Rock Mills	2001 2001	Oct - April Oct - April	1 6	9 9	\$ - \$ -	\$ - \$ -
Wilson Park 2502-04 Jackson St	3 x Fire Tube Steam Heating Boilers(1-System) 2x Air Cooled Chillers (1-system) in ISM building	Rock Mills Carrier	2003	Oct - April Year Round	1 1	9 12	\$ - \$ -	\$ - \$ -
Hill Creek* 528 Adams Ave	51 x Aluminum Hot Water Heating Boilers In 19 Boiler Rooms(19 - Systems)	Weil-McLain	2011	Year Round	19	12	\$ -	\$ -
James W. Johnson* 2500 W Norris St	18 x CI Hot Water Heating Boilers in 9 Boiler Rooms (9- Systems)	Weil-McLain	2012	Oct - April	9	9	\$ -	\$ -
Spring Garden Apts* 715 Brandywine St	10 x CI Hot Water Heating Boilers in 5 Boiler Rooms(5- Systems)	Weil-McLain	2004	Year Round	5	12	\$ -	\$ -
Cassie L. Holly 2100 Dickinson St	4 x Aluminum Hot Water Heating Boilers(1-System)	Weil-McLain	2011	Oct - April	1	9	\$ -	\$ -
Katie B. Jackson 400 N 50th St	3 x Aluminum Hot Water Heating Boilers(1-System)	Weil-McLain	2011	Oct - April	1	9	\$ -	\$ -
Collegeview 2732 W Thompson St	3 x CI Gas Fired Hot Water Heating Boilers in 3 Boiler Rooms (3-Systems)	Weil-McLain	1985	Year Round	3	12	\$ -	\$ -
Holmcrest Homes 8133 Erdrick Pl	2 x CI Gas Fired Hot Water Heating Boilers (1-System)	Weil-McLain	2005	Oct - April	1	9	\$ -	\$ -
Bentley Hall 1710 Croskey St	3 x CI Hot Water Heating Boilers(1-System)	Weil-McLain	2000	Oct - April	1	9	\$ -	\$ -
GGFE Office 1800 Vare Ave	1x Air Cooled Chillers (1-system)	Trane	2006	May - Sept	1	7	\$ -	\$ -
<b>TOTAL</b>								\$ -

**PAPMC SITES  
LOCATIONS BELOW: BID AS ALTERNATES.**

Locations	Type of Heating & Cooling System	Manufacturer	Year	Operation	System/ Loops Qty	# Month Service	UnitPrice	Subtotal
Mount Olivet Village 642 N41st St	10 x CI Hot Water Boilers In 5 Boiler Rooms(5- Systems)	Weil-McLain	2004	Oct - April	5	9	\$ -	\$ -
Suffolk Manor 1416-24 Clearview St	Dual temp system consisting of 4 x CI Gas Fired Hot Water Boilers & 1 x Air Cooled Chilled Water (1-System)	Precision boilers & York Chiller	2003	Year Round	1	12	\$ -	\$ -
Germantown House 5457 Wayne St	2 x Fire Tube Steam Heating Boilers(1-System) and one Hot Water Close Loop (1-System)	Burnham Burnham	2006 2006	Oct - April Oct - April	1 1	9 9	\$ - \$ -	\$ - \$ -
<b>TOTAL</b>								\$ -

**NOTE: Where the above Table specifies Operation Time Oct-April, the service will be required Sept-May.  
NOTE: Water softener treatment at ALL steam boiler site price to be included in steam boiler treatment.**

**CHEMICAL WATER TREATMENT SERVICES at VARIOUS PHA LOCATIONS SOLICITATION NUMBER P-004372-R  
2<sup>nd</sup> Option Period (Year 4)**

Locations	Type of Heating & Cooling System	Manufacturer	Year	Operation	System/ Loops/ Qty	# Month Service	UnitPrice	Subtotal
Blumberg Apartments 2311 W Jefferson St	2 x Fire Tube Steam Heating Boilers (1-System) and 3 x Closed Hot Water Loops (3-Systems)	Superior Superior	1996 1996	Oct-April Oct-April	1 3	9 9	\$ - \$ -	\$ - \$ -
Emlen Arms 6733 Emlen St	2 x Cast Iron (CI) Steam Heating Boilers (1-System) and 2 x Copper Hot Water Boilers(1-System)	Weil-McLain Weil-McLain	2007 2007	Oct - April Oct - April	1 1	9 9	\$ - \$ -	\$ - \$ -
Fairhill Apartments 2443 N 11th St	3 x Fire Tube Steam Heating Boilers(1-System) and 2 x Closed Hot Water Loops(2-Systems)	Clever Brooks Clever Brooks	1986 1986	Oct - April Oct - April	1 2	9 9	\$ - \$ -	\$ - \$ -
Harrison 1350 N 10 <sup>th</sup> St	2 x CI Hot Water Heating Boilers(1-System)	Weil-McLain	2010	Oct- April	1	9	\$ -	\$ -
Abbottsford Homes 3212 McMichael St	6 x CI Hot Water Heating Boilers in 3 Penthouses (3- Systems) and 3 Aluminum Boilers in Comm. Ctr. (1- System)	Crown Crown	Various Various	Oct - April Oct - April	3 1	9 9	\$ - \$ -	\$ - \$ -
West Park Apts 4445 Holden St	3 x Fire Tube Steam Heating Boilers(1-System) 6 x Closed Hot Water Loops(6- Systems)	Rock Mills Rock Mills	2001 2001	Oct - April Oct - April	1 6	9 9	\$ - \$ -	\$ - \$ -
Wilson Park 2502-04 Jackson St	3 x Fire Tube Steam Heating Boilers(1-System) 2x Air Cooled Chillers (1-system) in ISM building	Rock Mills Carrier	2003	Oct - April Year Round	1 1	9 12	\$ - \$ -	\$ - \$ -
Hill Creek* 528 Adams Ave	51 x Aluminum Hot Water Heating Boilers In 19 Boiler Rooms(19 - Systems)	Weil-McLain	2011	Year Round	19	12	\$ -	\$ -
James W. Johnson* 2500 W Norris St	18 x CI Hot Water Heating Boilers in 9 Boiler Rooms (9- Systems)	Weil-McLain	2012	Oct - April	9	9	\$ -	\$ -
Spring Garden Apts* 715 Brandywine St	10 x CI Hot Water Heating Boilers in 5 Boiler Rooms(5- Systems)	Weil-McLain	2004	Year Round	5	12	\$ -	\$ -
Cassie L. Holly 2100 Dickinson St	4 x Aluminum Hot Water Heating Boilers(1-System)	Weil-McLain	2011	Oct - April	1	9	\$ -	\$ -
Katie B. Jackson 400 N 50th St	3 x Aluminum Hot Water Heating Boilers(1-System)	Weil-McLain	2011	Oct - April	1	9	\$ -	\$ -
Collegeview 2732 W Thompson St	3 x CI Gas Fired Hot Water Heating Boilers in 3 Boiler Rooms (3-Systems)	Weil-McLain	1985	Year Round	3	12	\$ -	\$ -
Holmecrest Homes 8133 Erdrick Pl	2 x CI Gas Fired Hot Water Heating Boilers (1-System)	Weil-McLain	2005	Oct - April	1	9	\$ -	\$ -
Bentley Hall 1710 Croskey St	3 x CI Hot Water Heating Boilers(1-System)	Weil-McLain	2000	Oct - April	1	9	\$ -	\$ -
GGFE Office 1800 Vare Ave	1x Air Cooled Chillers (1-system)	Trane	2006	May - Sept	1	7	\$ -	\$ -
<b>TOTAL</b>								\$ -

**PAPMC SITES**

**LOCATIONS BELOW: BID AS ALTERNATES.**

Locations	Type of Heating & Cooling System	Manufacturer	Year	Operation	System/ Loops/ Qty	# Month Service	UnitPrice	Subtotal
Mount Olivet Village 642 N41st St	10 x CI Hot Water Boilers In 5 Boiler Rooms(5- Systems)	Weil-McLain	2004	Oct - April	5	9	\$ -	\$ -
Suffolk Manor 1416-24 Clearview St	Dual temp system consisting of 4 x CI Gas Fired Hot Water Boilers & 1 x Air Cooled Chilled Water (1-System)	Precision boilers & York Chiller	2003	Year Round	1	12	\$ -	\$ -
Germantown House 5457 Wayne St	2 x Fire Tube Steam Heating Boilers(1-System) and one Hot Water Close Loop (1-System)	Burnham Burnham	2006 2006	Oct - April Oct - April	1 1	9 9	\$ - \$ -	\$ - \$ -
<b>TOTAL</b>								\$ -

**NOTE: Where the above Table specifies Operation Time Oct-April, the service will be required Sept-May.**

**NOTE: Water softner treatment at ALL steam boiler site price to be included in steam boiler treatment.**

**CHEMICAL WATER TREATMENT SERVICES at VARIOUS PHA LOCATIONS SOLICITATION NUMBER P-004372-R  
3<sup>rd</sup> Option Period (Year 5)**

Locations	Type of Heating & Cooling System	Manufacturer	Year	Operation	System/ Loops/ Qty	# Month Service	UnitPrice	Subtotal
Blumberg Apartments 2311 W Jefferson St	2 x Fire Tube Steam Heating Boilers (1-System)	Superior	1996	Oct-April	1	9	\$ -	\$ -
	and 3 x Closed Hot Water Loops (3-Systems)	Superior	1996	Oct-April	3	9	\$ -	\$ -
Emlen Arms 6733 Emlen St	2 x Cast Iron (CI) Steam Heating Boilers (1-System)	Weil-McLain	2007	Oct - April	1	9	\$ -	\$ -
	and 2 x Copper Hot Water Boilers(1-System)	Weil-McLain	2007	Oct - April	1	9	\$ -	\$ -
Fairhill Apartments 2443 N 11th St	3 x Fire Tube Steam Heating Boilers(1-System)	Clever Brooks	1986	Oct - April	1	9	\$ -	\$ -
	and 2 x Closed Hot Water Loops(2-Systems)	Clever Brooks	1986	Oct - April	2	9	\$ -	\$ -
Harrison 1350 N 10 <sup>th</sup> St	2 x CI Hot Water Heating Boilers(1-System)	Weil-McLain	2010	Oct- April	1	9	\$ -	\$ -
Abbottsford Homes 3212 McMichael St	6 x CI Hot Water Heating Boilers in 3 Penthouses (3- Systems)	Crown	Various	Oct - April	3	9	\$ -	\$ -
	and 3 Aluminum Boilers in Comm. Ctr. (1- System)	Crown	Various	Oct - April	1	9	\$ -	\$ -
West Park Apts 4445 Holden St	3 x Fire Tube Steam Heating Boilers(1-System)	Rock Mills	2001	Oct - April	1	9	\$ -	\$ -
	6 x Closed Hot Water Loops(6- Systems)	Rock Mills	2001	Oct - April	6	9	\$ -	\$ -
Wilson Park 2502-04 Jackson St	3 x Fire Tube Steam Heating Boilers(1-System)	Rock Mills	2003	Oct - April	1	9	\$ -	\$ -
	2x Air Cooled Chillers (1-system) in ISM building	Carrier		Year Round	1	12	\$ -	\$ -
Hill Creek* 528 Adams Ave	51 x Aluminum Hot Water Heating Boilers In 19 Boiler Rooms(19 - Systems)	Weil-McLain	2011	Year Round	19	12	\$ -	\$ -
James W. Johnson* 2500 W Norris St	18 x CI Hot Water Heating Boilers in 9 Boiler Rooms (9- Systems)	Weil-McLain	2012	Oct - April	9	9	\$ -	\$ -
Spring Garden Apts* 715 Brandywine St	10 x CI Hot Water Heating Boilers in 5 Boiler Rooms(5- Systems)	Weil-McLain	2004	Year Round	5	12	\$ -	\$ -
Cassie L. Holly 2100 Dickinson St	4 x Aluminum Hot Water Heating Boilers(1-System)	Weil-McLain	2011	Oct - April	1	9	\$ -	\$ -
Katie B. Jackson 400 N 50th St	3 x Aluminum Hot Water Heating Boilers(1-System)	Weil-McLain	2011	Oct - April	1	9	\$ -	\$ -
Collegeview 2732 W Thompson St	3 x CI Gas Fired Hot Water Heating Boilers in 3 Boiler Rooms (3-Systems)	Weil-McLain	1985	Year Round	3	12	\$ -	\$ -
Holmcrest Homes 8133 Erdrick Pl	2 x CI Gas Fired Hot Water Heating Boilers (1-System)	Weil-McLain	2005	Oct - April	1	9	\$ -	\$ -
Bentley Hall 1710 Croskey St	3 x CI Hot Water Heating Boilers(1-System)	Weil-McLain	2000	Oct - April	1	9	\$ -	\$ -
GGFE Office 1800 Vare Ave	1x Air Cooled Chillers (1-system)	Trane	2006	May - Sept	1	7	\$ -	\$ -
<b>TOTAL</b>								\$ -

**PAPMC SITES**

**LOCATIONS BELOW: BID AS ALTERNATES.**

Locations	Type of Heating & Cooling System	Manufacturer	Year	Operation	System/ Loops Qty	# Month Service	UnitPrice	Subtotal
Mount Olivet Village 642 N41st St	10 x CI Hot Water Boilers In 5 Boiler Rooms(5- Systems)	Weil-McLain	2004	Oct - April	5	9	\$ -	\$ -
Suffolk Manor 1416-24 Clearview St	Dual temp system consisting of 4 x CI Gas Fired Hot Water Boilers & 1 x Air Cooled Chilled Water (1-System)	Precision boilers & York Chiller	2003	Year Round	1	12	\$ -	\$ -
Germantown House 5457 Wayne St	2 x Fire Tube Steam Heating Boilers(1-System)	Burnham	2006	Oct - April	1	9	\$ -	\$ -
	and one Hot Water Close Loop (1-System)	Burnham	2006	Oct - April	1	9	\$ -	\$ -
<b>TOTAL</b>								\$ -

**NOTE: Where the above Table specifies Operation Time Oct-April, the service will be required Sept-May.  
NOTE: Water softener treatment at ALL steam boiler site price to be included in steam boiler treatment.**

## References

Please provide the name, address and telephone number of three references for whom the offeror performed work substantially similar to that required by the solicitation. Performance surveys (included in package) must be completed and accompany bids responses in separately sealed envelopes.

1.

2.

3.

**List all items, other than the required proposal form and certifications, included as part of the offeror's proposal:**

**Acknowledgement of Amendments**

The offeror hereby acknowledges the receipt of and obligation to perform pursuant to the following addenda to this RFP:

Addendum No.	_____	dated	_____
Addendum No.	_____	dated	_____
Addendum No.	_____	dated	_____

## Binding Contract

The offeror acknowledges and agrees that no contract shall exist until signed by both parties, except that Section F.3 (Proposal Security) shall be binding on the offeror in accordance with its terms prior to the execution of a contract. In addition, until an agreement is signed by both parties, PHA may rescind any recommendation of award and the offeror will be deemed to have waived any and all rights to obtain a contract with PHA or seek damages against PHA.

Name of Offeror: \_\_\_\_\_  
Federal Tax Identification Number \_\_\_\_\_ (if applicable)  
State of incorporation \_\_\_\_\_ (if applicable)  
Philadelphia Business A/C Number \_\_\_\_\_ (if applicable)  
Social Security Number \_\_\_\_\_ (if offeror is an individual)  
Official Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Signature: \_\_\_\_\_  
Print Name and Title: \_\_\_\_\_  
Date: \_\_\_\_\_  
\_\_\_\_\_  
Witness: \_\_\_\_\_

\_\_\_\_\_  
PLACE CORPORATE SEAL HERE

IF A CORPORATION

## References

Please provide the name, address and telephone number of three references for whom the offeror performed work substantially similar to that required by the solicitation. Performance surveys (included in package) must be completed and accompany bids responses in separately sealed envelopes.

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List all items, other than the required proposal form and certifications, included as part of the offeror's proposal:

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Addendum No.	_____	dated	_____
Addendum No.	_____	dated	_____
Addendum No.	_____	dated	_____

**Binding Contract**

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Name of Offeror: \_\_\_\_\_  
Federal Tax Identification Number \_\_\_\_\_ (if applicable)  
State of incorporation \_\_\_\_\_ (if applicable)  
Philadelphia Business A/C Number \_\_\_\_\_ (if applicable)  
Social Security Number \_\_\_\_\_ (if offeror is an individual)  
Official Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Signature: \_\_\_\_\_  
Print Name and Title: \_\_\_\_\_  
Date: \_\_\_\_\_  
Witness: \_\_\_\_\_

\_\_\_\_\_  
PLACE CORPORATE SEAL HERE  
IF A CORPORATION

## PAST PERFORMANCE SURVEY

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PHA Solicitation No. P-004372-R – Chemical Water Treatment Services at Various PHA Locations

**PHILADELPHIA HOUSING AUTHORITY  
CONTRACTS AND PROCUREMENT DEPARTMENT**

Past Performance Survey

CHEMICAL WATER TREATMENT SERVICES AT VARIOUS PHA LOCATIONS P-004372-R

**CLIENT INFORMATION**

Commercial Client

Government Client

**Client Name:** \_\_\_\_\_

**Client Address:** \_\_\_\_\_

**City** \_\_\_\_\_

**State** \_\_\_\_\_

**Zip Code** \_\_\_\_\_

**Project Name:** \_\_\_\_\_

**Total Project Value:** \_\_\_\_\_

**Performance Period:** \_\_\_\_\_

**Teaming Partner(s):** \_\_\_\_\_

**Government or Commercial Project Manager Contact**

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

Title: \_\_\_\_\_

Phone number: \_\_\_\_\_

Fax number: \_\_\_\_\_

E-mail address: \_\_\_\_\_

**Alternate Government or Commercial Project Manager Contact**

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

Title: \_\_\_\_\_

Phone number: \_\_\_\_\_

Fax number: \_\_\_\_\_

E-mail address: \_\_\_\_\_

**SPECIFIC PERFORMANCE**

**Instructions:** This part consists of open-ended questions to determine the scope, complexity, and relevance of the project to the current requirement. Please answer the questions concisely and to the best of your knowledge.

1. Describe the overall project type the contractor provided.
2. Describe the end goal/end product and result.
3. Describe the long-term program development involved in performing this task.
4. Describe the level of planning and staffing contractor was required to perform and if they met the contracts exceptions.
5. Describe the average timeline involved in completing this project and if contractor met that timeline within reason.



## PAST PERFORMANCE RATINGS

Please answer each of the following questions with a rating that is based on objective measurable performance indicators to the maximum extent possible. Comments to support ratings may be noted on last page. The Government will assess an overall past performance rating for each reference contacted. The overall ratings of each reference will then be combined to arrive at a final past performance rating that will be assigned points based upon the following rating scheme:

### RATINGS ARE DEFINED AS FOLLOWS:

<b>Definition</b>	<b>Description</b>
<b>Excellent</b>	The Contractor demonstrates an excellent performance level in all categories. There have been no performance problems and the Contractor has demonstrated initiative to enhance/exceed contractual requirements and objectives. The Contractor also has maintained an excellent Contractor/Government relationship throughout contract performance
<b>Good</b>	There are no quality of service problems; no cost/price issues; and no delays. Responses to inquiries and technical/service administrative issues are consistently effective and responsive. Non-conformance does not impact achievement of contract requirements.
<b>Acceptable</b>	Non-conformances are minor and have little impact in achievement of contract requirements, requires minor intervention by Government personnel to resolve issues.
<b>Marginal</b>	Non-conformances are impacting achievement of contract requirements, requires substantial intervention by Government personnel to resolve issues.
<b>Unacceptable</b>	Non-conformances are compromising the achievement of contract requirements, despite substantive intervention by Government personnel.

**PART 1: GENERAL PERFORMANCE**

**INSTRUCTIONS: PLEASE CHECK THE APPROPRIATE RATING**

Quality of Service	Excellent	Good	Acceptable	Marginal	Unacceptable	N/A
1. Compliance with contract requirements	<input type="checkbox"/>					
2. Accuracy of Reports	<input type="checkbox"/>					
3. Effectiveness of Personnel	<input type="checkbox"/>					
4. Technical Excellence	<input type="checkbox"/>					
5. Record of conforming to specifications and standards of good workmanship	<input type="checkbox"/>					
6. Ability to provide services nationwide, including small and rural communities	<input type="checkbox"/>					

Cost Control	Excellent	Good	Acceptable	Marginal	Unacceptable	N/A
1. Record of forecasting and controlling target costs	<input type="checkbox"/>					
2. Current, accurate, and complete billings	<input type="checkbox"/>					
3. Relationship of negotiated costs to actual	<input type="checkbox"/>					
4. Cost efficiencies	<input type="checkbox"/>					

Timeliness of Performance	Excellent	Good	Acceptable	Marginal	Unacceptable	N/A
1. Met interim milestones	<input type="checkbox"/>					
2. Reliability	<input type="checkbox"/>					
3. Responsive to technical direction	<input type="checkbox"/>					
4. Completed on time including wrap up	<input type="checkbox"/>					
5. Met delivery schedules	<input type="checkbox"/>					
6. Amount of Liquidated Damages (Excellent=Low or None, Unacceptable= High)	<input type="checkbox"/>					
Business Relations	Excellent	Good	Acceptable	Marginal	Unacceptable	N/A
1. Effective Management, including subcontracts	<input type="checkbox"/>					

2. Reasonable/cooperative behavior	<input type="checkbox"/>							
3. Responsive to contract requirements	<input type="checkbox"/>							
4. Notification of problems	<input type="checkbox"/>							
5. Flexibility	<input type="checkbox"/>							
6. Pro-active vs. Reactive	<input type="checkbox"/>							
7. Effective small/small disadvantage business subcontracting program	<input type="checkbox"/>							
8. History of staff turnover	<input type="checkbox"/>							

Customer Satisfaction	Excellent	Good	Acceptable	Marginal	Unacceptable	N/A
1. Commitment to customer satisfaction	<input type="checkbox"/>					
2. Would you recommend selection of this firm again?	<input type="checkbox"/>					
3. Overall Rating of Contractor	<input type="checkbox"/>					

**ADDITIONAL COMMENTS:**

\_\_\_\_\_  
Name and Signature of Reference

\_\_\_\_\_  
Date

**I. CERTIFICATIONS AND REPRESENTATIONS OF OFFERORS**  
**CHEMICAL WATER TREATMENT SERVICES at VARIOUS PHA LOCATIONS**  
**SOLICITATION NUMBER P-004372-R**

**1. Offeror's Certification Of Eligibility**

- (a) By the submission of this proposal, the offeror certifies that to the best of its knowledge and belief:
- (i) Neither the offeror, nor any person or firm which has an interest in the proposal or the offeror's firm, is ineligible to be awarded contracts by any agency of the United States Government, HUD, or the State in which this Contract is to be performed;
  - (ii) Neither the offeror, nor any person or firm which has an interest in the proposal or the offeror's firm, is ineligible to participate in HUD programs pursuant to 24 CFR Part 24;
  - (iii) Neither the offeror, nor any person or firm which has an interest in the proposal or the offeror's firm, has been suspended, debarred or otherwise restricted by any Department or Agency of the Federal Government or of any State Government or of the City of Philadelphia or the Philadelphia Housing Authority from doing business with such Department or Agency for the period beginning 5 years prior to the date of this certification;
  - (iv) Neither the offeror, nor any person or firm which has an interest in the proposal or the offeror's firm, has experienced default or noncompliance under any contract for the U.S. Department of Housing and Urban Development, or any other governmental agency with which it has contracts for the period beginning 10 years prior to the date of this certification;
  - (v) Neither the offeror, nor any person or firm which has an interest in the proposal or the offeror's firm, has unresolved findings raised as a result of HUD audits, management reviews or any other Governmental investigations concerning the offeror or any person or firm which has an interest in the offeror's firm under any of the offeror's contracts;
  - (vi) There has not been a suspension or termination of payments under any HUD contract in which the offeror has a legal or beneficial interest attributable to the offeror's fault or negligence;

- (vii) Neither the offeror, nor any person or firm which has an interest in the proposal or the offeror's firm, has defaulted on an obligation covered by a bond and have not been the subject of a claim under any fidelity bond.
  - (viii) Neither the offeror, nor any person or firm which has an interest in the proposal or the offeror's firm, has been found by HUD or the Commonwealth of Pennsylvania to be in noncompliance with any applicable civil rights laws.
  - (ix) Neither the offeror, nor any person or firm which has an interest in the proposal or the offeror's firm, is a Member of Congress or a Resident Commissioner or otherwise prohibited or limited by law from contracting with the Philadelphia Housing Authority.
  - (x) Neither the offeror, nor any person or firm which has an interest in the proposal or the offeror's firm is an officer or employee or commissioner of the Philadelphia Housing Authority who is prohibited or limited by law from contracting with the PHA.
  - (xi) Neither the offeror, nor any person or firm which has an interest in the proposal or the offeror's firm, has been convicted of a felony and are not presently the subject of a complaint or indictment charging a felony. (A felony is any offense punishable by imprisonment for more than one year, but does not include any offense classified as a misdemeanor under the laws of a State and punishable by imprisonment of two years or less.)
- (b) Statements above to which the offeror cannot certify (if any) have been deleted by striking through the words with a pen. The offeror has initialed each deletion (if any) and has attached a true and accurate signed statement (if applicable) to explain the facts and circumstances which qualify the offeror as a responsible offeror for participation in this project.
- (c) The certification in paragraph (a) above is a material representation of fact upon which reliance was placed when making the award. If it is later determined that the offeror knowingly rendered an erroneous certification, the Contract may be terminated for default, and the offeror may be debarred or suspended from participation in HUD and PHA programs and other Federal contract programs.

**2. Small, Minority, Women-Owned Business Concern Representation**

The offeror represents and certifies as part of its offer that it:

- (a)  is,  is not a small business concern. "Small business concern," as used in this provision, means a concern, including its affiliates, that is independently owned and operated, not dominant in the field of operation in which it is bidding, and qualified as a small business under the criteria and size standards in 13 CFR 121.
- (b)  is,  is not a women-owned small business concern. "Women-owned," as used in this provision, means a small business that is at least 51 percent owned by a woman or women who are U.S. citizens and who also control and operate the business.

Certifying Agency & Certification Number (if applicable):

\_\_\_\_\_

- (c)  is,  is not a minority enterprise which, pursuant to Executive Order 11625, is defined as a business which is at least 51 percent owned by one or more minority group members or, in the case of a publicly owned business, at least 51 percent of its voting stock is owned by one or more minority group members, and whose management and daily operations are controlled by one or more such individuals.

- (i) For the purpose of this definition, minority group members are:  
(check the block applicable to you)

- Black Americans  Asian Pacific Americans
- Hispanic Americans  Asian Indian Americans
- Native Americans  Hasidic Jewish Americans

- (ii) Certifying Agency & Certification Number (if applicable):

\_\_\_\_\_

**3. Conflict of Interest**

In the absence of any actual or apparent conflict, the offeror, by submission of a proposal, hereby warrants that to the best of its knowledge and belief, no actual or apparent conflict of interest exists with regard to the possible performance of this procurement, as described in the clause in this solicitation titled "Organizational Conflict of Interest."

#### 4. Contingent Fee Representation and Agreement

- (a) The offeror represents and certifies as part of its offer that, except for full-time bona fide employees working solely for the offeror, the offeror:
  - (i) [ ] has, [ ] has not employed or retained any person or company to solicit or obtain this Contract; and
  - (ii) [ ] has, [ ] has not paid or agreed to pay to any person or company employed or retained to solicit or obtain this Contract any commission, percentage, brokerage, or other fee contingent upon or resulting from the award of this Contract.
- (b) If the answer to either (a)(1) or (a) (2) above is affirmative, the offeror shall make an immediate and full written disclosure to the PHA Contracting Officer.
- (c) Any misrepresentation by the offeror shall give the PHA the right to (1) terminate the resultant contract; (2) at its discretion, to deduct from Contract payments the amount of any commission, percentage, brokerage, or other contingent fee; or (3) take other remedy pursuant to the Contract.

#### 5. Certificate of Independent Price Determination

- (a) The offeror certifies that --
  - (i) The prices in this offer have been arrived at independently, without, for the purpose of restricting competition, any consultation, communication, or agreement with any other offeror or competitor relating to (i) those prices, (ii) the intention to submit a offer, or (iii) the methods or factors used to calculate the prices offered;
  - (ii) The prices in this offer have not been and will not be knowingly disclosed by the offeror, directly or indirectly, to any other offeror or competitor before bid opening (in the case of a sealed bid solicitation) or contract award (in the case of a negotiated solicitation) unless otherwise required by law; and
  - (iii) No attempt has been made or will be made by the offeror to induce any other concern to submit or not to submit an offer for the purpose of restricting competition.
- (b) Each signature on the offer is considered to be a certification by the signatory that the signatory:

(i) Is the person in the offeror's organization responsible for determining the prices being offered in this bid or proposal, and that the signatory has not participated and will not participate in any action contrary to subparagraphs (a)(i) through (a)(iii) above; or

(ii)

(1) Has been authorized, in writing, to act as agent for the following principals in certifying that those principals have not participated, and will not participate in any action contrary to subparagraphs (a)(i) through (a)(iii) above (insert full name of person(s) in the offeror's organization responsible for determining the prices offered in this bid or proposal, and the title of his or her position in the offeror's organization):

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(2) As an authorized agent, does certify that the principals named in subdivision (b)(2)(i) above have not participated, and will not participate, in any action contrary to subparagraphs (a)(i) through (a)(iii) above; and

(3) As an agent, has not personally participated, and will not participate in any action contrary to subparagraphs (a)(i) through (a)(iii) above.

(c) If the offeror deletes or modifies subparagraph (a)2 above, the bidder/offeror must furnish with its offer a signed statement setting forth in detail the circumstances of the disclosure.

(d) The offeror further certifies that he/she has not been convicted or found liable for any act prohibited by state or federal law involving conspiracy or collusion with respect to proposing or bidding on any public contract within the last three years. Such act or conviction does not automatically disqualify an offeror, but may be grounds for administrative suspension or grounds for consideration by PHA as to whether PHA should decline to award a contract to such an offeror on the basis of a lack of responsibility.

If offeror has been convicted of any act prohibited by State or Federal law involving collusion with respect to proposing or bidding on any public contract within the past three years, offeror should attach an explanation of the circumstances surrounding that conviction.

- (e)  [check if following paragraph is applicable]

Non-collusive affidavit. (applicable to contracts for construction and equipment exceeding \$50,000)

- (i) Each bidder shall execute, in the form provided by the PHA/IHA, an affidavit to the effect that he/she has not colluded with any other person, firm or corporation in regard to any bid submitted in response to this solicitation. If the successful bidder did not submit the affidavit with his/her bid, he/she must submit it within three (3) working days of bid opening. Failure to submit the affidavit by that date may render the bid nonresponsive. No contract award will be made without a properly executed affidavit.
- (ii) A fully executed "Non-collusive Affidavit"  is,  is not included with the bid. (See page I-12 for Affidavit form).

**6. Certification And Disclosure Regarding Payments To Influence Certain Federal Transactions (applicable to contracts exceeding \$100,000)**

- (a) The definitions and prohibitions contained in Section 1352 of title 31, United States Code, are hereby incorporated by reference in paragraph (b) of this certification.
- (b) The offeror, by signing its proposal, hereby certifies to the best of his or her knowledge and belief as of \_\_\_\_\_, 20\_\_\_, that:
  - (i) No Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress on his or her behalf in connection with the awarding of a contract resulting from this solicitation;
  - (ii) If any funds other than Federal appropriated funds (including profit or fee received under a covered Federal transaction) have been paid, or will be paid, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress on his or her behalf in

connection with this solicitation, the proposer shall complete and submit, with its proposal, OMB standard form LLL, "Disclosure of Lobbying Activities;" and

- (iii) He or she will include the language of this certification in all subcontracts at any tier and require that all recipients of subcontract awards in excess of \$100,000 shall certify and disclose accordingly.
- (iv) Submission of this certification and disclosure is a prerequisite for making or entering into this Contract imposed by section 1352, title 31, United States Code. Any person who makes an expenditure prohibited under this provision or who fails to file or amend the disclosure form to be filed or amended by this provision, shall be subject to a civil penalty of not less than \$10,000, and not more than \$100,000, for each such failure.

**7. Certification Of Nonsegregated Facilities (applicable to contracts exceeding \$10,000)**

- (a) The offeror's attention is called to the clause entitled "Equal Employment Opportunity" of Section I of the Terms and Conditions of the Contract.
- (b) "Segregated facilities," as used in this provision, means any waiting rooms, work areas, rest rooms and wash rooms, restaurants and other eating areas, time clocks, locker rooms and other storage or dressing areas, parking lots, drinking fountains, recreation or entertainment areas, transportation, and housing facilities provided for employees, that are segregated by explicit directive or are in fact segregated on the basis of race, color, religion, or national origin because of habit, local custom, or otherwise.
- (c) By the submission of this proposal, the offeror certifies that it does not and will not maintain or provide for its employees any segregated facilities at any of its establishments, and that it does not and will not permit its employees to perform their services at any location under its control where segregated facilities are maintained. The offeror agrees that a breach of this certification is a violation of the Equal Employment Opportunity clause in the Contract.
- (d) The offeror further agrees that (except where it has obtained identical certifications from proposed subcontractors for specific time periods) prior to entering into subcontracts which exceed \$10,000 and are not exempt from the requirements of the Equal Employment Opportunity clause, it will-

- (i) Obtain identical certifications from the proposed subcontractors;
- (ii) Retain the certifications in its files; and
- (iii) Forward the following notice to the proposed subcontractors (except if the proposed subcontractors have submitted identical certifications for specific time periods):

**NOTICE TO PROSPECTIVE SUBCONTRACTORS OF REQUIREMENT FOR CERTIFICATIONS OF NONSEGREGATED FACILITIES.**

A Certification of Non-segregated Facilities must be submitted before the award of a subcontract exceeding \$10,000 which is not exempt from the provisions of the Equal Employment Opportunity clause of the prime contract. The certification may be submitted either for each subcontract or for all subcontracts during a period (i.e., quarterly, semiannually, or annually).

**NOTE:** The penalty for making false statements in bids is prescribed in 18 U.S.C. 1001.

**8. Clean Air And Water Certification (applicable to contracts exceeding \$100,000)**

The offeror certifies that (check the block applicable):

- (a) Any facility to be used in the performance of this Contract [ ] is [ ] is not listed on the Environmental Protection Agency List of Violating Facilities:
- (b) The offeror will immediately notify the PHA Contracting Officer, before award, of the receipt of any communication from the Administrator, or a designee, of the Environmental Protection Agency, indicating that any facility that the offeror proposes to use for the performance of the Contract is under consideration to be listed on the EPA List of Violating Facilities; and,
- (c) The offeror will include a certification substantially the same as this certification, including this paragraph (c), in every nonexempt subcontract.

**9. Drug-Free Workplace Certification**

By submission of its offer, the offeror, if other than an individual, who is making an offer that equals or exceeds \$10,000, certifies and agrees, that with respect to all employees of the offeror to be employed under a contract resulting from this solicitation,

other than a contract for the procurement of commercial items, it will - no later than 30 calendar days after contract award (unless a longer period is agreed to in writing), for contracts of 30 calendar days or more performance duration; or as soon as possible for contracts of less than 30 calendar days performance duration, but in any case, by a date prior to when performance is expected to be completed -

- (a) Publish a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the Contractor's workplace and specifying the actions that will be taken against employees for violations of such prohibition;
- (b) Establish an ongoing drug-free awareness program to inform such employees about:
  - (i) The dangers of drug abuse in the workplace;
  - (ii) The Contractor's policy of maintaining a drug-free workplace;
  - (iii) Any available drug counseling, rehabilitation, and employee assistance programs; and
  - (iv) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Provide all employees engaged in the performance of the Contract with a copy of the statement required by subparagraph (a) of this provision;
- (d) Notify such employees in writing in the statement required by subparagraph (a) of this provision that, as a condition of continued employment on the Contract resulting from this solicitation, the employee will:
  - (i) Abide by the terms of the statement; and
  - (ii) Notify the employer in writing of the employee's conviction under a criminal drug statute for a violation occurring in the workplace no later than five (5) calendar days after such conviction;
  - (iii) Notify the Contracting Officer in writing within ten (10) calendar days after receiving notice under Subdivision (d)(2) of this provision, from an employee or otherwise receiving actual notice of such conviction. The notice shall include the position title of the employee; and
  - (iv) Within thirty (30) calendar days after receiving notice under subdivision (d)(2) of this provision of a conviction, take one of

the following actions with respect to any employee who is convicted of a drug abuse violation occurring in the workplace:

- (1) Take appropriate personnel action against such employee, up to and including termination; or
  - (2) Require such employee to satisfactorily participate in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State or local health, law enforcement, or other appropriate agency.
- (e) Make a good faith effort to maintain a drug-free workplace through implementation of subparagraphs (a) through (d) of this provision.
- (f) By submission of its offer, the offeror, if an individual who is making an offer of any dollar value, certifies and agrees that the offeror will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in the performance of the contract resulting from this solicitation.
- (g) In addition to other remedies available to the PHA, the certifications required by this provision concern a matter within the jurisdiction of an agency of the United States and the making of a false, fictitious, or fraudulent certification may render the maker subject to prosecution under title 18, United States Code, section 1001.

## **10. PHA Fraud Policy**

The offeror certifies that he/she has read the following PHA Fraud Policy, will adhere to it, and is aware of the penalties for failure to comply:

- (a) For purposes of this policy, and in concurrence with the PHA Office of Inspector General's (OIG) mandate, "fraud" includes: fraudulent activity by any person employed by or contracting with the PHA; bribery and official corruption; theft of PHA funds, property or benefits; and serious breaches of integrity. Some examples of activities covered include: extortion/extortion attempts by PHA employees or officials; acceptance or solicitation of bribes; submission of fraudulent documents; employee collusion with contractors or vendors; material misstatements of facts in contracts or documents, relating to services performed or materials provided; bid rigging; and disclosure of confidential information.
- (b) Covered Parties
  - (i) All PHA employees and officials.

- (ii) All contractors, subcontractors, vendors and consultants doing business with the PHA -

**NOTE: Contractors are responsible for compliance with this Fraud Policy by their subcontractors.**

- (iii) All owners of housing who receive subsidies from PHA.
- (iv) Any other individual or entity doing business with or seeking to do business with the PHA.

(c) Responsibilities

- (i) All “covered” parties” must report any type of fraud when they become aware of such activity, and they must cooperate fully with the OIG in any ensuing investigation.
- (ii) “Fraud” must be reported to a representative of the PHA’s OIG, 1101 Market Street, Suite 1320, Philadelphia, PA 19107, (215) 684-8300.
- (iii) Management officials will support the Fraud Policy and ensure compliance with this policy by persons they supervise, and/or individuals and business entities that they deal with.

(d) Penalties For Failure To Report Fraud

Penalties for failure to timely report fraud can include: loss of contract and/or debarment from future contracts by contractors, subcontractors, vendors, and any other individual or entity doing business with the PHA; and other action deemed appropriate by PHA officials.

(e) Confidentiality

All information reported to the OIG is confidential, and the identity of those reporting information to the OIG will be protected.

(f) Whistle Blower Protection

- (i) Anyone who provides information to the OIG may not be discharged, demoted or otherwise subject to any adverse action as a result of reporting wrongdoing. Any person who retaliates against someone for reporting wrongdoing may be subject to civil liabilities and penalties.

- (ii) PHA Management supports the position that “whistle blowers” will be protected and commended for their honesty and dedication to the PHA.

(g) Authorized Negotiators

The offeror represents that the following persons are authorized to negotiate on its behalf with the PHA in connection with this request for proposals:  
(list names, titles, and telephone numbers of the authorized negotiators):

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**11. Offeror’s Signature**

Pursuant to 28 U.S.C. § 1746, I declare under penalty of perjury that the information contained in the foregoing certifications and representations is true and correct.

---

Signature & Date

---

Typed or Printed Name

---

Title

NON-COLLUSIVE AFFIDAVIT  
(required if Certification & Representation Clause 5(e) is selected)

State of \_\_\_\_\_

County of \_\_\_\_\_

\_\_\_\_\_, being first sworn, deposes and

says: That he/she is \_\_\_\_\_ (president, sole owner, partner,

etc.) of \_\_\_\_\_ (firm name) the party making the forgoing proposal or bid, that such proposal or bid is genuine and not collusive or sham; that no one conspired, connived or agreed, directly or indirectly, with any bidder or person, to put in a sham bid or to refrain from bidding, and has not in any manner, directly or indirectly sought by agreement or collusion, or communication or conference, with any person, to fix the bid price of the affiant or of any other bidder, or to fix any overhead, profit or cost element of said bid price, to secure any advantage against the Philadelphia Housing Authority or any person interested in the proposed contract: and that all statements in said proposal or bid are true.

By \_\_\_\_\_

Title \_\_\_\_\_  
(Affix Corporate Seal if required)

Subscribed and sworn to before me  
this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_.

\_\_\_\_\_  
My commission expires \_\_\_\_\_

\_\_\_\_\_  
(Notary Seal Required)

PHILADELPHIA HOUSING AUTHORITY  
SECTION J  
AFFIRMATIVE ACTION SECTION  
CHEMICAL WATER TREATMENT SERVICES at VARIOUS PHA LOCATIONS  
SOLICITATION NUMBER P-004372-R

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## PART I: GENERAL

### 1.1 POLICY

As a requirement for receiving federal funds, the U.S. Department of Housing and Urban Development ('HUD') requires that the Philadelphia Housing Authority (hereinafter 'Authority') implement an Affirmative Action Contract Compliance Program under Executive Order Nos. 11246, 12432, 12138, 11625, to promote the development of certified Minority Business Enterprises (hereinafter 'MBE'), and certified Women Business Enterprises (hereinafter 'WBE'). This program will also comply with the requirements of Titles VI and VII of the Civil Rights Act of 1964, 42 U.S.C. §§ 2000 d & e, as amended, and HUD Regulations 24 C.F.R. § 85.36(e).

The Authority by this policy affirms its commitment to maximize the utilization of certified MBEs/WBEs in Authority contracts and subcontracts. To this end, the Authority will provide such assistance as will be needed to achieve this goal.

The aim of this policy is to discover and deter any present discrimination by bidders who seek contracts with the Authority. MBE/WBE minimum participation goals (hereinafter 'MPGs') shall be used as a screening device to determine whether discrimination may have occurred. Minimum goals of MBE/WBE participation will be indicated for each contract in the bid documents, and will be based upon availability of certified MBEs/WBEs. The MPGs are a means of determining whether or not a contractor shall be presumed to have engaged in discrimination. If the information furnished is below the MPGs, the bid package shall be subject to further review, in accordance with criteria set forth in this policy, to determine whether or not there was actual discrimination.

### 1.2 APPLICABILITY

This program shall apply to all nonexempt contracts awarded by the Authority which are connected with federally funded or federally assisted programs. Exemptions are more fully described in Part VI of this program.

### 1.3 DEFINITIONS

- A. AAO: Affirmative Action Officer, Director of the Authority's Affirmative Action Department.
- B. *Authority*: Any department, division, unit or office of the Philadelphia Housing Authority, including the Board of Commissioners.
- C. BIDS: A quotation, proposal, solicitation or offer by a Bidder or a Proposer to provide labor, materials, equipment, supplies or services to the Authority.

- D. **BIDDER:** Any person or entity that submits a quotation, bid or proposal to provide Labor, materials, equipment, supplies or services to the Authority.
- E. **BIDDER/PROPOSER AFFIRMATIVE ACTION IMPLEMENTATION PLAN:** Schedule of Participation and Binding Commitments Form and other documents submitted by Bidder /Proposer to support their Affirmative Action Plan. These submissions become an enforceable provision of the awarded contract.
- F. **CERTIFIED:** Any business that has, after application to a recognized certifying agency, been determined to be owned, controlled and managed by minority(s), women, or disadvantaged person(s).
- G. **CERTIFYING AGENCY:** Federal, state, local governmental or quasi-governmental agencies or authorities authorized by law to certify MBE/WBE's qualifications in terms of ownership, management and control.
- H. **COMPLIANCE:** A contractor or subcontractor who performs under an Authority contract in accordance with this Affirmative Action Contract Compliance Program shall be determined to be in compliance.
- I. **CONTRACTS:** Any Authority contract which is covered by this Affirmative Action Contract Compliance Program, whether competitively bid or negotiated, including contracts in the following areas:
1. **VENDING:** for Material, Equipment, Services, and Supplies.
  2. **CONSTRUCTION:** for all types of construction; and
  3. **PERSONAL AND PROFESSIONAL SERVICES.**
- J. **DEBARMENT:** Exclusion from Authority contracting or subcontracting for a reasonable, specified period of time commensurate with the seriousness of the offense or failure or the inadequacy of performance.
- K. **DISCRIMINATION:** Any action or pattern of disparate treatment experienced in the solicitation for bids/proposals or in the award of a contract/subcontract because of: Race, Color, Sex, National Origin, Disability, or Religion.
- L. **EXEMPTION:** Any bid/proposal in which the minimum participation goal(s) have been excluded.
- M. **JOINT VENTURE:** A contractual partnership between the prime contractor and a certified minority-owned business enterprise and/or a certified women-

owned business enterprise, which must be executed prior to the submittal of the bid/proposal.

- N. **MINIMUM PARTICIPATION GOAL (MPG):** The level of participation of certified MBE/WBEs set by the AAO. MPGs shall reflect the availability of certified MBE/WBEs in the subject area, and the level, which should be attained absent discrimination. MPGs are stated as a percentage. A Bidder/Proposer will not be rejected as not responsible solely because they fail to reach the MPGs.
- O. **MINORITY BUSINESS ENTERPRISE (MBE):** A business enterprise certified as a Minority Owned Business that is owned, managed and controlled by one or more socially or economically disadvantaged person(s). Such disadvantage may arise from cultural, racial, chronic economic circumstances or background or other similar cause. Such person(s) include, but are not limited to: Blacks/African-Americans, Puerto Ricans and other Hispanics, American Indians/Native Americans, Eskimos, Aleuts, Hasidic Jews, Asian Pacific Americans, and Asian Indians.
- P. **OWNED, MANAGED AND CONTROLLED:** Possession of at least fifty-one percent (51%) of the ownership of the business. Management and control of the daily for profit business operation or nonprofit organization held by one or more persons who are classified as a member of a minority group or a woman, as defined herein.
- 1 **Q. PRIME CONTRACTOR/CONTRACTOR/BIDDER OR PROPOSER:** Any person or business entity that is a party or potential party to a contract with the Authority.
- R. **RESPONSIBLE:** The Bidder's/Proposer's submissions of a written commitment to meet or exceed the MPG set forth in the bid, or in the absence of meeting or exceeding the MPG, a full and complete explanation therefore in accordance with this program.
- S. **RESPONSIVENESS:** The Bidder's/Proposer's submission of (in addition to the submission of any other required documentation), documentary evidence of certified MBE/WBEs who have been contacted and who are to be used on the contract. Documentation must be submitted with the bid/proposal and failure to submit evidence of "Best Efforts" and binding commitments will result in rejection of the bid/proposal and a determination made of non-responsiveness.
- T. **WOMEN BUSINESS ENTERPRISE:** A business enterprise certified as a Woman Owned Business that is owned controlled and managed by a woman.

#### 1.4 CERTIFICATION – A LEGITIMATE MBE/WBE

- A. To ensure that only businesses which are owned, managed and controlled in both form and substance by MBE/WBEs are participating in the Authority's Affirmative Action Contract Compliance Program. MBE/WBE businesses, including joint ventures and nonprofit organizations, must be certified by a governmental entity authorized to certify such enterprises.
- B. MBE/WBE certification shall not be determinative of a Bidder's or Contractor's financial or technical ability to perform specified work. The Authority reserves the right to evaluate the Bidder's/Proposer's, Contractor's or Subcontractor's ability to satisfy financial, technical or other criteria separate and apart from certification before or after bid opening.
- C. The Authority recognizes that certified MBE/WBEs might be de-certified by the certifying governmental entity. Any business, which has been de-certified, shall not participate in the Authority's Affirmative Action Contract Compliance Program.
- D. The Authority reserves the right, if there is cause, to refuse a certification provided by a certifying agency.

#### 1.5 SUBSTITUTION OF CERTIFIED MBE/WBEs

Commitments to certified MBE/WBE firms made at the time of bidding must be maintained throughout the term of the contract, unless a change in commitment is pre-approved by the Authority's AAO. If at any time after a bid/proposal is opened by the Authority, a Contractor is unable to meet the obligations of the Contractor's Affirmative Action implementation Plan, as indicated on the Schedule of Participation and Binding Commitments Form, such Contractor may be required to present for approval to the AAO a substitute implementation Plan.

#### 1.6 GUIDELINES FOR JOINT VENTURING

Joint Venture partnership(s) with either a certified MBE or a certified WBE must meet the following criteria in order to receive credit towards the minimum participation goals (MPGs):

- A. The MBE/WBE partner(s) must be certified by a governmental entity authorized by law to certify such enterprises prior to bid/proposal submittals.
- B. The MBE/WBE partner(s) must be substantially involved in all phases of the contract including, but not limited to, the performance, with its own work force, a portion of the onsite work, and administrative responsibilities such as bidding, planning, staffing and daily management.

- C. The business arrangement must be customary (i.e., each partner shares in the risk and profits of the joint venture commensurate with their ownership interests).
- D. If the certified partner(s) is a MBE, its participation may be credited to the extent of the partner's ownership interest in the joint venture, however, it will still be required to meet the WBE goal or vice versa.

#### 1.7 CONTRACT LANGUAGE

Authority contracts subject to these procedures shall include language providing that compliance with MBE/WBE provisions have been met, and cooperation with the Authority on contractual matters is material to the Authority's contract. The successful Bidder's/Proposer's Affirmative Action Plan submissions will become an enforceable provision of the contract. Failures to comply with the Authority's Affirmative Action Contract Compliance Program or otherwise comply with the Bidder's/Proposer's submissions may be grounds for a finding of contractor non-responsibility.

#### 1.8 AMENDMENT

These procedures may be amended as may be necessary. Any amendment shall become effective upon the approval and adoption by the Philadelphia Housing Authority Board of Commissioners.

#### 1.9 SEVERABILITY

The provisions of these procedures are separate and severable. The invalidity of any clause, sentence, paragraph, subdivision, section or portion of these procedures, or the invalidity of the application thereof to any person or circumstances shall not affect the validity of the remainder of the procedures or their application to other persons.

## 2 PART II: RESPONSIBILITIES

#### 2.1 AFFIRMATIVE ACTION OFFICER

The AAO reports directly to the General Manager of Contracts/Procurement for the Philadelphia Housing Authority. The AAO is authorized and shall perform functions, which include, but are not limited to:

- A. Establish or modify minimum participation goals (MPGs) for Authority contracts based upon the dictates of market availability of certified

MBE/WBEs and/or applicable laws and regulations to perform various elements of the contract.

- B. The AAO will engage in the review of bid/proposal packages to ensure that the packages provide maximum opportunity for certified MBE/WBE participation and shall have the authority to recommend approval or disapproval of any bid package to ensure compliance with this program.
- C. Attend all Pre-bid and Pre-construction meetings.
- D. Monitor and audit contractor's performance including site and business office visits to ascertain whether the contractor has discriminated or has practices which have had a disparaging or discriminating effect, and to determine that the certified MBE/WBE is performing its function in accordance with authorized standard industry practices.
- E. Maintain participation records and prepare periodic reports that include, but are not limited to the following data:
  - 1. A summary of contracts awarded specifying the percentage of participation.
  - 2. A survey comparing past and current contract participation goals of certified businesses.
  - 3. Any relevant recommendation that may enhance efficiency and effectiveness of the Affirmative Action Contract Compliance Program.
- F. For Comprehensive Improvement Modernization Program (hereinafter "CIAP") funded contracts, prepare and report the Authority's MBE/WBE progress on HUD Form #2516 – Contract and Subcontract Activity Report for Public and Indian Housing Programs.
- G. Receive, document and evaluate complaints relative to violations of the Affirmative Action Contract Compliance Program.
- H. Report findings of discrimination, in writing, to the Executive Director through the General Manager of Contracts/Procurement.
- I. Interact with city, state, and federal agencies involved in the administration of certified MBE/WBE programs.

## 2.2 CONTRACTING OFFICER

- A. SOLICITATION – The Authority's Contracting Officer shall actively solicit certified MBE/WBEs to compete for contracting opportunities as Prime/General Contractors.

B. REPORTS – The Affirmative Action Officer shall gather information required to prepare various reports that detail:

1. The original total dollar amount of each contract awarded according to the categories of vending, construction, personal services and professional services, including the total dollar amount of each contract resulting from any contract amendment or change orders subsequent to award.
2. The original total dollar amount of each contract awarded to each certified MBE/WBE as a Prime/General Contractor, as well as the actual dollar amount of each contract including contract amendments or change order(s).

### 2.3 COORDINATION WITH CONTRACT CONTROL SPECIALISTS

A. The AAO shall coordinate with the Contract Control Specialist for information as may be required in the performance of the AAO function. Such information may include, but is not limited to:

1. Explanation of the elements of the work to be performed under a contract.
2. A reasonable estimate of costs, type(s) and quantity of supplies, materials and equipment required for performance under a contract.
3. A reasonable estimate of employees and their classifications required for performance under a contract.

B. The Authority's Contracting Officer shall also do the following, with or without coordination with the AAO:

1. Divide total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by certified MBE/WBEs.
2. Establish delivery schedules, where the requirement permits, which encourage participation by certified MBE/WBEs.
3. Use the services and assistance of the Small Business Administration and Minority Business Development Agency of the Department Commerce.

3 PART III: BIDDER/PROPOSER AFFIRMATIVE ACTION

IMPLEMENTATION PLAN

3.1 GENERAL REQUIREMENTS

Each Bidder's/Proposer's Affirmative Action implementation Plan shall include the following:

- A. The business name, address, contact person, telephone number, certification number, certifying agency(s), and Internal Revenue Service Employer's Identification Number (E.I.N.).
- B. A description of the work that will be performed by each designated contractor/subcontractor.
- C. The date of solicitation, contact person's name, whether contact was by phone or mail, and if a quote was received from the designated MBE/WBE.
- D. Confirmation of commitment made as to the level of certified MBE/WBE participation described as a percentage of the total base contract proposal dollar amount and percentage of commitments.
- E. If no commitment is made to meet or exceed the stated MPG's, the Bidder/Proposer must provide documentation that the following steps were taken:
  1. Requested and attended a briefing and information meeting with the Authority staff designed to explain the Affirmative Action Contract Compliance Program pertaining to certified MBE/WBE participation.
  2. Advertised in general circulation, media, trade association publications, and minority/women-focused media concerning subcontracting and supplier opportunities.
  3. Participated in Authority sponsored conferences and seminars designed specifically for the promotion of the Authority's Affirmative Action Contract Compliance Program pertaining to certified MBE/WBE participation.
  4. Notified certified MBE/WBEs and solicited their participation in the reference contract. The names, addresses, telephone numbers, and contact persons of the firms notified must be provided.

5. Provided complete information about plans, specifications, and requirements of the contract to interested certified MBE/WBEs.
  6. Made reasonable efforts to negotiate with certified MBE/WBEs for specific sub-bids. All such contacts must be fully documented. If a sub-bid of a certified MBE/WBE is rejected, the Bidder/Proposer must document and explain the reason for the rejection. Rejection based solely on the initial response from a certified MBE/WBE will not be sufficient to establish non-discrimination and "Best Efforts" toward compliance.
- F. Attest to the fact that the certified MBE/WBE will perform work, which is necessary and required for contractor to fulfill their obligation under the applicable contract and specification.

**4 PART IV: CONSTRUCTION CONTRACT AFFIRMATIVE ACTION  
5 IMPLEMENTATION PLAN**

**4.1 MINIMUM PARTICIPATION GOALS**

The AAO shall set MPGs for Specifications/Contracts/Request for Proposals.

(MODERNIZATION FUNDS)

The MPGs which have been set by the AAO as of the date of implementation of this program, are and shall be, until or unless they are revised, as follows:

<u>MBE</u>	<u>WBE</u>
20%	10%

- A. A Bidder/Proposer will not be rejected as non-responsive solely because they fail to reach the MPGs. However, a contractor may be considered not responsive if the MPGs are not met and no acceptable justification is offered for a lack of compliance.
- B. When a firm/company contracts with an enterprise that is both a certified MBE and a certified WBE, credit toward the MPG will be received for one category only. Bidders/Proposers shall indicate in their plan which category is being credited.
- C. A certified MBE/WBE firm bidding as a prime/general contractor shall still be required to submit an Affirmative Action Implementation Plan. However, where the primary contract is awarded to either a certified MBE or a certified

WBE the Authority shall count the entire dollar amount of the contract towards meeting the MPG.

- D. Certified MBE/WBE subcontractors shall perform at least seventy-five percent (75%) of the cost of the subcontract, not including cost of materials, with their own employees. This provision shall not apply to suppliers or distributors.

#### 4.2 CONSTRUCTION CONTRACT BIDDER/PROPOSER RESPONSIVENESS

- A. Bidders/Proposers must submit information indicating certified MBE/WBE firms, which have been solicited, quotes that have received (solicited and unsolicited), and firms to which commitments have been made. Documentation of such solicitations, quotes, and commitments must be submitted concurrently with the bid/proposal. Failure to submit the required information is sufficient cause for rejection of the bid as non-responsive.
- B. Mailings to large numbers of certified MBE/WBEs which are intended to provide notice of a contractor's interest in bidding on a construction contract will not be deemed solicitation, but will be treated as informational notification only.
- C. A Bidder/Proposer should only solicit certified MBE/WBE subcontractors, manufacturers or supplies whose work, materials or supplies are within the project scope and are related to project line items or portions thereof, and which the Bidder/Proposer reasonable believes it will choose to subcontract with or purchase from.
- D. Bidders/Proposers failing to meet the MPGs must submit concurrently with the bid submissions, the information required under Part III, Section E, of the Affirmative Action Contract Compliance Program.

#### 4.3 CONSTRUCTION CONTRACT BIDDER/PROPOSER RESPONSIBILITY

The submittals of each Bidder/Proposer are subject to review to determine whether the Bidder/Proposer has discriminated in the selection of manufacturers, subcontractors or suppliers, or has taken affirmative steps in the utilization of certified MBE/WBEs to ensure compliance with this policy. If a Bidder/Proposer has met the MPGs, the Authority's Contracting Officer may presume that the Bidder has not discriminated in its selections. A Bidder/Proposer who fails to meet the MPGs shall satisfactorily provide the documentation set forth in Part III, Section E, of this program. The AAO shall perform a review of the submitted documentation to determine whether discrimination has occurred. If appropriate, the AAO may invoke the provisions of Part VII, Section 7.3 (Willful Non-Compliance) and recommend sanctions contained therein.

6 PART V: VENDING AND PERSONAL/PROFESSIONAL  
SERVICES CONTRACT AFFIRMATIVE ACTION  
IMPLEMENTATION PLAN

5.1 MINIMUM PARTICIPATION GOALS

The AAO shall set MPGs for Specifications/Contracts/Request for Proposals.

(MANAGEMENT FUNDS)

The MPGs which have been set by the AAO as of the date of implementation of this program, are and shall be until or unless they are revised, as follows:

<u>MBE</u>	<u>WBE</u>
10%	10%

- A. A Bidder/Proposer will not be rejected as non-responsive solely because they fail to reach the MPGs. However, a contractor may be considered non-responsive if the MPGs are not met, and they are not in compliance with Part III, Section E.
- B. When a firm/company contracts with an enterprise that is both a certified MBE and a certified WBE, credit toward the MPG will be received for one category only. Bidders/Proposers shall indicate in their Plan which category is being credited.
- C. A certified MBE/WBE firm bidding as a prime contractor shall still be required to submit an Affirmative Action Implementation Plan. However, where the primary contract is awarded to either a certified MBE or a certified WBE the Authority shall count the entire dollar amount of the contract towards meeting the MPG.

5.2 VENDING AND PERSONAL/PROFESSIONAL SERVICES CONTRACT  
AFFIRMATIVE ACTION BIDDER/PROPOSER RESPONSIVENESS

- A. Bidders/Proposers must complete and submit with the bid/proposal, certified MBE/WBE Schedule of Participation and Binding Commitments Form. Failure to submit these forms with the bid/proposal may result in the bid being rejected as non-responsive.
- B. Mailings to large number of certified MBE/WBE's which are intended to provide notice of a contractor's interest in bidding on a vending and personal/professional service contract will not be deemed solicitation, but will be treated as informational notification only.

- C. A Bidder/Proposer should only solicit certified MBE/WBE subcontractors, vendors, manufacturers or suppliers whose services, materials or supplies are within the scope of work bid on, and which the Bidder/Proposer reasonably believes it will choose to subcontract with or purchase from.
- D. Bidders/Proposers failing to meet the MPGs must submit concurrently with the bid submissions the information required under Part III, Section E, of the Affirmative Action Contract Compliance Program.

### 5.3 VENDING AND PERSONAL/PROFESSIONAL SERVICE CONTRACT AFFIRMATIVE ACTION BIDDER/PROPOSER RESPONSIBILITY

The submittals of each Bidder/Proposer are subject to review to determine whether the Bidder/Proposer has discriminated in the selection of manufacturers, subcontractors or suppliers, or has taken affirmative steps in the utilization of certified MBE/WBEs to ensure compliance with this policy. If a Bidder/Proposer has met the MPGs, the Authority's Contracting Officer may presume that the Bidder/Proposer has not discriminated in its selections. A Bidder/Proposer who fails to meet the MPGs shall satisfactorily provide the documentation set forth in Part III, Section E, of this program. The AAO shall perform a review of the submitted documentation to determine whether discrimination has occurred. If appropriate, the AAO may invoke the provisions of Part VII, Section 7.3 (Willful Non-Compliance) and recommend sanctions contained therein.

## 7 PART VI: EXEMPTIONS

### 6.1 EXEMPTED CONTRACTS

The Authority recognizes that in certain limited circumstances, compliance with this Affirmative Action Contract Compliance Program will not be feasible, nor in the best interest of the Authority or its residents. With the approval of the Executive Director, Contracting Officer and the Affirmative Action Officer, the following contracts may be exempted:

- A. A vending contract, for equipment, materials, services and supplies where the total dollar amount of the contract is less than Ten Thousand Dollars (\$10,000.00).
- B. A construction contract where the total dollar amount of the contract is less than Ten Thousand Dollars (\$10,000.00).
- C. A professional or personal services contract where the total dollar amount of the contract is less than Ten Thousand Dollars (\$ 10,000.00).
- D. Any public exigency or emergency contract where the nature of the emergency will not allow for a delay, which would occur from competitive solicitation.

8 PART VII: COMPLIANCE REVIEW

7.1 STANDARDS FOR REASONABLE CAUSE:

9 AFTER A CONTRACT HAS BEEN AWARDED

- A. The AAO may find that a Contractor is not in compliance with contract requirements for reasons, which include, but are not limited to:
1. Documentation of information furnished by the contractor, which does not demonstrate that, a certified MBE/WBE is performing the work actually contracted.
  2. Failure or refusal by a contractor to furnish information requested by the Authority.
  3. Discovery of information, which is contrary to compliance information previously submitted by the contractor.
  4. Contractor's failure, neglect or refusal to pay certified MBE/WBE subcontractor(s) for completed and approved work within seven (7) working days after payment by the Authority to the contractor.
  5. Other facts discovered by the Authority's AAO.
- B. Whenever the AAO determines it has reasonable cause to believe that a contractor is not in compliance or that the contractor has discriminated against certified WBE/MBEs, the AAO shall promptly prepare a written notice to be signed by the Contracting Officer and sent by certified mail to the contractor. The notice shall state the reasons for the AAO's belief that the contractor is not in compliance and/or has discriminated against certified MBE/WBEs. In response to said notice, the contractor shall be required to show cause within seven (7) working days why it should not be found:
1. In breach of contract, or
  2. To have discriminated against certified MBE/WBEs.
- C. Based upon information supplied by the contractor, if any, and other documentation and/or information, and with the approval of the General Manager of Contracts/Procurement, the AAO shall proceed expeditiously with an investigatory, evaluative review to clarify the allegations. In the event that the allegations are found to be valid by the AAO, said officer shall notify the Contracting Officer and Executive Director who shall send notification of such finding(s) to the contractor setting forth the appropriate remedial action.

## 7.2 GOOD FAITH NON-COMPLIANCE

- A. In cases where the AAO has cause to believe that a contractor, acting in good faith, has failed to comply with the provisions of the procedures, the AAO with the assistance and involvement of the Authority's Contracting Officer shall attempt to resolve the non-compliance through conciliation and persuasion.
- B. In conciliation, the contractor must satisfy the Authority that they have made their "Best Efforts" to achieve the agreed upon participation goals by certified MBE/WBEs. "Best Efforts" on the part of the contractor include:
  - 1. Entering a contractual relationship with the designated MBE/WBE in a timely manner, and fulfilling all contractual requirements.
  - 2. Notifying both the certified MBE/WBEs subcontractor and the Authority's AAO of any problems in a timely manner.
  - 3. Requesting assistance from the AAO in resolving any problems with certified MBE/WBEs.
  - 4. Making every reasonable effort to assist the certified MBE/WBE in the performance of its contract with the Authority.

## 7.3 WILLFUL NON-COMPLIANCE

- A. In cases where the AAO has cause to believe that any Bidder, Proposer, or Contractor has failed to comply with the provisions of these procedures, said officer shall be empowered to conduct an investigation subsequent to written direction of the General Manager of Contracting/Procurement.
- B. After affording the Bidder, Proposer or Contractor notice and an opportunity to be heard, the AAO will be authorized to recommend sanctions for each violation of these procedures. Such sanctions may include, but are not limited to:
  - 1. Declare the bid or proposal as non-responsible and the Bidder/Proposer ineligible to receive the award of the contract or any other future contracts.
  - 2. Suspension from doing business with the Authority for a set period of time.
  - 3. Debarment.
  - 4. Withholding of payments under the contract.
  - 5. Other relief the AAO deems necessary, proper, and in the best interest of the Authority.

## PART VIII: APPEALS

### 8.1 STANDARDS OF APPEAL: AFTER THE CONTRACT HAS BEEN AWARDED

A Bidder, Proposer, or Contractor may appeal a decision pursuant to any action taken under the provisions of Part VII: Compliance Review, by filing a written grievance with the AAO. An appeal by the Bidder, Proposer or Contractor under this section shall not stay the AAO's finding(s).

### 8.2 WRITTEN GRIEVANCE

- A. The grievance shall set forth the reasons supporting it. The grievance shall be filed within ten (10) working days of the date that the finding, recommendation, proposal or other relief becomes effective. Failure to grieve in a timely manner shall be deemed a waiver of said right or breach of the conditions of this policy.
- B. If a person requests a hearing at the time the grievance is filed, the AAO shall schedule a hearing within seven (7) working days of the date the grievance is filed, unless the person requesting a hearing agrees to a continuance provided it is not contrary to best interest of the Authority to permit the delay. The AAO shall notify in writing, the person filing the grievance, of the date, time and place of the hearing.
- C. If a hearing is not requested, the AAO shall make a determination and notify the contractor within (7) working days.

### 8.3 HEARING

Five (5) working days prior to a scheduled hearing, the AAO shall issue and serve a written notice, together with a copy of the grievance as filed, to all persons named in the grievance. Such persons may be required to appear before a hearing panel at the date, time and place specific in the notice.

#### 8.3.1 PANEL

- A. The Executive Director shall designate a panel of three (3) or more individuals, one (1) of whom will be a member of the Affirmative Action Oversight Committee, to preside at such hearing, and to render a written decision on the grievance.
- B. A party may request testimony from any person when it is determined that such testimony may assist in the resolution of the grievance. All proceedings will be transcribed and a record shall be maintained.
- C. Any person or heads of departments named in the grievance may file a written answer to the grievance, and may appear at such hearing in person.

- D. The panel shall not be bound by the strict rules of evidence prevailing in the courts of law or equity.

#### 8.3.2 TESTIMONY

- A. The testimony taken at the hearing shall be under oath.
- B. The parties have a right to request that the notes of testimony be transcribed.
- C. Testimony shall be taken by the panel and the person filing the grievance and person (s) and heads of departments named in the grievance shall be given an opportunity to be heard.

#### 8.4 DECISION

- A. Within twenty (20) working days after the conclusion of the hearing, the panel shall render a written decision as to the validity of the grievance, as well as an appropriate recommendation.
- B. A copy of the decision shall be sent by U.S. certified mail, returned receipt requested, to the grievant.

#### 8.5 EFFECT OF A PENDING DECISION

Pending a decision by the panel, the Philadelphia Housing Authority's Executive Director may stay any action pertaining to the grievance, if such stay is determined to be in the best interest of the Authority.

### PART IX: AFFIRMATIVE ACTION OVERSIGHT COMMITTEE

The Philadelphia Housing Authority Board of Commissioners shall appoint an Affirmative Action Oversight Committee to monitor and evaluate the implementation and administration of the Affirmative Action Contract Compliance Program. The Oversight Committee shall have as its membership, at least one (1) member of the Board of Commissioners, Executive Director, General Counsel, and other individuals from the Authority's community at large. The Committee will prepare periodic reports for the Board and address related issues as requested by the Board of Commissioners.



**SCHEDULE OF PARTICIPATION  
"CERTIFICATION OF BEST EFFORTS"**

Specification Number: \_\_\_\_\_

Name of Bidder: \_\_\_\_\_

MBE/WBE	Detailed Description of Work	M/WBE PARTICIPATION		
		DOLLAR AMOUNT \$	MBE%	WBE%
<b>NAME:</b>  <b>ADDRESS:</b>  <b>PHONE NO.:</b>  <b>IRS ID#:</b>  <b>CERT. NO.:</b>  <b>CERT. AGCY:</b>	<p align="center"> <b>YES</b>   <b>NO</b>  <input type="checkbox"/>   <input type="checkbox"/>   Will any of this work be subcontracted by the M/WBE? (See Note #3)  <input type="checkbox"/>   <input type="checkbox"/>   Will bidder assist M/WBE with any of this work? (See Note #4)                 </p>			
<b>NAME:</b>  <b>ADDRESS:</b>  <b>PHONE NO.:</b>  <b>IRS ID#:</b>  <b>CERT. NO.:</b>  <b>CERT. AGCY:</b>	<p align="center"> <b>YES</b>   <b>NO</b>  <input type="checkbox"/>   <input type="checkbox"/>   Will any of this work be subcontracted by the M/WBE? (See Note#3)  <input type="checkbox"/>   <input type="checkbox"/>   Will bidder assist M/WBE with any of this work? (See Note #4)                 </p>			
<b>DUPLICATE THIS FORM IF YOU ARE LISTING MORE THAN TWO (2) M/WBE SUBCONTRACTORS</b> <b>PLEASE NOTE:</b> <ol style="list-style-type: none"> <li>1. A binding commitment must have been achieved with the M/WBE for the detailed work and dollar amount stated on this form.</li> <li>2. M/WBE listed above must be certified by a certifying agency in order to be credited towards the required minimum participation goals.</li> <li>3. If the M/WBE intends to subcontract more than 10% of the work detailed on this form, such subcontractors, description of work, and dollar amount must be listed on a duplicate copy of this form.</li> <li>4. If the bidder plans to supply the M/WBE with materials, personnel or equipment, such assistance must be listed on this form in the block marked "Detailed Description of work."</li> <li>5. Any change to this schedule (the named M/WBE, description of work, or dollar amount) must be approved in advance by the Affirmative Action Officer (AAO).</li> </ol>				



DOCUMENTATION OF BEST EFFORTS

Specification Name  
Number: \_\_\_\_\_ of Bidder: \_\_\_\_\_

CERTIFIED MINORITY/WOMEN OWNED BUSINESSES  
UNAVAILABLE TO PARTICIPATE IN THE CONTRACT.

List below the name of all certified minority/women owned businesses whose interest in the contract were solicited, but who were unavailable to work on this project or were unable to prepare a quote. State the reasons for the unavailability of certified minority/women owned businesses. In order to facilitate verification and avoid delays in contract awards, it is requested that each business listed below be identified on the "Affidavit of Unavailability of Certified Minority/Women Owned Businesses" (Page K-28).

INFORMATION AND ASSISTANCE PROVIDED TO CERTIFIED  
MINORITY/WOMEN OWNED BUSINESSES.

Include names and addresses of all certified minority/women owned businesses that you provided with plans, specifications, and requirements of the contract. Detail all assistance you provided to interested certified minority/women owned businesses and all your efforts at negotiation for specific sub-bids, and include any advertisements soliciting their participation.

I do hereby attest that I have exerted best efforts, but have been unable to obtain the required minimum participation goals for the following reason: \*

---

Company Name

---

Specification Number

---

Name (Signature)

---

Title

\*You may attach supplemental pages and documentation if necessary.

**10 AFFIDAVIT OF UNAVAILABILITY OF CERTIFIED  
MINORITY/WOMEN OWNED BUSINESSES**

Specification  
Number: \_\_\_\_\_

Name  
of Bidder: \_\_\_\_\_

I, \_\_\_\_\_, do hereby attest that

I was offered an opportunity to bid on the contract for:

\_\_\_\_\_  
(Description of Contract)

by \_\_\_\_\_  
(Name of Prime Bidder)

but was unavailable to participate/unable to prepare a quote (strike inappropriate phrase)  
for the following reasons:\*

\_\_\_\_\_  
Name of Certified Minority/Women Owned Business

\_\_\_\_\_  
Address and Phone Number

\_\_\_\_\_  
Signature of Principal of Certified Minority/Women  
Owned Business

\_\_\_\_\_  
Title

\_\_\_\_\_  
Certifying Agency and Number

\*You may attach supplemental pages and documentation if necessary.

GUIDELINES FOR JOINT VENTURING

**BETWEEN A PRIME CONTRACTOR AND A CERTIFIED  
MINORITY/WOMAN-OWNED BUSINESS ENTERPRISE**

If a Prime Contractor has made arrangements to enter into a joint venture partnership with either a certified MBE or WBE, the following criteria must be met in order to receive credit towards the minimum participation goals (MPGs):

- A. The MBE/WBE partner(s) must be certified by a governmental entity authorized by law to certify such enterprises prior to bid/proposal submittals.
- B. The MBE/WBE partner(s) must be substantially involved in all phases of the contract including, but not limited to, the performance, with its own work force, a portion of the on-site work, and administrative responsibilities such as bidding, planning, staffing and daily management.
- C. The business arrangement must be customary (i.e., each partner shares in the risk and profits of the joint venture commensurate with their ownership interests).
- D. If the certified partner(s) is a MBE, its participation may be credited to the extent of the partner's ownership interest in the joint venture. However, it will still be required to meet the WBE goal or vice versa.

11 JOINT VENTURE QUESTIONNAIRE

If you intend to receive credit towards the minimum participation goals (MPGs) by entering into a joint venture partnership with a certified MBE/WBE, you must complete this questionnaire and submit it along with your bid/proposal.

1. NAME OF THE JOINT VENTURE \_\_\_\_\_

2. ADDRESS OF THE JOINT VENTURE \_\_\_\_\_

3. TELEPHONE NUMBER (      ) \_\_\_\_\_

4. CONTACT PERSON & TITLE \_\_\_\_\_

5. IDENTIFY BELOW ALL OF THE FIRMS WHICH COMPRISE THE JOINT VENTURE PARTNERSHIP(S). IDENTIFY WHETHER THE FIRM IS A CERTIFIED MBE/WBE. INCLUDE CERTIFICATION NUMBER AND AGENCY WHERE APPLICABLE, AND INDICATE THE PERCENTAGE OF JOINT OWNERSHIP INTEREST.

NAME:

ADDRESS:

TELEPHONE NUMBER:

MBE \_\_\_\_\_ WBE \_\_\_\_\_

IRS ID#

CERTIFICATION NUMBER:

PERCENTAGE  
OF OWNERSHIP \_\_\_\_\_

CERTIFYING AGENCY:

---

NAME:

ADDRESS:

TELEPHONE NUMBER:

MBE \_\_\_\_\_ WBE \_\_\_\_\_

IRS ID#

CERTIFICATION NUMBER:

PERCENTAGE  
OF OWNERSHIP \_\_\_\_\_

CERTIFYING AGENCY:

---

NAME:

ADDRESS:

TELEPHONE NUMBER:

MBE \_\_\_\_\_ WBE \_\_\_\_\_

IRS ID#

CERTIFICATION NUMBER:

PERCENTAGE  
OF OWNERSHIP \_\_\_\_\_

CERTIFYING AGENCY:

---

6. DESCRIBE, IN DETAIL, THE BUSINESS PURPOSE OF THE JOINT VENTURE PARTNERSHIP AND THE ROLE OF EACH FIRM IN THE JOINT VENTURE. INCLUDE INFORMATION REGARDING DAILY MANAGEMENT, BIDDING, PLANNING, ON-SITE WORK, AND STAFFING. ATTACH SUPPLEMENTAL PAGES IF NECESSARY.
- 
- 

7. ATTACH A COPY OF THE JOINT VENTURE AGREEMENT.

Any changes to the joint venture agreement attached hereto or to this questionnaire, including changes in any of the arrangements described herein, must be approved in advance by the Authority's Affirmative Action Officer.

Each undersigned does hereby attest that the foregoing statements are true and correct.

\_\_\_\_\_  
NAME OF FIRM

\_\_\_\_\_  
NAME OF FIRM

\_\_\_\_\_  
SIGNATURE OF FIRM'S  
AUTHORIZED AGENT

\_\_\_\_\_  
SIGNATURE OF FIRM'S  
AUTHORIZED AGENT

\_\_\_\_\_  
PRINTED NAME

\_\_\_\_\_  
PRINTED NAME

\_\_\_\_\_  
TITLE

\_\_\_\_\_  
TITLE

\_\_\_\_\_  
DATE

\_\_\_\_\_  
DATE

PHILADELPHIA HOUSING AUTHORITY  
SECTION THREE COMPLIANCE PROGRAM

CHEMICAL WATER TREATMENT SERVICES at VARIOUS PHA LOCATIONS.  
SOLICITATION NUMBER P-004372-R

PART III

FORMS AND INSTRUCTIONS FOR COMPLETION

### 3.1. EXISTING EMPLOYEE LIST WORKSHEET

#### INSTRUCTIONS FOR COMPLETION OF FORM - 1

- A. Project Name/Location: Self-explanatory
- B. Developer/Contractor/Applicant
- C. Date: Self-explanatory

Please complete FORM - 1 by providing a list of current employees anticipated to work on this project that are not new hires. Be advised, that anyone not listed on this submission is presumed to be a "NEW HIRE" on this project for the purpose of Section 3 requirements. NOTE: If you need additional space, please reproduce or copy FORM - 1 and attach to the original.





### 3.2. HIRING PLAN WORKSHEET

Q1. Will anyone be hired as a result of this project? (Please circle your answers.)

Yes

No

If the response to Q1. was yes, please complete FORM - 2.

#### INSTRUCTIONS FOR COMPLETION OF FORM - 2

Please fill our FORM - 2 concerning all the positions anticipated as necessary to complete this project.

- (A) Job Category: Please specify the categories of construction trade jobs and additional other jobs not already listed but necessary on this project.
- (B) Total number of Expected HOURS spent on the job in each category: These numbers should reflect both existing and new employee time.
- (C) Total Number of Expected EMPLOYEES in each category of jobs: These numbers should include both existing employees and new hires.
- (D) Total Number of Expected NEW HIRES in each category: These numbers should reflect the total number of expected employees in each category, minus the number of existing employees in each category.
- (E) Total Number of Expected SECTION 3 NEW HIRES in each category: This number should reflect all the low and very low-income individuals the contractor intends to hire in order to comply with the numerical goals of Section 3.
- (F) Expected HIRE DATE (S) of new hires by category: This column should be completed to reflect the progression of work on a project, in other words, when new hires will be needed on the job by category.
- (G) TOTALS: Please provide totals for each of the columns indicated. The number in the "Total number of expected SECTION 3 NEW HIRES" column, to the greatest extent feasible.

For example, if the total number of NEW HIRES for a project is 20, then the total number of SECTION 3 NEW HIRES should be 6, based on 30 percent of the aggregate number of new hires for one year period beginning in FY 1997 and continuing thereafter.

**HIRING PLAN FORM-2**

JOB CATEGORY  (A)	Total #of Expected HOURS spent on the Job in each category  (B)	Total # of Expected EMPLOYEES in each category  (C)	Total # of Expected NEW HIRES in each category  (D)	Total # of Expected SECTION 3 NEW HIRES in each category  (E)	Expected HIRE DATE(S) of new hires by category (note: there could be more than one date in each category)  (F)
Professionals:*					
Technicians:**					
Office/Clerical					
Construction Work by Trade					
Trade:					
Trade:					
Trade:					
Other:					
Totals: (G)					

\*Professionals are defined as people who have special knowledge of an occupation (i.e. supervisors, architects, surveyors, planners and computer programmers).

\*\*Technicians are defined as people who work in direct support of engineers or scientists, utilizing theoretical knowledge of fundamental scientific, engineering, mathematical, or draft design principles.

3.3. TRAINING PLAN WORKSHEET

Q2. Will there be any training opportunities on this project?  
(Please circle your answers.)

Yes                      No

If the response to Q2. was yes, please complete FORM - 3

INSTRUCTIONS FOR COMPLETION OF FORM - 3

- (A) Areas of Anticipated Training in Connection with this Project: please list.
- (B) Number of Expected Training Hours Available by Training Area category: please list.
- (C) Type of Training Available: self-explanatory
- (D) Opportunities Available by Training Area to Section 3 Residents: please respond with either a "yes" or "no" to indicate whether training will be available for low and very low-income individuals (Section 3 Residents) by training area category.
- (E) Comments: self-explanatory.



### 3.4. CONTRACTING PLAN WORKSHEET

Q3. Will there be any contracts or subcontracts let as a result of this project?  
(Please circle your answers.)

Yes

No

If the response to Q3. was yes, please complete FORM - 4.

#### INSTRUCTIONS FOR COMPLETION OF FORM - 4

- (A) List Each Contract/Subcontract anticipated in connection with this project and Describe Briefly: self-explanatory.
- (B) Approximate Dollar Value of each contract/subcontract: self-explanatory.
- (C) Construction (C) or Non-Construction (NC) contract/subcontract: self-explanatory.
- (D) Section 3 Business Concern (Y/N): Indicate whether this contract/subcontract will be with a Section 3 business concern. Note: For all businesses that are identified as Section 3 business concerns on this contracting plan, a Section 3 business concern affidavit (form - 7) must be submitted for each.
- (E) Please provide the expected Ethnic/Racial Code of the contractor/subcontractor. See table on the bottom of the form.
- (F) Female Owned Business (Y/N): self-explanatory.

CONTRACTING PLAN

FORM-4

List Each and Describe Briefly (A)	Approximate Dollar Value (B)	Construction (C) or Non-Construction (NC) (C)	Section 3 Business Concern (Y/N) (D)	Ethnic Racial Code (E)	Female Owned Business (Y/N) (F)
1.	\$				
2.	\$				
3.	\$				
4.	\$				
5.	\$				
6.	\$				
7.	\$				

Ethnic/Racial Codes:

- 1. White American
- 2. African American
- 3. Native American
- 4. Hispanic American
- 5. Asian Pacific American
- 6. Hasidic Jew



3.6. SUBCONTRACTOR ACTIVITY REPORT  
WORKSHEET

Q4. Are there any contracts or subcontracts let as a result of this project?  
(Please circle your answers.)

Yes

No

If the response to Q4. was yes, please complete FORM - 5.

INSTRUCTIONS FOR COMPLETION OF FORM - 5

- (A) Contract Number: List Contract Number of project.
- (B) HUD Funding Source: List HUD source of funds.
- (C) Date: List today's date.
- (D) Contractor: Write the name and address of your general contractor.
- (E) Project Name and Location.
- (F) Actual Construction Start Date: State the date the construction began.
- (G) Name of Subcontractor: List the names of the subcontractors separately.  
State their address and their Tax I.D. number.
- (H) Amount of Contract: State dollar amount of the contract with each subcontractor.
- (I) Ethnic/Racial Code: Using the Ethnic/Racial Codes listed at the bottom of the page,  
please indicate the ethnic/racial composition of each subcontractor.
- (J) Gender Code: Using the Gender Codes listed at the bottom of the page, please indicate  
the gender of each subcontractor.
- (K) Section 3 Business Concern: For each subcontractor, indicate whether the subcontractor  
is a Section 3 Business Concern. Each Contractor or subcontractor identified and  
documented as a Section 3 business concern will provide evidence of a commitment to  
subcontract in excess of twenty-five (25) percent of the dollar award of all subcontracts  
to be awarded.
- (L) Types of Services Provided: For each subcontractor, indicate the type(s) of services  
provided by the subcontractors. (Including construction and supplies)
- (M) Anticipated Start Date: Indicate the anticipated start and completion date of each  
subcontract.

**SUBCONTRACTOR ACTIVITY REPORT  
FORM-5**

Contract Number:		HUD Funding Source:		Date:		
(A)	(B)	(C)				
Contractor:		Address:				
(D)						
Project Name and Location:		Actual Construction Start Date:				
(E)	(F)					
Name of Subcontractor Complete Address and Tax I. D. Number	Amount of Contract	Ethnic/Racial Code	Gender Code	Section 3 Business Concern (Y/N)	Type (s) of Services Provided (Including Supplies)	Anticipated Start and Completion Date:
(G)	(H)	(I)	(J)	(K)	(L)	(M)
#:	\$					From:
#:	\$					To:
#:	\$					From:
#:	\$					To:
#:	\$					From:
#:	\$					To:

- Ethnic/Racial Codes:
- 1. White American
  - 2. African American
  - 3. Native American
  - 4. Hispanic American
  - 5. Asian Pacific American
  - 6. Hasidic Jews

3.7. SECTION 3 RESIDENT AFFIDAVITS  
WORKSHEET

Q5. Are any of your employees listed as Section 3 residents on your certified payroll? (Please circle your answers.)

Yes

No

If the response to Q5. was yes, please complete FORM - 6

INSTRUCTIONS FOR COMPLETION OF FORM - 6

1. Provide employee's current address.
2. Indicate whether the employee is a resident of public housing.
3. Indicate the total number of individuals in the employee's family.
4. By using the table, indicate the annual income for the employee 's family for the last year. If the family size is over 8, list the annual income for the family.
5. The form should be signed by the employee and notarized.

After the form is completed by an employee, his or her employer is responsible for collecting the form and delivering the form to PHA. The form for any employee must be delivered to PHA when the employee is first listed as a Section 3 resident on a Certified Payroll Form. Each person who fills out this form must be able to verify the information if requested.



3.8. Section 3 Business Concern Affidavit Worksheet

Q7-1. Will there be any contracts or subcontracts let us a result of this project?  
(Please circle your answers.)

Q7-2. Will any of the contracts described on the Contracting Plan (FORM-4) be with Section 3 business concerns?

Yes No  
Yes No

If the responses to both Q7-1 and Q7-2 were yes, please have each of the businesses identified on the Contracting Plan (FORM-4) as Section 3 business concerns, complete FORM - 7. A separate FORM - 7 should be given to and completed by each Section 3 business concern.

INSTRUCTIONS FOR COMPLETION OF FORM-7

- I. 1. Provide the full legal name of the business.
2. Provide the current address of the business.
3. Indicate whether the business is a corporation, a partnership, a sole proprietorship or a joint venture.
4. Provide the name of the project and all or the addresses involved in the entire project.
5. Describe briefly the contract or subcontract that the business anticipates undertaking for the project. This should be the same information as in the first column on the Contracting Plan (FORM-4).

II.1. Please indicate whether the business is a Section 3 business concern. A "Section 3 business concern" is a business concern that either:

(a) is at least 51%-owned by Section 3 residents,

(b) has full-time, permanent employees, at least 30% of whom either (i) are currently Section 3 residents, or (ii) have been employed by the business for three years or less and were Section 3 residents at the time when the business first hired them, or

(c) has committed to subcontract in excess of 25% of the dollar award of all subcontracts to be let in connection with the project to businesses that qualify under (a) or (b) above.

A "business concern" is a business entity formed in accordance with state law and which is licensed under state, county or municipal law to engage in the type of business activity for which it was formed.

2. A "Section 3 business concern - with category preference is defined as a Section 3 business concern that either.

(a) is at least 51%-owned by section 3 residents, all of whom live in the project's service area, or

(b) has full-time, permanent employees, at least 30% of whom live in the project's service area and either (i) are currently Section 3 residents, or (ii) have been employed by the business for three years or less and were Section 3 residents at the time when the business first hired them (category 1 business); or

(c) is at least 51% owned by Section 3 residents who live in other PHA housing developments not in the project's service area, or whose full-time permanent employees, includes 30% of these Section 3 residents (category 2 business); or

(d) HUD Youth-build programs being carried out in the metropolitan area in which Section 3 covered assistance is expended (category 3 business); or

(e) has committed to subcontract in excess of 25% of the dollar award of all subcontracts to be let in connection with the project to businesses that qualify under (a) or (b) above. (category 4 business)

4. Identify whether the business has been selected to carry out any HUD Youthbuild program.

III. The title of the person signing the affidavit should be inserted. The affidavit must be signed, dated and notarized. The name of the person signing the affidavit must be typed or legibly printed below his/her signature.

SECTION 3 BUSINESS CONCERN AFFIDAVIT  
FORM-7

The undersigned being first duly sworn, on oath, represents, warrants, certifies, deposes and says, under penalty of law, as follows:

I. BASIC INFORMATION

The following information is true and correct:

1. Name of Company: \_\_\_\_\_
2. Company Address: \_\_\_\_\_  
\_\_\_\_\_
3. Type of business (corporation, partnership, sole proprietorship, joint venture):  
\_\_\_\_\_
4. Project Name and address(es): \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
5. Name/type of contract: \_\_\_\_\_

II. TYPE OF SECTION 3 BUSINESS CONCERN

For purposes of this section, please refer to the attached instructions for the meanings of the terms "Section 3 Business Concern," and "Section 3 Business Concern with Category-Preference" and "HUD Youthbuild Program". (Please circle your answer.)

Is the Company a Section 3 Business Concern?

Yes No If "yes," please go on to question #2. If "no," please go directly to Part III below.

Is the Company a Section 3 Business Concern – With Category Preference?

Yes No If "yes," please go directly to Part III below. If "no," please go on to question #3.

Has the Company been selected to carry out any HUD Youthbuild Program?

Yes No Please go on to Part III.

III. VERIFICATION

The Company hereby agrees to provide, upon request, documents verifying the information provided above.

Under penalty of perjury, I certify that I am the \_\_\_\_\_  
\_\_\_\_\_ (Title) of the Company, that I am authorized by the Company to execute this affidavit on its behalf, that I have personal knowledge of the certifications made in this affidavit and that the same are true.

Name (signature) \_\_\_\_\_

Name (printed) \_\_\_\_\_

Commonwealth of Pennsylvania

County of \_\_\_\_\_

Subscribed and sworn to before me this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_

\_\_\_\_\_  
Notary Public

My Commission Expires: \_\_\_\_\_

3.9. SECTION 3 RESIDENTS TERMINATION FORM  
WORKSHEET

You may want to make copies of this form so that you are able to meet your weekly obligation.

Q8. Did you terminate any Section 3 residents this week?  
(Please circle your answers.)

Yes

No

If the response to Q8. was yes, please complete FORM - 8

INSTRUCTIONS FOR COMPLETION OF FORM - 8

- (A) Contractor's Name/Address: List contractor's name and address of the project.
- (B) Contract Number: List contract number.
- (C) Report Period: State dates for the week of which this document is reporting.
- (D) Employee Name: Write the name(s) of the terminated Section 3 employee(s).
- (E) Social Security Number: State the employee(s) social security number.
- (F) Position Held: State the position held by the employee(s).
- (G) Start Date: State the start date of the employee(s).
- (H) Finish Date: State the finish date of the employee(s).
- (I) Signature: Original signature of an official of the company.
- (J) Title: Title of the official who signed document.
- (K) Date: Date the company official signed the document.





## **IMPORTANT NOTICE TO ALL RESPONDANTS!**

### **SECTION 3 REQUIREMENTS**

Please complete the following Section 3 documents thoroughly. Proposals that qualify for Section 3 participation but lack the completed Section 3 forms and plans ***will be deemed non-responsive and will not be considered for award.***

If you have any questions regarding Section 3, please contact the Sourcing Manager responsible for this solicitation or go to:

[http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/fair\\_housing\\_equal\\_opp/section3/section3brochure](http://portal.hud.gov/hudportal/HUD?src=/program_offices/fair_housing_equal_opp/section3/section3brochure)

Section 3 applies when the contractor is providing a service such as:

Architecture, Construction, Renovation, Landscaping, Accounting, Security, etc....

But does not apply to:

Vendors that provide supplies such as:

Paper, Office Supplies, Building Supplies, Automotive Vehicles, Computers, etc.

To clarify, all service contracts and all subcontracts are subject to Section 3 compliance except those for "routine maintenance." PHA's interpretation regarding what constitutes "routine maintenance" would include services such as filter replacement, boiler systems maintenance, fire-safety equipment maintenance and the like. Renovation projects such as those for conversion of vacant units would not fall under routine maintenance. If you have questions, call the Sourcing Manager responsible for this solicitation.



## **SECTION 3 PROGRAM OVERVIEW REQUIRED FOR RECIPIENTS OF PHA CONTRACTS**

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### **HUD's Section 3 Program**

Section 3 is a provision of the Housing and Urban Development (HUD) Act of 1968 [12 U.S.C. 1701u and 24 CFR Part 135]. Section 3 ensures that economic opportunities generated by certain HUD financial assistance shall, to the greatest extent feasible, be consistent with existing Federal, State, and local laws and regulations and directed to low and very low income persons. These economic opportunities are particularly given to recipients of government assistance for housing, and to business concerns which provide economic opportunities to low and very low income persons.

### **Meaning of "To the Greatest Extent Feasible"**

A recipient of a Section 3 Covered Contract must make every effort within their disposal to meet the regulatory requirements of Section 3. As part of the Section 3 Covered Contract, potential vendors or contractors are required to have Section 3 residents make up at least 30% of the aggregate number of new hires during the life of the contract (e.g., 3 out of 10 new employees shall be Section 3 Residents if the need to hire is triggered to complete a Section 3 Covered Project/Activity PHA provides every potential contractor an action plan to assist with the recruitment and hiring of Section 3 Residents. *(See Section 3 Solicitation Evaluation Action Plan and Self-Certification)* The action plan provided is a demonstration of the "Greatest Extent Feasible" by utilizing strategies that will specifically target Section 3 Residents and businesses for employment and economic opportunities.

### **Eligible residents of Section 3 opportunities**

Section 3 regulations require that, in public housing programs, compliance efforts shall be directed to provide training and employment opportunities to Section 3 residents in the following order of priority:

1. A PHA resident
2. A low- or very low-income person residing in the City of Philadelphia in which the Section 3 covered assistance is expended:
  - a. Low Income - family's income does not exceed 80% of median income
  - b. Very Low Income - family's income does not exceed 50% of median income

*See Section 3 Prior to Bid Contract Forms for Section 3 Income limits.*

### **Responding to a PHA Section 3 Covered Contracts for Solicitation**



As a recipient of a PHA awarded Section 3 Covered Contract, all vendors or contractors are required to comply with the requirements of Section 3 throughout the life of the contract. As part of each bid or proposal response submitted, the respondent must do one of the following, if the need to hire is triggered respective to the time of the contract:

1. Vendor can identify themselves as a Section 3 business concern and are excluded from the need to hire. A business concern is:
  - a. any business that is 51% or more owned by a Section 3 Resident (*complete Section 3 Prior to Bid Forms 1, 6, 7a-c, and 9b and complete Solicitation Evaluation Action Plan and Self Certification pages 4-9 are due upon proposal submission*) ;or
  - b. a workforce consisting of 30% or more full time Section 3 Residents or persons who were Section 3 Residents within 3 years of employment (*complete Section 3 Prior to Bid forms 1-3, 6,7ac,e, and 9a and completion of Solicitation Evaluation Action Plan and Self Certification pages 4-9 are due upon proposal submission*); or
  - c. a business subcontracts more than 25% of the contract amount to Section 3 business concerns (vendor must identify subcontractor and complete the forms from options a or b depending on the subcontractor business concern status)

*A list of pre-qualified business concerns is available, from PHA, upon request.*

*Note: Business concern status is approved upon submission of all materials listed. Status must be met at the time of proposal and prime contractors cannot claim Section 3 status by further subcontracting.*

2. If a vendor is does not possess Section 3 business concern status, it must agree to have Section 3 residents make up at least 30% of their aggregate number of new hires. *Complete Section 3 Prior to Bid forms 1-3 and Solicitation Evaluation Action Plan and Self Certification, pages 4-9 are due upon proposal submission ;*

*Note: Completion of all Section 3 Prior to Bid Forms and Solicitation Evaluation Action Plan and Self Certification pages are due upon proposal submission.*

## **Other Economic Opportunities**

Circumstances may occur when a vendor or contractor is not in need of new hires or is unable to find qualified individuals to fill their needed positions. In these instances vendors or contractors have the **voluntarily option to provide** “Other Economic Opportunities” which include:

- Providing training that leads to economic self-sufficiency (*complete Section 3 Prior to Bid forms 10 and Solicitation Evaluation Action Plan and Self Certification, pages 4-9 are due upon proposal submission*); or
- Contributing to Section 3 scholarship for PHA residents (*complete Section 3 Prior to Bid forms 10 and Solicitation Evaluation Action Plan and Self Certification, pages 4-9 are due upon proposal submission*).

To qualify for the Other Economic Opportunities option, vendors or contractors **must** provide proof that they have exhausted all measures to hire or contract Section 3 residents and or businesses at the time of proposal submission.



### **After Responding to PHA a Section 3 Covered Contract for Solicitation**

1. Vendor will be notified of their proposal status.
2. PHA will provide the successful bidder, vendor/contractor with the date, time and place of a conference to confirm contract award.
3. Successful bidder, vendor/contractor will be notified of their Section 3 compliance responsibilities upon contract award at a pre-contract award conference.

The conference will familiarize the vendor with the general plan of and all other requirements to the contract (e.g., EEO, Labor Standards, and Section 3 Reporting Requirements & Provide List of PHA's Work Ready Residents).

*\*Philadelphia Housing Authority proposals are subject to review by a nine member board of commissioners. PHA is dedicated to creating employment and/ or economic opportunities for our communities guided by the HUD Act of 1968. The completed documentation above will allow for the most up to date information from potential vendors during the decision making process.*



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### **4 Steps to Responding to a PHA Section 3 Solicitation**

***Complete the following steps prior to responding to a PHA Section 3 Solicitation / RFP and submit all required forms and documentation.***

#### **Included Documents:**

- **Section 3 Program Overview Required for Recipients of PHA Contracts**
- **Section 3 Solicitation Evaluation Action Plan and or Self-Certification.**
  - **Section 3 Prior to Bid Contract Forms 2013**

**Step 1: Review Section 3 Program Overview Required for Recipients of PHA Contracts document**



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**Step 2: Identify business status referencing the Responding to PHA Solicitation section of the Section 3 Program Overview 3 Overview Required For Recipients of PHA Contracts and complete the required forms**

**Step 3: Complete the Section 3 Solicitation Evaluation Action Plan and Self Certification and all applicable forms in the Section 3 Prior to Bid Contract Forms**

**Step 4: Submit all documents from steps 2 & 3 to:**

*\*Photocopy all completed forms, prior to submission, for you records*

### **Section 3 Solicitation Evaluation Action Plan and or Self Certification Confirmation**

- **Directions:** Complete all applicable sections of this plan and return only the pages that apply to your business. All businesses must submit pages 4 - 9.

**Methodology:**

- The Section 3 information contained in the following pages is to be inserted in its entirety into every solicitation for work or contracts by the Authority, its contractors and sub-



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contractors. This document works in conjunction with the Section 3 Program Overview Required for Recipients of PHA Contracts to perform the following:

- a. Self-Certification & Confirmation of the methods elected for responding to a Section 3 RFP as referenced in the Section 3 Program Overview Required for Recipients of PHA Contracts.
  - b. Supportive documents to the Section 3 Program Overview Required for Recipients of PHA Contracts for the Vendor to understand how to demonstrate the “Greatest Extent Feasible”, to recruit Section 3 Residents and ensure bid response effectively demonstrates its commitment to create economic opportunities to low and very low income residents.
- All contractors requiring any sub-contractors MUST issue this package and receive the completed required forms below on pages 4-9 before issuing any contracts.
  - Any contractor not meeting these requirements will have violated the Section 3 regulation and their contract may and likely will be terminated. If any contractor is terminated for failure to meet Section 3 requirements they will not be able to win awards on any other HUD funded contracts anywhere.



### Section 3 Clause

#### **Training and Employment Opportunities for Residents in the Project Area (Section 3, HUD Act of 1968; 24 CFR 135)**

(a) The work to be performed under this contract is subject to the requirements of section 3 of the Housing and Urban Development Act of 1968, as amended, 12 U.S.C. 1701u (section 3). The purpose of section 3 is to ensure that employment and other economic opportunities generated by HUD assistance or HUD-assisted projects covered by section 3, shall, to the greatest extent feasible, be directed to low- and very low-income persons, particularly persons who are recipients of HUD assistance for housing.

(b) The parties to this contract agree to comply with HUD's regulations in 24 CFR Part 135, which implement section 3. As evidenced by their execution of this contract, the parties to this contract certify that they are under no contractual or other impediment that would prevent them from complying with the Part 135 regulations.

(c) The contractor agrees to send to each labor organization or representative of workers with which the contractor has a collective bargaining agreement or other understanding, if any, a notice advising the labor organization or workers' representative of the contractor's commitments under this section 3 clause, and will post copies of the notice in conspicuous places at the work site where both employees and applicants for training and employment positions can see the notice. The notice shall describe the section 3 preference, shall set forth minimum number and job titles subject to hire, availability of Section 3 apprenticeship and training positions, the qualifications for each; and the name and location of the person(s) taking applications for each of the positions; and the anticipated date the work shall begin.

(d) The contractor agrees to include this section 3 clause in every subcontract subject to compliance with regulations in 24 CFR Part 135, and agrees to take appropriate action, as provided in an applicable provision of the subcontract or in this section 3 clause, upon a finding that the subcontractor is in violation of the regulations in 24 CFR Part 135. The contractor will not subcontract with any subcontractor where the contractor has notice or knowledge that the subcontractor has been found in violation of the regulations in 24 CFR Part 135.

(e) The contractor will certify that any vacant employment positions, including training positions, that are filled (1) after the contractor is selected but before the contract is executed, and (2) with persons other than those to whom the regulations of 24 CFR Part 135 require employment opportunities to be directed, were not filled to circumvent the contractor's obligations under 24 CFR Part 135.

(f) Noncompliance with HUD's regulations in 24 CFR Part 135 may result in sanctions, termination of this contract for default, and debarment or suspension from future HUD assisted contracts.



**All Contracts and All Contractors must meet Section 3 compliance by:**

Contractors must provide this package to all sub-contractors **(If Applicable)** when soliciting bids; meet all the same processes in A-F; and provide preference to all sub-contractors meeting the definitions as stated in Item II on pages 1-2 in that order of priority when all factors remain equal between Section 3 and non-Section other respondents.

- A. Giving notice of any and all opportunities for employment and contracting to the local PHA and other low and very low income area residents and businesses by running ads, distributing flyers, community announcements, letter to targeted persons, newsletters, etc. as far in advance of the opportunity as possible.
- B. Clearly stating the requirements for applying for and achieving the opportunity and that the project is paid by "Section 3 Covered funds under the HUD Act of 1968".
- C. Utilizing the Section 3 Clause when soliciting any work.
- D. Hold informational or "How to Apply" meetings when possible prior to requesting bids or taking applications so the residents or businesses are encouraged to apply for the opportunity.
- E. Help link residents or businesses to local resources that may be available to help prepare them for applying for and achieving the opportunity.
- F. Work with the Authority in developing a communication and follow up process to track and report all Section 3 application and hiring activities to ensure the reporting of compliance efforts, and that contracting and sub-contracting are accurate.
- G. Provide Preference in hiring and contracting to Section 3 applicants and contractors when all factors are equal for the opportunity including price and salary requests.



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**Contractor or Vendor Business Certification**

Name of Business \_\_\_\_\_

Address of Business \_\_\_\_\_

Type of Business (Check One):    Corporation    Partnership    Sole Proprietorship    Other

Description of Business Activities:  
\_\_\_\_\_

All firms and individuals intending to do business with the Philadelphia Housing Authority MUST complete and submit this Action Plan and submit it with their bid, offer, or proposal. Any solicitation response that does not include this document (completed, signed, and notarized) will be considered non-responsive and not eligible for award.



**Contractor Self-Certification of Business Concern Status**

**I am certifying as a Section 3 business concern and requesting preference to comply with requirements of Section 3 throughout the life of the contract (Select only one option):**

1. Vendor identifying themselves as a business concern that is 51% or more owned by a Section 3 Resident:
  - a. A business claiming business concern status as a Section 3 Resident-Owned Business Concern (ROB) entity and has completed *forms 1, 6, 7a-c, and 9b* :

Initial here to select this option \_\_\_\_\_

- b. A business claiming business concern status as based on its workforce of 30% or more full time Section 3 Residents or persons who were Section 3 Residents within 3 years of employment and has completed *forms 1-3, 6, 7ac,e, and 9a*; or

Initial here to select this option \_\_\_\_\_

- c. the business subcontracts more than 25% of the contract amount to Section 3 business concerns (vendor must identify subcontractor and submit completed required forms for option a or b depending on the subcontractor business concern status)

- Provide a list of intended subcontract Section 3 business(es) with subcontract amount
- Provide certification & all supporting documentation for each planned subcontract Section 3 Business

Initial here to select this option \_\_\_\_\_

*Note: Business concern status is approved upon submission of all materials listed. Status must be met at the time of proposal and prime contractors cannot claim Section 3 Status by further subcontracting. Additional documentation is required for joint ventures that claim this status.*



**Non-Business Concern Self Certification**

**I am NOT certifying as a qualified Section 3 Business Concern but, if the need to hire is triggered I agree to have Section 3 residents make up at least 30% of my permanent full-time new hire staff.**

1. If a vendor is not of business concern status, they must agree to have Section 3 residents make up at least 30% of their permanent full-time new hire staff as needed and has completed *forms 1-3*.

Initial here to select this option \_\_\_\_\_

**Please identify the methods you will employ to secure Section 3 Residents/Persons (check all that apply)**

- Distribute Flyers door-to-door to ALL local public housing authorities
- Post notice on the Authority's web site
- Run multiple advertisements in the local paper announcing the hiring opportunities
- Post signs at the entrance to the job site that it is a Section 3 covered project
- Notify residents and local community organizations including shelters and churches
- Defer to any list of Employment Readiness trained residents provided by the Authority
- Other: \_\_\_\_\_

I anticipate my total number of employees for this contract to be \_\_\_\_ and \_\_\_\_ will be Section 3 qualified.

*Note: This will be the same number reflected on Form#2 of Section 3 Prior to Bid Contract Forms 2013*



**Non-Business Concern Self Certification if No Hiring is Needed**

**I am NOT certifying as a qualified Section 3 Business Concern, have no hiring needs at this time and/or unable to identify qualified Section 3 Residents. I voluntarily agree to commit funding from my contract to provide Other Economic Opportunities in place of the 30% hiring requirement.**

1. Contractors providing Other Economic Opportunities can contribute to Section 3 scholarship or provide training that leads to economic self-sufficiency for PHA Residents. To qualify for the Other Economic Opportunities option, contractors must provide proof that they have exhausted all measures to hire or contract Section 3 Residents and completion of *form 10*.

**Please choose the opportunity you will provide**

- Scholarship – Contribute to Section 3 scholarship for PHA residents in the amount of 3% for non-construction and 5% for construction or more, of the total contract award.
- Training – Provide training that leads to economic self-sufficiency. Training curriculum must accompany this option. *(Contractor understands that if Job Site training is completed by having the trainee complete work comparable to HUD defined employment categories, the trainees must be paid Davis-Bacon wages and covered under their workers compensation insurance)*

Initial here to select this option and complete Form # 10 \_\_\_\_\_

**-or-**

**I am NOT certifying as a qualified Section 3 Business Concern and have no hiring needs at this time, time and/or unable to identify qualified Section 3 Residents.**

**-AND-**

**I “DO NOT “voluntarily agree to commit funding from my contract to provide Other Economic Opportunities in place of the 30% hiring requirement.**

1. Contractors must complete and initial the following below:

\_\_\_\_\_ I do not anticipate any new hires on this contract.

\_\_\_\_\_ I do not anticipate any new contracting by my firm on this contract.

\_\_\_\_\_ If the need to hire is triggered throughout the duration of the contract, I commit to have Section 3 residents make up at least 30% of the aggregate number of new hires during the life of the contract (e.g., 3 out of 10 new employees shall be Section 3 Residents).

\_\_\_\_\_ If the need to hire is triggered throughout the duration of the contract; I do agree to exercise the “Greatest Extent Feasible” for recruitment and employment of Section 3 Residents

Check all methods you will employ to secure Section 3 Residents/Persons if the regulation is triggered by the need to hire:

- Distribute Flyers door-to-door to ALL local public housing authorities



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- Post notice on the Authority's web site
  - Run multiple advertisements in the local paper announcing the hiring opportunities
  - Post signs at the entrance to the job site that it is a Section 3 covered project
  - Notify residents and local community organizations including shelters and churches
  - Defer to any list of Employment Readiness trained residents provided by the Authority
- Other: \_\_\_\_\_



### **Self-Certification & Required Actions to Perform “To the Greatest Extent Feasible”**

The contractor will work with the Authority property managers and staff to notify residents of any opportunities afforded under our contract. The contractor will partner with the Authority by giving preference of any employment opportunities to the Section 3 persons or concerns that have successfully completed the authorities most recent or previous employment readiness type training. It is the contractor’s intent to partner with the Authority in selecting new employees or businesses from the list they provide, or to execute its own company sponsored training. The contractor will seek to have the Authority provide a referral for a qualified training firm that can also provide technical assistance in working with the Section 3 covered persons and/or businesses to advise the contractor on how best to comply with the HUD regulations.

Should the scope of work or duties of the contractor change to a degree requiring a modification of the work force needs, the contractor shall put forth a good faith effort to fill vacant positions with the Authority resident applicants and/or very low-income area residents.

The contractor shall recruit or attempt to recruit from the Section 3 area the necessary number of low-income and very low-income residents through documentation of the following:

#### **Local media advertising**

1. Signs placed at the proposed site for the project and the Authority’s offices and flyers hand delivered to all local public housing apartments
2. Maintain a list of all low-income area residents who have applied, either on their own or from referral from any source, and employ such person if otherwise eligible and if a trainee vacancy exists.
3. Provide evidence that the contractor has not filled vacant employment positions in its workforce immediately prior to undertaking work in an attempt to circumvent Section 3 regulations.
4. Review and determine if low-income and very low-income residents meet minimum hiring qualifications. Applicants meeting such minimum qualifications, but not hired due to lack of job openings or for other operations reasons, will be placed on a priority hiring list and offered positions upon the occurrence of the first available appropriate job opening.

#### **If subcontract is needed to meet Section 3 Compliance:**

If a subcontract is needed to meet Section 3 compliance, contractors must demonstrate the greatest extent feasible to direct their efforts to award Section 3 Covered Contracts to Section 3 business concerns.

#### **Record Keeping:**

The contractor shall maintain on file all records related to employment and job training of low-income and very low-income residents or other such records, advertisements, legal notices, brochures, flyers, publications, assurances of compliance from subcontractors, etc, in connection with this contract. If there



is a report that is needed as part of the submission you agree to provide it timely. The contractor shall, upon request, provide such records or copies of records the Authority, its staff, or agents.

**Reports:**

The contractor shall provide reports as required in connection with the contractor specifications. All certified and regular payrolls shall clearly detail which employees qualify under Section 3.

**Certification:**

The contractor will certify that any vacant employment positions, including training positions that filled:

- 1) After the contractor is selected but before the contract is executed, and
- 2) With persons other than those to who the regulations of 24 CFR Part 135 require employment opportunities to be directed, were not filled to circumvent the subcontractor's obligations under 24 CFR Part 135.

**Grievance and Compliance:**

The contractor or subcontractor hereby acknowledges that they understand that any low-income and very low-income resident of the project area, for him/her or as representatives of persons similarly situated, seeking employment or job training opportunities in the project area, or any eligible business concerns seeking contract opportunities may file a grievance if a good faith effort was not followed. The grievance must be filed with HUD not later than one hundred eighty (180) calendar days from the date of the action (or omission) upon which the grievance is based.

I attest that the above information is true and correct.

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

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

STATE OF \_\_\_\_\_

\_\_\_\_\_ COUNTY

I, the undersigned county, a Notary Public in and for said County and in said State, hereby certify that, \_\_\_\_\_, whose name as \_\_\_\_\_ of \_\_\_\_\_ is signed to the foregoing conveyance and who is known to me, acknowledged before me on this day, that, being informed of the contents of the



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foregoing conveyance, he/she, in his/her capability as \_\_\_\_\_, and with full county, executed the same voluntarily for and as the act of said corporation.

Given under my hand and official seal, this the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_.

Notary Public:

My Commission Expires: \_\_\_\_\_



### **Section 3 Contract Compliance Cure and Termination Processes**

This language is a component of contract compliance with the work you are responding to in this solicitation. It is being placed in the Section 3 compliance section for ease of reference and due notice. The full requirements are provided in the Section 3 Clause found elsewhere in this package or in the HUD on page 3 of this document.

All contractors claiming a Preference in contracting by meeting any of the three qualifications including; a Resident Owned Business, Hiring 30% of New Hires and/or Sub-contracting at least 25% of total award to a Section 3 Concern shall maintain that status throughout the life of the contract. Failure to meet this requirement will result in penalties up to and including contract termination. Any contractor triggering the regulation by doing any hiring or contracting once they are awarded the contract through execution must comply with the Section 3 regulatory requirements by executing the efforts on their Certification and Action Plan in accordance with the Authority's Section 3 Action Plan.

The Authority shall execute these remedies to achieve compliance in this order:

- A. Based on the first observation or report of non-compliance with Section 3, the contractor will be sent an e-mail by the Section 3 Compliance Coordinator notifying them of their non-compliance issue. The contractor will have a total of **60 Calendar Days (2-30 Day Attempts Consecutive Notifications)** to bring the contract into compliance.
- B. The contractor shall have up to **30 additional calendar days (3<sup>rd</sup> Notice /Attempt)** from the most recent notice of non-compliance **to meet compliance as a final cure period or justify in writing why it cannot meet compliance.** The contractor must render a response to the contractor within **10 business days** of receipt of its letter of reason for non-compliance. If the Authority deems the cause to be unacceptable, at its option, can extend the cause period one time for up to **5 Business Days** to allow the contractor to identify and secure "Other Economic Opportunities" options as described in "**Section 3 Program Overview Required For Recipients of PHA Contracts Document**", or
- C. If the contractor fails to take any corrective action to bring the contract into compliance **within 30 calendar days** from the most recent notice of non-compliance (**3<sup>rd</sup> Notice / Attempt as Described in B. Above**), or the Authority does not accept any of their corrective plans or justifications for non-compliance, the Authority must terminate the contract immediately. **All funds due to the contractor shall be held** and a financial workout of the agreement **shall proceed within 72 hours of termination pending PHA's Legal Dept.**, further correspondence and instruction. The workout is to include a contract deduct equal to the total Section 3 contract violation of opportunities provided to non-Section 3 residents or business because they were not offered according to the contract and regulation award. All remaining funds can be paid out based on work satisfactorily completed per the agreement.
- D. If a contractor fails to bring the contract into compliance, after the **3<sup>rd</sup> attempt (90 Calendar Days)** the Authority must withhold all future payments until the contract is in compliance.

Any contractor claiming to meet Section 3 compliance by committing to hire residents, fund training itself **shall meet compliance within a total of (30-60 calendar days ) of contract start** or the Authority shall halt all work related to the agreement and the actions listed in steps A-D in this section shall apply.

The contractor understands and agrees that PHA's Section 3 Team will conduct routine compliance site visits and review a PHA provided FTE/Section 3 Certified Payroll Report and or Section 3 Hiring Confirmation Forms to ensure that the Section 3 hires, hours and positions are clearly identified and compliance. Contractor agrees to provide information each time in an Excel or Word format each time the payroll is processed throughout the contract.

PHILADELPHIA  
HOUSING  
AUTHORITY

**SECTION 3 POLICIES AND FORMS**  
REVISED AUGUST 2013



**Philadelphia Housing Authority**  
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## INTRODUCTION

This Policy Statement and Forms Package:

- Sets forth the policy, goals, and preferences of the Philadelphia Housing Authority ("PHA") in the administration of its Section 3 program, which is intended to ensure that employment and other economic opportunities generated by certain financial assistance provided by the U.S. Department of Housing and Urban Development ("HUD") shall, to the greatest extent feasible, and consistent with existing Federal, State, and local laws and regulations, be directed to low- and very low-income persons, and to business concerns which provide economic opportunities to low- and very low-income persons;
- Summarizes the standards and procedures to be followed to ensure that the objectives of Section 3 are met that are set out in 24 C.F.R Part 135;
- Provides the guidelines for contractors to follow; and
- Contains forms for contractors to demonstrate compliance.

Special emphasis is given to hiring residents of PHA communities. The requirements and forms follow.

For more information visit HUD's website at:  
**<http://www.hud.gov/section3>**

or visit PHA's website at:  
**<http://www.pha.phila.gov/section3jobs>**

Educational workshops for residents, vendors and prospective businesses are available. Workshops include Section 3 Policies and Procedures, as well as Contracting Process review. Sessions and times can be found at:

**<http://www.pha.phila.gov/business-opportunities.aspx>**



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## **BID OR PROPOSAL EVALUATION**

Vendors who fail to address Section 3 requirements may be deemed nonresponsive. To avoid being nonresponsive, the proposal or bid documents submitted to the PHA must include the Contractor's Affidavit and Compliance Commitment, and all applicable attachments and supporting documentation, supporting claims of compliance by hiring, contracting, or other economic opportunities, in the proposal or bid documents submitted to the PHA.

A vendor who fails to address Section 3 requirements sufficiently may receive a written notice from the PHA specifying the defects in the Section 3 information. Vendors receiving such notice will be given no more than 5 business days to address the deficiencies and provide all required documents. Failure to respond within the 5 days will result in PHA declaring the bidder or respondent non-responsive. The contract or bid will then be awarded to the next lowest bidder or to the respondent with the next highest score. Where the selection is based procurement, PHA will award to the firm that is the next highest ranked.

In evaluating proposals, PHA will give credit to firms that employ Section 3 Residents that are not new hires and that will be assigned to the Section 3 Covered Project for which the proposal is submitted.



## FORMS – PRIOR TO BID

The following forms should be submitted prior to or at the time of a bid in anticipation of receiving a contract award to document Section 3 efforts and compliance.

**Form 1** – Existing Employee List. This list identifies who will work on the PHA project. Any workers added after initiation of work will be assumed to be new hires.

**Form 2** – Hiring Plan. This form requires the contractor to specify all positions anticipated to be involved in work. Included is a narrative statement regarding plans.

**Form 3** – Hiring and Contracting Goals Narrative. This form is used to describe the efforts made in order to comply with Section 3 Hiring and Contracting goals.

**Form 4** – Contracting Plan Worksheet. This form lists each contract to be used and applies Section 3 and other criteria to the contracts.

**Form 5** - Subcontractor Activity. This form applies if subcontracting will be performed. Subcontractors will be listed, along with Section 3 information.

**\*Form 6** – Resident Affidavit. This form is to be filed out for each Section 3 Resident currently hired or hired in the future.

**\*Form 7** – Section 3 Business Concerns. This worksheet provides backup information regarding Section 3 Business Concerns involved in performance of work.

**Form 10** – Utilization Plans. If Tier 3 is selected, contractors shall provide the information in this form.

**\*Only complete forms if requesting Section 3 Business Concern Preference in proposal evaluation**



## FORMS – DURING CONTRACT

The following forms should be submitted after a contract is issued or during the contract lifespan as required (such as personnel changes) to document Section 3 efforts and compliance:

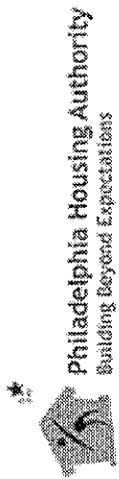
**Form 6** – Resident Affidavit. This form is to be filed out for each Section 3 Resident currently hired or hired in the future.

**Form 7** – Section 3 Business Concerns. This worksheet provides backup information regarding Section 3 Business Concerns involved in performance of work.

**Form 8** – Employee Termination Tracking Form. This form collects information on termination of Section 3 Residents.

**Form 9** – Resident and Business Concern Affidavit. This affidavit is to be executed by the Contractor and/or subcontractor to demonstrate Section 3 qualifications.

**Form 11** -FTE Report. This document tracks employees, trades, hours worked, and projects. This form should be completed monthly for construction projects and quarterly for non-construction projects.



**FORM - 1**  
EXISTING EMPLOYEE LIST

A. PROJECT NAME AND LOCATION: \_\_\_\_\_

B. DEVELOPER/CONTRACTOR /APPLICANT: \_\_\_\_\_ C. DATE: \_\_\_\_\_

EMPLOYEE NAME/ADDRESS	SOCIAL SECURITY NUMBER (LAST 4 DIGITS)	JOB CATEGORY/TRADE





**CONTRACTING PLAN (if applicable)                      FORM-4**

List Each and Describe Briefly Subcontractor (A)	Approximate Dollar Value (B)	Construction (C) or Non-Construction (NC) (C)	Section 3 Business Concern (Y/N) (D)	Ethnic Racial Code (E)	Female Owned/ Minority Owned Business (Y/N) (F)
1.	\$				
2.	\$				
3.	\$				
4.	\$				
5.	\$				
6.	\$				
7.	\$				

Ethnic/Racial Codes:

- 1. White American
- 2. African American
- 3. Native American
- 4. Hispanic American
- 5. Asian Pacific American
- 6. Hasidic Jew





**CERTIFICATION FOR RESIDENT SEEKING SECTION 3 PREFERENCE  
IN TRAINING AND EMPLOYMENT (if applicable)**

**FORM-6**

**SECTION 3 SELF-CERTIFICATION AND SKILLS DATA FORM**

The purpose of this form is to comply with HUD Section 3 administration and certification regulations.

I, \_\_\_\_\_, am a legal resident of the City of Philadelphia, and meet the income eligibility guidelines for a low- or very-low-income person as published on the next page. The Income Limits Summary is located on page 11.

My home address is:

Must be a Street address not a P O Box #		Apt Number		
City	State	Zip	Home #	Cell #

Graduated High School or GED (month/year) _____	I Read and speak English fluently Yes or No
Attended College, Trade, or Technical School Yes/No	Graduated Yes/No      Year Graduated ____

**Check the Skills, Trades, and/or Professions you have been employed in or contracted to do for others:**

- |  |  |  |   |
|--|--|--|---|
| <input type="checkbox"/> Drywall Hanging | <input type="checkbox"/> Drywall Finishing | <input type="checkbox"/> Interior Painting     | <input type="checkbox"/> Framing                    |
| <input type="checkbox"/> HVAC            | <input type="checkbox"/> Electrical        | <input type="checkbox"/> Interior Plumbing     | <input type="checkbox"/> Exterior Plumbing          |
| <input type="checkbox"/> Siding          | <input type="checkbox"/> Cabinet Hanging   | <input type="checkbox"/> Door Replacement      | <input type="checkbox"/> Trim/Carpentry             |
| <input type="checkbox"/> Stucco          | <input type="checkbox"/> Window/Door Repl. | <input type="checkbox"/> Construction Cleaning | Exterior Framing                                    |
| <input type="checkbox"/> Data Entry      | <input type="checkbox"/> Receptionist      | <input type="checkbox"/> Sales                 | <input type="checkbox"/> Telephone Customer Service |
| <input type="checkbox"/> Administrative  | <input type="checkbox"/> Teaching/Training | <input type="checkbox"/> Personal Care Aide    | <input type="checkbox"/> Landscaping                |
| <input type="checkbox"/> CDL License     | <input type="checkbox"/> Roofing           | <input type="checkbox"/> Concrete/Asphalt Work | <input type="checkbox"/> Heavy Equipment Operator   |
| <input type="checkbox"/> Fencing         | <input type="checkbox"/> Metal/Steel Work  | <input type="checkbox"/> Welding               | <input type="checkbox"/> Other _____                |

I am certifying as a Section 3:  Person seeking Training or  Person seeking employment

(Check all that apply):

I am PHA or HCV Lease holder , Provide Client ID # \_\_\_\_\_  I live in Philadelphia Jurisdiction

The last four digits of my social security number are: \_\_\_\_\_

My total annual household income is \$ \_\_\_\_\_ There are a total of \_\_\_\_\_ people living in my household

I have provided acceptable documentation as evidence of my section 3 status to vendor / contractor for verification:



- Copy of Lease
- Copy of Receipt of Public Assistance
- Copy of Evidence of participation in a public assistance program
- Other Evidence: \_\_\_\_\_

I certify that all of the information given above is true and correct. If found to be inaccurate, I understand that I may be disqualified as an applicant and/or a certified Section 3 individual which may be grounds for termination of training, employment, or contracts that resulted from this certification. I attest under penalty of perjury that my total household income annually, based on my total household size as listed above is at or below the income amount for that specific size at the time of this document is being signed and notarized. I understand that proof of this statement may be requested in the future.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

STATE OF \_\_\_\_\_ )  
\_\_\_\_\_  
COUNTY)

I, the undersigned county, a Notary Public in and for said County and in said State, hereby certify that, \_\_\_\_\_, whose name as \_\_\_\_\_ of \_\_\_\_\_ is signed to the foregoing conveyance and who is known to me, acknowledged before me on this day, that, being informed of the contents of the foregoing conveyance, he/she, in his/her capability as \_\_\_\_\_, and with full authority, executed the same voluntarily for and as the act of said corporation.

Given under my hand and official seal, this the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

Notary Public

My Commission Expires: \_\_\_\_\_

**Purpose:**  
The purpose of Section 3 of the Housing and Urban Development of 1968 (12 U.S.C. 1701u) (Section 3) is to ensure that employment and other economic and business opportunities generated by HUD Financial Assistance shall be directed to the Authority Residents and other low- and very low-income persons, particularly those who are recipients of government housing assistance and to business concerns which provide economic opportunities to Residents and other low- and very low-income persons.

Section 3 resident means:

- (1) A public housing resident; or
- (2) An individual who resides in the metropolitan area or non-metropolitan county in which the section 3 covered assistance is expended, and who is:
  - I. A low-income person, as this term is defined in section 3(b)(2) of the 1937 Act (42 U.S.C. 1437a(b)(2)). Section 3(b)(2) of the 1937 Act defines this term to mean families (including single persons) whose incomes do not exceed 80% of the median family income for the 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 80% 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; or
  - II. A very low-income person, as this term is defined in section 3(b)(2) of the 1937 Act (42 U.S.C. 1437a(b)(2)). Section 3(b)(2) of the 1937 Act (42 U.S.C. 1437a(b)(2) defines this term to mean families (including single persons) whose incomes do not exceed 50% of the median family income for the area, as determined by the Secretary with adjustments made for smaller or larger families, except that the Secretary may establish income ceilings higher or lower than 50% 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.
- (3) A person seeking the training and employment preference provided by section 3 bears the responsibility of providing evidence (if requested) that the person is eligible for the preference.

Service area means the geographical area in which the persons benefiting from the section 3-covered project reside.



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### SECTION 3 INCOME LIMITS (Effective 5/10/12)

All residents of public housing developments of the Philadelphia Housing Authority qualify as Section 3 residents. Additionally, individuals residing in the City of Philadelphia, who meet the income limits set forth below, can also qualify for Section 3 status.

A picture identification card and proof of current residency is required.

#### Eligibility Guideline

Number in Household	Very Low Income	Low Income
1 individual	\$ 28,550	\$45,500
2 individuals	\$ 32,600	\$52,000
3 individuals	\$ 36,700	\$58,500
4 individuals	\$ 40,750	\$65,000
5 individuals	\$ 44,050	\$70,200
6 individuals	\$ 47,300	\$75,400
7 individuals	\$ 50,550	\$80,600
8 individuals	\$ 53,800	\$85,800





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Under penalty of perjury, I certify that I am the \_\_\_\_\_ (Title) of the Company, that I am authorized by the Company to execute this affidavit on the Company's behalf, that I have personal knowledge of the certifications made in this affidavit and that the same are true.

(Corporate Seal)

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name

F.

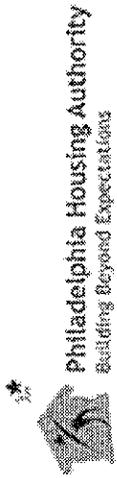
Commonwealth of Pennsylvania

County of \_\_\_\_\_

Subscribed and sworn to before me this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_

\_\_\_\_\_  
Notary Public

My Commission expires: \_\_\_\_\_



**EMPLOYEE TERMINATION TRACKING FORM  
SECTION 3 RESIDENTS FORM-8**

(A) Contractor's Name/Address of the project: \_\_\_\_\_  
 (B) Contract #: \_\_\_\_\_  
 (C) Report Period – From: \_\_\_\_\_ To: \_\_\_\_\_

EMPLOYEE NAME (D)	SOCIAL SECURITY NUMBER (E)	POSITION HELD (F)	START DATE (G)	FINISH DATE (H)

The undersigned company official does swear or affirm that the information on this form is true and correct to the best of his or her knowledge and there is no willful intent to mislead or commit fraud.

\_\_\_\_\_  
 (I) Signature \_\_\_\_\_ (J) Title \_\_\_\_\_ (K) Date \_\_\_\_\_





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**SECTION 3 BUSINESS CONCERN AFFIDAVIT  
FORM – 9B**

I, \_\_\_\_\_, the Developer/Contractor or the authorized representative of the Developer/Contractor, hereby attests that the Business identified below is a Section 3 Business Concern. I also attest that the proofs supplied and representations made for Section 3 status are accurate as required by Section 3 of the U.S. Housing and Urban Development Act of 1968, as amended and the regulations.

\_\_\_\_\_  
Name of Section Business

\_\_\_\_\_  
Contract No.

\_\_\_\_\_  
Dollar Amount of Contract

\_\_\_\_\_  
Contact Person

\_\_\_\_\_  
Phone Number

\_\_\_\_\_  
Reporting Period

\_\_\_\_\_  
Project Name

This Section 3 Business Concern is:

\_\_\_\_\_ Corporation

\_\_\_\_\_ Partnership

\_\_\_\_\_ Sole Proprietorship

\_\_\_\_\_ Joint Venture

Qualifying Business:

1. \_\_\_\_\_ 51% owned by Section 3 low income residents.
2. \_\_\_\_\_ 30% Section 3 low income residents dollar award.
3. \_\_\_\_\_ 25% of contract work committed to subcontract to Section 3 Business Concerns.

I do certify that the above information is correct.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Title





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Acceptance / Approval By:

\_\_\_\_\_  
Senior Manager, Contract Compliance

\_\_\_\_\_  
Date





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**PHILADELPHIA HOUSING AUTHORITY**  
**SECTION 3**  
**FREQUENTLY ASKED QUESTIONS**



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## General Questions

### **What is Section 3?**

Section 3 is a provision of the Housing and Urban Development (HUD) Act of 1968 [12 U.S.C. 1701u and 24 CFR Part 135] that helps foster local economic development, neighborhood economic improvement, and individual self-sufficiency. The Section 3 program requires that recipients of certain HUD financial assistance, 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.

**Note:** Section 3 is both race and gender neutral. The preferences provided under this regulation are based on income-level and location.

### **What does “To the Greatest Extent Feasible” mean?**

A recipient of a Section 3 Covered Contract must make every effort within their disposal to meet the regulatory requirements of Section 3. By this, HUD means that as part of the Section 3 Covered Contract, potential vendors or contractors are required to have Section 3 residents make up at least 30% of their full-time staff, as needed by developing strategies that will specifically target Section 3 residents and businesses.

**Note:** Please see “SECTION 3 PROGRAM OVERVIEW REQUIRED FOR RECIPIENTS OF PHA CONTRACTS” for detailed instruction on how to respond and address Section 3 requirements in your proposal response to PHA’s solicitation.

### **What does the term “Section 3 Resident” mean?**

Section 3 regulations require that, in public housing programs, compliance efforts shall be directed to provide training and employment opportunities to Section 3 residents in the following order of priority:

1. Public housing residents
2. Persons who live in the area where a HUD-assisted project / Section 3 covered assistance are located and who have a household income that falls below HUD’s income limits
  - a. Low Income - family’s income does not exceed 80% of median income
  - b. Very Low Income - family’s income does not exceed 50% of median income



### SECTION 3 INCOME LIMITS (Effective 5/10/12)

All residents of public housing developments of the Philadelphia Housing Authority qualify as Section 3 residents. Additionally, individuals residing in the City of Philadelphia, who meet the income limits set forth below, can also qualify for Section 3 status.

A picture identification card and proof of current residency is required.

#### Eligibility Guideline

Number in Household	Very Low Income	Low Income
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4 individuals	\$ 40,750	\$65,000
5 individuals	\$ 44,050	\$70,200
6 individuals	\$ 47,300	\$75,400
7 individuals	\$ 50,550	\$80,600
8 individuals	\$ 53,800	\$85,800

A person seeking the training and employment preference provided by Section 3 bears the responsibility of providing evidence that the person is eligible for the preference. See Form-6 (Certification For Resident Seeking Section 3 Preference In Training And Employment) and Form 9 (Section 3 Resident Affidavit) of PHA Section 3 Forms.



### **What is a New hire?**

New hires are defined as full-time employees hired for permanent, temporary, or seasonal employment. Building trades personnel are considered to be new hires at the start of each construction project.

### **How can vendors/contractors find Section 3 residents to employ and/ or train?**

Businesses can recruit Section 3 residents in public housing developments (PHA) and in the neighborhoods where the HUD assistance is being spent. Effective ways of informing residents about available training and job opportunities are:

- Contacting resident organizations, local community development and employment agencies
- Distributing flyers
- Posting signs
- Placing ads in local newspapers

What are the requirements of Section 3 Resident's upon employment with a contractor ?

Non-PHA households claiming Section 3 status must be prepared to submit evidence of income and residency in Philadelphia County at the time of hire. As part of the Section 3 compliance process, vendors will be required to document that employees hired, meet the residency and income requirements through the use of the Resident Affidavit (Form 6 in Section 3 Prior to Bid Forms)

### **What does the term Section 3 Business Concern" mean?**

A Section 3 business concern can be any type of business, such as a sole proprietorship, partnership, or a corporation, properly licensed and meets all legal requirements to perform the contract under consideration. Business concerns are locally specific to the Philadelphia jurisdiction and are exempt from the hiring requirement. Additionally, a business concern must meet one of the following criteria:

- a) A business that is 51 percent or more owned by Section 3 residents also known as a Resident Owned Business.
- b) Employs Section 3 residents for at least 30 percent of its full-time, permanent staff; or



- c) Provides evidence of a commitment to subcontract to Section 3 business concerns, 25 percent or more of the dollar amount of the awarded contract

**Note:** Firms that claim Section 3 business concern status by subcontracting (Option c) to other Section 3 businesses must require that the subcontractor(s) provide ownership or workforce documentation as applicable for submission to PHA.

Note: Status must be met at the time of proposal and prime contractor cannot claim Section 3 status by further subcontracting.

### **What is a Section 3 Joint Venture?**

A Section 3 Joint Venture is an alliance of two or more independent vendors that each respectfully qualify as a Section 3 business concern, formed by a written joint venture agreement to engage in and carry out a specific project for which purpose the business concerns combine their efforts, resources, and skills for joint profit. This joint venture is not necessarily on a continuing or permanent basis for conducting business in general but is a project by project determination that vendors concluded warrants this formation to carry out a specific project. Additionally a Section 3 joint venture:

1. Is responsible for a clearly defined portion of the work assigned to each member of the joint venture to be performed and holds management responsibilities in the joint venture;
2. Performs at least 25% of the work and is contractually entitled to compensation proportionate to its work. e.g., 4 Business Concerns Vendors each respectively performing 25% of the work by combining their efforts, resources, skills for joint profit and project completion.
3. Partners cannot use subcontracting to establish their status as a Section 3 business concern.

### **What are the conditions and documentation to qualify as a Section 3 Joint Venture?**

To meet Section 3 Contracting goals, PHA is permitted to contract with an association of firms at least one of which meets the PHA's definition of a Section 3 Business Concern. Documentation and compliancy requirements for joint-ventures are discussed below.



1. The joint-venture agreement must be in writing and must be submitted as part of the response to any bid or proposal solicited by the PHA. In order for PHA to evaluate the “adequacy” and “capacity”, the agreement must describe in sufficient detail the area(s) of work assigned to each member of the joint-venture.
2. The joint-venture agreement must reference a completed and fully executed joint venture certification, as provided by the PHA, which must also be attached to the joint venture agreement as an exhibit.
3. PHA requires that the Section 3 joint-venture partner is a bonafide Section 3 business, therefore the joint-venture shall provide documentation that shows that the Section 3 partner meets the definition of a business concern by type a. or b. stated in “What does the term Section 3 Business Concern Mean” section of this document. Section 3 joint-venture partners cannot use subcontracting to establish their status as a Section 3 business concern.
4. Section 3 requires that the joint-venture partner be responsible for a clearly defined portion of the work. Proposals or bids must specify the labor hours assigned to and the compensation to be received by the Section 3 joint-venture firm.
5. Section 3 firms in the joint venture must provide a scope of work and have the capacity to complete the work assigned under the joint venture agreement (referenced in number

**Are Section 3 residents or business concerns guaranteed employment or contracting opportunities under Section 3?**

Section 3 is not an entitlement program and there are no guarantees. Residents and businesses must be able to demonstrate that they have the ability or capacity to perform the specific job or successfully complete the contract that they are seeking. Section 3 requirements provide preference to Section 3 residents and business concerns, but not a guarantee.

**What is a Section 3 Clause?**

The contract provisions set forth in 24 C.F.R § 135.38.

**What is the “PHA PRE-APPRENTICESHIP PROGRAM”?**

Program sponsored by PHA in which its residents participate in union-exam preparation course in construction skills. Recipients of a Section 3 Covered Contract are encouraged to use this program as a resource to assist with the employment of Section 3 residents.



## **Applicability**

### **What is a Section 3 Covered Assistance / Funding?**

Assistance provided under any HUD housing or community development program that is expended for work arising connection with Section 3 Covered Project.

### **Who is considered a recipient of Section 3 Covered Assistance or HUD Funding?**

A recipient is any entity which receives Section 3 Covered assistance, directly from HUD or from another recipient. The Philadelphia Housing Authority receives Section 3 Covered assistance. All Recipients are required to comply with Section 3 regulations which are triggered by the need to hire and subject to the numerical goals set forth by HUD. This includes subcontractors.

**Note:** See Recipients Responsibilities & Compliancy Requirements Overview section in this document for further information on requirements of Section 3 and numerical goals.

### **What is a Section 3 Covered Activity?**

A Section 3 Covered Activity is any activity which is funded by Section 3 Covered Assistance including public housing assistance.

### **What is a Section 3 Covered Contract?**

A contract or subcontract (including a professional service contract) awarded by a recipient or contractor for work generated by the expenditure of Section 3 Covered Assistance, or for work arising in connection with a Section 3 Covered Project.

**Note:** Contractors or subcontractors that receive contracts in excess of \$100,000 for Section 3 covered projects/activities are required to comply with the Section 3 regulations in the same manner as direct recipients (Philadelphia Housing Authority).



### **What is a Section 3 Covered Project?**

The construction, reconstruction, conversion or rehabilitation of housing (including reduction and abatement of lead-based paint hazards), purchase of supplies and materials that includes installation, other public construction which includes buildings or improvements (regardless of ownership) assisted with housing or community development assistance. The requirements of Section 3 Applies on a per contract or project basis and is not cumulative.

- Excluding routine maintenance, repair and replacement

Note: See Recipients Responsibilities & Compliancy Requirements Overview section in this document for further information on requirements of Section 3 and numerical goals.

### **Does Section 3 apply to Procurement Contracts?**

–No. Section 3 regulations do not apply to contracts for the purchase of supplies and materials by themselves without any associated installation.

- Section 3 regulations only apply to contracts requiring manual labor or installation.

### **What is considered a Section 3 covered “non-construction” project?**

A Section 3 covered non-construction projects includes maintenance contracts, lawn-care, re-painting, routine maintenance, HVAC servicing and professional service contracts associated with construction (e.g., architectural, engineering, legal services, accounting, marketing, etc.).

### **Can recipient agencies allow residents and or businesses to “self-certify” that they meet Section 3 eligibility requirements?**

The Section 3 Regulation allows residents or businesses to “self-certify” that meet the Section 3 eligibility requirements. This self-certification does include a statement of penalty for falsifying information that is stated on the associated forms respective to the certification.



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- **Self-Certification** is acceptable and vendor/contractor bears the responsibility of obtaining and storing information relating to the size and annual income of the potential resident for employment.

Note: PHA **will only** request documents verifying this information upon request **but is not required** for submission and approval of employing Section 3 Residents. The self-certification and affidavit forms for residents are the only items required..

#### **Can a business concern self-certify that they meet Section 3 business concern status?**

Self-Certification is acceptable. However, business concern status is approved upon submission of all materials listed and can be located on the business concern affidavit forms. **Status must** be met at the time of proposal and prime contractors cannot claim Section 3 status by further subcontracting. **Note:** The documents associated with business concern status are required for submission and approval at proposal or upon request for compliancy verification purposes. **Forms and supporting documentation is required.**



## **Recipient Responsibilities & Compliancy Requirements Overview**

### **What are the Section 3 Minimum Numerical Goals for compliance?**

HUD considers public housing authorities to be in compliance with Section 3 if they meet the following minimum numerical goals:

1. **30 % of the aggregate number of new hires shall be Section 3 residents;**
2. 10 % of the total dollar amount of all covered construction contracts shall be awarded to Section 3 business concerns; and
3. 3 % of the total dollar amount of all covered non-construction contracts shall be awarded to Section 3 business concerns.

The Section 3 regulations provide that the Philadelphia Housing Authority as a direct recipient must make every effort within its disposal to make vendor/contractors (sub-recipients) aware of, and in compliance with their responsibility to meet their regulatory requirement of **(30 % of the aggregate number of new hires shall be Section 3 residents)**; while demonstrating the "Greatest Extent Feasible".

### **What is the requirement for me as a vendor?**

PHA requires that when the Section 3 regulation is triggered by a need for new hires (whether individual employees, contractors or sub-contractors), every effort within the contractor's disposal must be made, to the greatest extent feasible, to offer all available employment and contracting opportunities to its residents based on the tiers below.

### **What if a vendor has no need to hire a or find qualified Section 3 Residents or businesses at the time of Section 3 Covered Contract?**

The contractor may offer "Other Economic Opportunities" to Section 3 residents if they are unable to offer employment or contracting opportunities for any reason. Other Economic Opportunities includes employment related training to Section 3 residents and/ or contribution to PHA's Scholarship Fund. The funds will be provided to schools, institutes, etc., via a third party to provide scholarships exclusively for PHA residents.



### **How does a vendor prove there is no need to hire and or find qualified Section 3 Residents or business at the time of the Section 3 Covered Contract?**

In situations where a new hire is needed, a vendor / contractor will be required to submit evidence that it has, to the greatest extent feasible, directed efforts to award Section 3 covered contracts or provide training & employment opportunities respectively to a Section 3 Business concern or Section 3 Resident. This includes working with PHA to assist in your recruitment efforts.

### **What are the threshold requirements for Other Economic Opportunities?**

PHA has established the following minimum threshold requirements for use of other economic opportunities:

1. For trade, construction and rehabilitation work the “value” of the other economic opportunity must equal or exceed 5% of the total contract amount plus any modifications;
2. For other types of contracts, including service contracts, the “value” of the other economic opportunity must equal or exceed 3% of the total contract amount plus any modifications

### **What are PHA Preference Tiers ?**

For Training & Employment Opportunities:

PHA's preference is to ensure that vendors direct their efforts towards the employment of PHA residents to the “Greatest Extent Feasible” in accordance with the 30% hiring goal.. In an effort to further that goal, PHA has created the following preference tier structure to assist in evaluating Section 3 performance.

#### **Tier I**

- Philadelphia Housing Authority residents/resident owned businesses at the property where the work is being performed / potential site and surrounding community
- PHA’s Pre-Apprenticeship Program graduates
- All other residents/resident owned businesses of the Philadelphia Housing Authority.

#### **Tier II**

- Low and very low income persons in Philadelphia Jurisdiction.

For Contracts:



PHA's preference is to ensure that vendors who need to subcontract to meet Section 3 30% hiring goal for hiring compliance, must demonstrate the greatest extent feasible to direct their efforts to award Section 3 covered contracts to Section 3 business concerns in order of priority provided below.

**Tier I**

- any business that is 51% or more owned by a Section 3 Resident (*complete Section 3 Prior to Bid Forms 1, 6, 7a-c, and 9b and complete Solicitation Evaluation Action Plan and Self Certification pages 4-9 are due upon proposal submission*) ;or
- a workforce consisting of 30% or more full time Section 3 Residents or persons who were Section 3 Residents within 3 years of employment (*complete Section 3 Prior to Bid forms 1-3, 6,7ac,e, and 9a and completion of Solicitation Evaluation Action Plan and Self Certification pages 4-9 are due upon proposal submission*); or

**Tier II**

- a business subcontracts more than 25% of the contract amount to Section 3 business concerns (vendor must identify subcontractor and complete the forms from options a or b depending on the subcontractor business concern status)

Vendors demonstrating Section 3 compliance or planned compliance at the contract bid process will be allocated additional Section 3 points, and therefore a potential higher overall score than contractors not in compliance. Recipients, developers, and contractors are encouraged to provide long-term Section 3 employment opportunities.

**What is a community or Service Area / Community Impact?**

Area within one-half (1/2) mile radius of propose Section 3 Covered Activity.

**What are the requirements of Section 3 Resident upon employment with a contractor?**



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If a new hire is needed and a Section 3 Resident is identified, that Section 3 Resident will be required to submit evidence of Section 3 status to PHA, contractor or subcontractor,. See Form 6- Certification For Resident Seeking Section 3 Preference In Training and Employment.

**How can I best demonstrate the ability and commitment to meet all regulatory requirements of Section 3 in my proposal?**

Vendors who fail to address Section 3 requirements may be deemed nonresponsive. To avoid being nonresponsive, the proposal or bid documents submitted to the PHA must include the Contractor's Affidavit and Compliance Commitment, as well as all applicable attachments for proposal or bid consideration.

**What happens if I do not submit all the needed forms and attachments with my proposal or bid?**

A vendor who fails to address Section 3 requirements sufficiently may receive a written notice from the PHA specifying the defects in the Section 3 information. Vendors receiving such notice will be given no more than 5 business days to address the deficiencies and provide all required documents. Failure to respond within the 5 days will result in PHA declaring the bidder or respondent non-responsive. The contract or bid will then be awarded to the next lowest bidder or to the respondent with the next highest score..

**Note:** Please see "SECTION 3 PROGRAM OVERVIEW REQUIRED FOR RECIPIENTS OF PHA CONTRACTS" for detailed instruction on how to respond and address Section 3 requirements in your proposal response to PHA's Solicitation.

**Will my Section 3 Commitment be verified after I submit my response?**

As part of each bid or proposal submitted, the respondent must document their workforce by position and trade. Such information will be reviewed as part of all bid proposals, and then verified at the commencement of the contract or task order. PHA will conduct periodic quality assurance checks to verify continued compliance.



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## **Record Keeping and Reporting**

### **What if it appears an entity is not complying with Section 3?**

There is a complaint process. Section 3 residents, businesses, or a representative for either may file a complaint if it seems a recipient is violating Section 3 requirements while receiving proceeds from a HUD-funded project.

### **How can Section 3 residents or Section 3 business concerns allege Section 3 violations?**

You can file a written complaint with your local HUD Field Office using form HUD 958.

### **Will HUD require compliance?**

Yes. HUD monitors the performance of contractors, reviews annual reports from recipients, and investigates complaints. HUD also examines employment and contract records for evidence that recipients are training and employing Section 3 residents and awarding contracts to Section 3 businesses.

- The Section 3 regulations provide that contractors and subcontractors demonstrate compliance by employing Section 3 Residents as 30% of the aggregate number of new hires while using the "Greatest Extent Feasible".

### **What is the Vendor/Contractor Reporting Requirements?**

Contractors must comply with the Section 3 numerical goals compliancy requirement throughout the life of the contract. PHA will periodically audit this information. Failure to comply with the quarterly submittal of PHA reporting mechanisms, below, will result in the delay of payment.

1. Construction Contracts – FTE Report/Section 3 Certified Payroll Form & Resident Hiring Confirmation Forms.
  - FTE/Section 3 Certified Payroll Report demands the compliance of the vendor to ensure that the Section 3 hires, hours and positions are clearly identified.
2. Non-Construction Contracts- Resident Hiring Confirmation Forms Only and Proof of Hiring Start Dates (Payroll etc.)

These reports allow PHA to monitor the performance of contractors and Section 3 numerical goals for compliancy which requires annual reporting to HUD. Both reports and respective instructions will be provided upon contract award and execution.



**What should recipient agencies or contractors do if they fail to meet the numerical goals set forth in the regulation?**

Recipient agencies and their contractors must adequately document all efforts taken to comply with the requirements of Section 3, and explain why despite their efforts to the “Greatest Extent Feasible”; the Section 3 Numerical goals for compliance were not met.

**What is PHA’s responsibility in ensuring compliance?**

Agencies shall ensure compliance with Section 3 by:

- Assessing the hiring and subcontracting needs of contractors
- Regularly monitor compliance;
- Assisting and actively cooperating with the Secretary of HUD in obtaining the compliance of contractors;
- Penalizing non-compliance;
- Providing incentives for good performance;
- Refraining from entering into contracts with any contractor that previously failed to comply with requirements of Section 3

**Note:** See “Section 3 Contract Compliance Cure and Termination Processes” of Section 3 Solicitation Evaluation Action Plan Document for further details.

**What are PHA’s reporting requirements?**

PHA must document all actions taken to comply with the requirements of Section 3 and must submit a Section 3 Annual Summary Report (Form HUD-60002) for all covered funding to the Office of Fair Housing and Equal Opportunity.

**What should a vendor to be prepared for a Section 3 Compliance Audit that can occur anytime during the life of the contract?**

As part of each bid or proposal submitted, the respondent must document their workforce by position and trade. Such information will be reviewed as part of all bid proposals, and then verified at the execution of the contract, start of work and or task order. PHA will conduct periodic quality assurance checks to verify continued compliance.

**What documentation should I retain as a vendor/contractor in case I am audited for compliance verification?**



Contractors employing PHA residents must retain documentation that demonstrates any PHA residents hired. To meet Section 3 employment goals, the following documentation is required:

- a) Identified on the lease of the household

The client number for the household where PHA residency is claimed. This client number must appear on forms submitted by the vendor to verify a Section 3 hire.\

**What happens if a Section 3 Resident is employed for less than the duration of the job commitment?**

Contractors must ensure that the overall economic opportunity thresholds are met, at the following amounts:

- a) 5% of the actual contract amount if a construction contract
- b) 3% for non-construction is allocated toward "Other Economic Opportunities"

The contractor may offer "Other Economic Opportunities" which is employment related training to Section 3 Residents and or contribution to PHA's Scholarship Fund. The funds will be provided to schools, institutes, etc. via a third party to provide scholarships exclusively for PHA residents.



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For more information visit HUD's website at:

<http://www.hud.gov/section3>

or visit PHA's website at:

<http://www.pha.phila.gov/section3jobs>

## **Lead Based Paint (LBP) Procedures**

### **Unit Rehabilitation**

- Identification of LBP by consultant (XRF Testing of all painted surfaces).
- Report of LBP surfaces to be used in design.
- Using Lead Safe Work Practices, LBP surfaces to remain are to be either:
  1. Labeled and enclosed or
  2. Encapsulated or
  3. LBP is stripped off and disposed as hazardous waste.
- LBP components to be removed and disposed need no special waste handling.

### **Lead Wipe Clearance testing**

Some property exemptions (clearance not required) under 24 CFR 35.115

- Structures built after January 1, 1978
- Unit repairs due to emergency (floods, fires, etc)
- Unoccupied units that will be demolished
- Rehabilitation that does not disturb painted surfaces
- Efficiency units
- Elderly housing.

### **Demolition**

- No identification or special handling of LBP contaminated waste required for residential construction.
- Dispose as construction debris (municipal waste).

## **Asbestos Procedures**

### **Unit Rehabilitation**

- Identification and testing by consultant of suspect Asbestos Containing Material (ACM)
- Removal of ACM is required if damaged or scheduled to be disturbed by the rehabilitation.

### **Building Demolition**

- Identification and testing of suspect Asbestos Containing material (ACM)
- Removal of all friable ACM (usually pipe insulation) and damaged non-friable ACM (usually floor tile)
- Non-friable ACM may remain if in good condition and disposed with the regular demolition waste.

## **Asbestos Control Unit Fee Schedule**

### **A. Application Fees, Certification and Licensing**

1. Asbestos Project Inspector Certification, Initial and Annual Recertification	\$150.00
2. Asbestos Investigator Certification, Initial and Annual Recertification	\$150.00
3. Asbestos Laboratory Certification, Initial and Annual Recertification	\$400.00
4. Asbestos Abatement Contractor, Initial and Annual License	\$400.00
5. Asbestos Abatement Contractor Non - Refundable Filing Fee	\$30.00

### **B. Permits and Notifications**

1. Major Project Permit	2.5% of the first \$50,000.00, 1.25% of any amount over \$50,000.00
2. Major Project Notification Non - Refundable Filing Fee	\$25.00
3. Minor Project Notification Non - Refundable Filing Fee	\$25.00
4. Alternative Method Requests	\$25.00

**CITY OF PHILADELPHIA  
DEPARTMENT OF PUBLIC HEALTH  
BOARD OF HEALTH**

**ASBESTOS CONTROL REGULATION**

Philadelphia Department of Public Health  
Air Management Services  
321 University Avenue  
Philadelphia, PA 19104  
(215) 685-7576

EFFECTIVE	MAY 22, 1989
AMENDED	SEPTEMBER 25, 1989
AMENDED	MARCH 4, 1993
AMENDED	July 20, 2009

**ASBESTOS CONTROL REGULATION  
OF THE  
BOARD OF HEALTH  
CITY OF PHILADELPHIA, PENNSYLVANIA**

This Regulation is adopted pursuant to Title 6, Health Code, of the Philadelphia Code, specifically Chapter 6-600, Asbestos Projects, adopted June 26, 1986, which provides for the establishment of certain standards, procedures and other requirements for the removal, enclosure or encapsulation of asbestos or any other activity which disturbs or damages asbestos, under certain terms and conditions, through adoption of regulations by the Board of Health.

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# **ASBESTOS CONTROL REGULATION OF THE BOARD OF HEALTH**

## **SECTION I. DEFINITIONS**

- A. The following definitions apply to these Regulations:
1. **AGGRESSIVE SAMPLING.** A method of air sampling in which activity is simulated in the sample area by the use of mechanical equipment to stir up settled dust during the sampling period.
  2. **AIR MONITORING.** The process of sampling and measuring the fiber content of a known volume of air in a known period of time.
  3. **AIRLOCK.** A system for permitting the passage between a contaminated area and an uncontaminated area while restricting air movement, and consisting of a curtained doorway having at least three (3) overlapping layers of plastic sheeting.
  4. **AMENDED WATER.** Water to which a surfactant has been added.
  5. **ANSI.** American National Standards Institute.
  6. **ASBESTOS.** Asbestiform varieties of chrysotile, crocidolite, amosite, actinolite, anthophyllite, and tremolite.
  7. **ASBESTOS ABATEMENT.** Any activity, such as the removal, enclosure, or encapsulation of asbestos materials, which is designed to control the release of asbestos fibers from asbestos materials and to prevent the exposure of humans to asbestos fibers.
  8. **ASBESTOS CONTRACTOR.** Any person who contracts to perform an asbestos project.
  9. **ASBESTOS INSPECTION REPORT.** A document prepared by an independent certified asbestos investigator concerning the presence and condition of asbestos material in a building.
  10. **ASBESTOS MATERIAL.** Any substance which contains more than one percent (1%) asbestos by weight.
  11. **ASBESTOS PROJECT.** Any activity involving the removal, enclosure, or encapsulation of asbestos materials or any renovation, repair or demolition which disturbs asbestos materials.

12. **ASBESTOS PROJECT SUPERVISOR.** Any person employed by an asbestos contractor or building owner to supervise asbestos project activity.
13. **ASBESTOS WORKER.** Any person who directly performs or supervises an asbestos project.
14. **AUTHORIZED EMPLOYEE REPRESENTATIVE.** A person designated by the employees or the designated representative of an employee organization recognized or certified as the representative of the employees.
15. **BOARD.** Board of Health.
16. **BUILDING.** Any public or private commercial, industrial, or institutional structure or any residential structure which contains four (4) or more dwelling units.
17. **BUILDING OCCUPANTS.** Employees, tenants, or other persons who live, work or utilize the services offered in a building.
18. **BUILDING OWNER.** The owner of a building or his/her authorized representative.
19. **CERTIFIED ASBESTOS WORKER.** A person who has completed an approved training or review course and has received a training certificate.
20. **CFR.** Code of Federal Regulations.
21. **CLEAN ROOM.** An uncontaminated area or room which is part of the worker decontamination enclosure system with provisions for storage of workers' street clothes and protective equipment.
22. **COMMISSIONER.** Health Commissioner.
23. **CONTAINMENT BAG.** A plastic bag specifically signed to permit the removal of asbestos material without releasing asbestos fibers into the air.
24. **CRITICAL BARRIER.** Two (2) layers of plastic sheeting applied to openings occurring in a wall, the underside of ceiling construction, electrical outlets, non-removable lights, HVAC systems, windows, doorways, entranceways, ducts, grilles, grates, diffusers, floor drains, etc., that prevent the distribution of asbestos fibers to the surrounding area.
25. **DEMOLITION.** The taking out or wrecking of load-supporting structures in a building or private residence.
26. **DEPARTMENT.** Department of Public Health.
27. **DISCRIMINATORY ACTION.** Any action by an employer which adversely affects an employee with respect to any terms or conditions of employment or opportunity for promotion and which includes, but is not limited to, dismissal,

layoff, suspension, demotion, transfer of job or location, reduction in wages, changes in hours of work, or reprimand.

- 27.A. DISPOSAL BAG.** A transparent bag that when filled makes readily visible the contents of the bag.
- 28. EM.** Electron microscopy.
- 29. EMERGENCY SITUATION.** A condition requiring immediate removal or repair of less than eighty (80) square feet of friable asbestos material or less than twenty (20) linear feet of asbestos pipe covering where the failure to remove or repair such material would result in the shutting down of mechanical systems or manufacturing equipment.
- 30. EMPLOYEE.** Any person permitted or suffered to work by an employer.
- 31. EMPLOYER.** A public or private body, person, board, corporation, agency, institution, partnership, proprietorship, joint venture, fund, authority, or similar entity employing, permitting, or suffering another to work.
- 32. ENCAPSULANT.** A material which can be applied to asbestos material to prevent the release of asbestos fibers from the material either by creating a membrane over the surface (bridging encapsulant) or by penetrating into the material and binding its components together (penetrating encapsulant).
- 33. ENCAPSULATION.** The spraying or coating of exposed asbestos materials with an approved sealant to prevent the release of asbestos fibers.
- 34. ENCLOSURE.** The erection of air-tight, impact-resistant barriers around asbestos materials to prevent the release of asbestos fibers into the environment.
- 35. EPA.** United States Environmental Protection Agency.
- 36. EQUIPMENT ROOM.** An area or room which is part of the worker decontamination enclosure system with provisions for the storage of contaminated clothing and equipment.
- 37. FRIABLE ASBESTOS MATERIAL.** Any asbestos material that, when dry, can be crumbled, pulverized, or reduced to powder by hand pressure, including any asbestos material that will be crumbled, pulverized, or reduced to powder by the proposed asbestos project activity.
- 38. HEPA.** A High Efficiency Particulate Absolute (Air) filter capable of filter efficiency at ninety-nine and ninety-seven one-hundredths percent (99.97%) of a test aerosol with an average particle size of three-tenths (0.3) microns.
- 39. HVAC.** Heating, ventilation, and air conditioning.

- 40. INCIDENTAL ASBESTOS PROJECT.** A project that disturbs or damages either: (a) five (5) square feet or less of friable asbestos material at one location or (b) one (1) linear foot or less of asbestos pipe covering at one location.
- 41. INDEPENDENT CERTIFIED ASBESTOS INVESTIGATOR.** An individual approved by the Department of Public Health and employed or retained by a building owner to identify the presence and evaluate the condition of asbestos material in a building. An asbestos investigator shall not be associated with the contractor employed to perform the alteration or demolition work in the building.
- 42. INDEPENDENT CERTIFIED ASBESTOS PROJECT INSPECTOR.** A technically qualified individual approved by the Department of Public Health and employed or retained by a building owner to perform continuous monitoring of a major asbestos project. An asbestos project inspector shall not be associated with the asbestos contractor on the project.
- 43. INDEPENDENT CERTIFIED LABORATORY.** Any analytical testing laboratory approved by the Department of Public Health to analyze bulk, dust or air samples for asbestos. The laboratory utilized for analysis of samples from an asbestos project shall not be associated with the contractor performing the work on the asbestos project.
- 44. INDUSTRIAL HYGIENE.** That science and art devoted to the recognition, evaluation and control of those environmental factors or stresses, arising in or from the work place, which may cause sickness, impaired health and well-being, or significant discomfort and inefficiency among workers or among the citizens of the community.
- 45. INDUSTRIAL HYGIENIST.** An individual having a college or university degree or degrees in Engineering, Chemistry, Physics, or Medicine or related Biological Sciences who, by virtue of special studies and training, has acquired competence in industrial hygiene. Such special studies and training must have been sufficient in all of the above cognate sciences to provide the abilities:
- a. To recognize the environmental factors associated with the work place and to understand their effect on workers and their well-being;
  - b. To evaluate, on the basis of experience and with the aid of quantitative measurement techniques, the magnitude of work-related stresses in terms of impact upon workers' health and well-being; and
  - c. To prescribe methods to eliminate, control or reduce such work-related stresses when necessary to alleviate their effects on workers.

- 46. ISOLATION BARRIER.** A constructed partition that isolates the work area and is covered on the work side with two (2) layers of plastic sheeting so that it completely seals off the work area to prevent the distribution of asbestos fibers to the surrounding area.
- 47. LICENSE.** A document issued by the Department of Censes and Inspections, after approval of the Department of Public Health, authorizing a contractor to engage in the business of asbestos abatement or renovation, repair, or demolition work involving asbestos materials.
- 48. LIMITED USE STANDARD.** A maximum allowable concentration of airborne asbestos fibers established by the Department of Public Health for a building or portion thereof only for that use necessary prior to demolition.
- 49. LOCATION.** Any work area in which an asbestos project is undertaken, except that where contiguous minor asbestos project work areas may be practicably combined for the purpose of meeting the standards for major asbestos projects, such combination of minor asbestos project work areas shall comprise one location.
- 50. MAJOR ASBESTOS PROJECT.** Any project, except in a private residence, which involves, within one (1) year, the removal, enclosure, or encapsulation of or any renovation, repair, or demolition work which disturbs or damages either: (a) eighty (80) square feet or more of friable asbestos material from ceilings, walls, structural members, mechanical components, or other surfaces at one location; or (b) forty (40) linear feet or more of asbestos pipe covering at one location.
- 51. MINOR ASBESTOS PROJECT.** Any project involving, within one (1) year, the removal, enclosure, or encapsulation of or any renovation, repair, or demolition work which disturbs or damages either:
- a. more than twelve (12) square feet but less than eighty (80) square feet of friable asbestos material at one location; or
  - b. more than three (3) linear feet but less than forty (40) linear feet of asbestos pipe covering at one location; or
  - c. any asbestos project in a private residence involving more than twelve (12) square feet of friable asbestos material, or more than three (3) linear feet of asbestos pipe covering.
- 52. NESHAPS.** National Emission Standards for Hazardous Air Pollutants as prescribed in 40 CFR Part 61.
- 53. NIOSH.** National Institute for Occupational Safety and Health.

- 54. OSHA.** United States Occupational Safety and Health Administration.
- 55. PCM.** Phase contrast microscopy.
- 56. PERMIT.** A document issued by the Department of Licenses and Inspections, after approval by the Department of Public Health, authorizing a contractor or any other person to commence a major asbestos project.
- 57. PERSON.** Any individual, natural person, syndicate, association, partnership, firm, corporation, institution, trustee, agency, authority, department, bureau, or other legal entity.
- 58. PLASTIC SHEETING.** Polyethylene sheeting of six (6)-mil thickness.
- 59. PLASTICIZING.** The covering of all surfaces within a work area, which do not require asbestos abatement, with plastic sheeting.
- 60. PRIVATE RESIDENCE.** Any private residential structure which contains less than four (4) dwelling units.
- 61. REMOVAL.** The taking out or stripping of asbestos materials.
- 62. RENOVATION.** Any modification of existing structures in a building or private residence.
- 63. RE-OCCUPANCY STANDARD.** A maximum allowable concentration of airborne asbestos fibers established by the Department of Public Health for re-occupancy of a building, private residence, or portion thereof following completion of an asbestos project.
- 64. REPAIR.** Restoration, reconstruction, or reconditioning of structures or fixtures in a building or private residence.
- 65. SMALL ASBESTOS PROJECT.** Any project involving the removal, enclosure, or encapsulation of or any renovation, repair or demolition work which disturbs or damages either: (a) twelve (12) square feet or less but more than five (5) square feet of friable asbestos material at one location; or (b) three (3) linear feet or less but more than one (1) linear foot of asbestos pipe covering at one location.
- 66. STRUCTURAL MEMBER.** Any load-supporting member of a structure, such as beams or load-supporting walls, or any non-load-supporting member of a structure, such as ceilings or non-supporting walls.
- 67. SURFACING MATERIAL.** Material in a building that is sprayed-on, troweled-on, or otherwise applied to surfaces, such as acoustical plaster on ceilings and fireproofing materials on structural members, or other materials on surfaces for acoustical, fireproofing, or other purposes.

- 68. SURFACTANT.** A chemical wetting agent added to water to improve penetration.
- 69. TECHNICALLY QUALIFIED INDIVIDUAL.** An individual with professional or technical education, training, or experience, who understands the health and safety risks associated with asbestos exposure and has a working knowledge of the precautions, procedures, and equipment required for proper asbestos removal, renovation, or demolition.
- 70. THERMAL SYSTEM INSULATION.** Material in a building applied to pipes, fittings, boilers, breeching, tanks, ducts, or other interior structural components to prevent heat loss or gain, or water condensation, or for other purposes.
- 71. WET CLEANING.** The removal of asbestos fibers from surfaces and objects using cloths, mops, or other cleaning tools which have been dampened with water.
- 72. WETTABLE CLOTH.** A plaster-impregnated fiberglass webbing which is used in containment bag removal of asbestos pipe insulation to seal exposed ends of insulation remaining on pipe.
- 73. WORK AREA.** Designated rooms, spaces, or areas where an asbestos project takes place and which are separated by isolation barriers from adjacent areas.
- 74. WORKER DECONTAMINATION ENCLOSURE SYSTEM.** A system designed for the controlled ingress and egress of workers, authorized visitors, and other individuals between the work area and the non-work area consisting of a clean room, a shower room, and an equipment room and maintained separately by the use of airlocks.

## **SECTION II. LICENSES**

- A.** No asbestos contractor shall engage in an asbestos project unless the contractor has obtained a license from the Department of Licenses and Inspections.
- B.** In addition to the conditions set forth in Sections 6-503(1) and 6-602 of the Philadelphia Health Code for the issuance of licenses, the Department of Licenses and Inspections shall not issue a license authorizing any person to perform an asbestos project unless the Department has certified in writing that the applicant has complied with the following:
  - 1.** Applicant shall submit an application for a license to the Department accompanied by the fees required pursuant to Section 6-602 of the Philadelphia Health Code;
  - 2.** Applicant shall have a valid certification as an asbestos project supervisor or, where the contractor is a business, the business shall have in its employ at least one individual who has a valid certification as an asbestos project supervisor;
  - 3.** Applicant shall certify that:
    - a.** all worker protection equipment and all other equipment relating to asbestos abatement activities that are necessary to comply with the provisions of Chapter 6-600 and these Regulations will be used in asbestos abatement projects to be performed by the applicant;
    - b.** all employees engaged in asbestos projects will have valid certifications as provided in Section IV of these Regulations. (The names, addresses, and certification numbers of all asbestos workers employed by the asbestos contractor shall be provided);
  - 4.** Applicant shall submit a copy of written operating and employee-protection procedures to be followed by all employees engaged in an asbestos project; and
  - 5.** Applicant shall submit copies of any and all citations or notices of violation of any federal, state, or local law or regulation relating to an asbestos project activity which has been issued to the applicant in any jurisdiction during the prior twelve months.
- C.** All licenses shall:
  - 1.** be valid for one (1) year from the date of issuance, unless suspended or revoked sooner as provided hereafter;
  - 2.** be displayed publicly in a conspicuous place where the licensed activity is being conducted;

3. be non-assignable and non-transferable; and
  4. be conditioned upon continued compliance with the Health Code and the Regulations of the Board issued under it.
- D.** The Department of Licenses and Inspections shall not renew a license unless the Department has certified, based upon an annual review of the licensee's record, in writing, that the licensee meets the conditions, qualifications, and standards established in these Regulations by the Board.
- E.** The Department, whenever it determines that a licensee is not in compliance with the conditions of its license, shall certify such violation to the Department of Licenses and Section 6-503 of The Philadelphia Code.
- F.** The Department of Licenses and Inspections, upon a finding by the Department that an asbestos contractor has failed to comply with the provisions of Chapter 6-600 of The Philadelphia Code or these Regulations, shall deny, suspend, revoke, or refuse to renew, a license in accordance with the certification of the Department. Suspension of a license shall not generate a license fee credit, and revocation will result in fee forfeiture.
- G.** Any action taken by the Department of Licenses and Inspections pursuant to this Section may be appealed to the Board of License and Inspection Review in accordance with the procedures prescribed by that Board. While an appeal from the suspension or revocation of any license is pending, such suspension or revocation shall nonetheless be effective if the Department certifies that the violation is willful or that continued operation constitutes a menace to the public health requiring immediate corrective action.

## **SECTION III. PERMITS AND NOTIFICATIONS**

### **A. Major Asbestos Project Permit.**

- 1.** No person shall commence a major asbestos project on or after the effective date of these Regulations without first obtaining a permit for that project from the Department of Licenses and Inspections.
- 2.** The Department of Licenses and Inspections shall not issue a permit for a major asbestos project unless and until the Department has certified, in writing, that the applicant has met the following requirements:
  - a.** the applicant shall submit to the Department at least twenty (20) calendar days prior to the scheduled starting date of the major asbestos project an application accompanied by the fee required pursuant to Section 6-603 of The Philadelphia Health Code. The permit application shall include the following information:
    - (.1)** name, address and telephone number of the asbestos contractor or other person responsible for the asbestos project;
    - (.2)** name, address and telephone number of the independent certified asbestos project inspector;
    - (.3)** name and address of independent certified laboratory;
    - (.4)** name and address of asbestos waste transporter;
    - (.5)** name and address of asbestos waste disposal facility;
    - (.6)** name, address and telephone number of building owner;
    - (.7)** address and function of building (e.g., hospital, office, school);
    - (.8)** description of asbestos project, including amount and location of asbestos materials for each work area;
    - (.9)** description of procedures and related equipment that will be used to comply with the major asbestos project standards established by these Regulations, including any alternative equivalent methods proposed for work area preparation;
    - (.10)** estimated total cost of the project;
    - (.11)** scheduled starting and completion dates for the project;
    - (.12)** work schedule, including evening and weekend hours; and
    - (.13)** and any other related information which the Department shall require;

- b. the applicant shall have a valid license issued by the Department of Licenses and Inspections pursuant to Section II of these Regulations;
  - c. the applicant shall include all appropriate information and/or notifications required under the federal asbestos NESHAP, 40 CFR 61.145; and
  - d. the applicant shall certify that encapsulation, if any, will be performed in accordance with Section VI.C.5. of these Regulations.
3. The applicant shall provide a copy of the most recent asbestos project permit application to the Certified Asbestos Project Inspector at least five days prior to the commencement of the project.
  4. The Department may, in its discretion, determine that the potential division of a major asbestos project into subparts would be consistent with the safety-based requirements of these regulations, such all or parts of the project may be treated as minor asbestos projects.

**B. Annual Permit.**

1. The Department of Licenses and Inspections shall issue, with the approval of the Department, an annual permit to employers with on-going, in-house asbestos abatement projects involving continuous or intermittent asbestos project activity performed by the employer's own employees, except that where the project involves within three (3) months, the removal, enclosure or encapsulation of or any renovation, repair or demolition work which disturbs or damages either one-hundred sixty (160) square feet or more of friable asbestos material at one location, or two-hundred sixty (260) linear feet or more of asbestos pipe covering at one location, the employer must obtain a major asbestos project permit in accordance with Section III.A. of these Regulations.
2. To be eligible for an annual permit, the applicant must meet the following requirements:
  - a. the applicant shall submit an application to the Department accompanied by a non-refundable application fee of Twenty-Five Dollars (\$25), and a permit fee of Seven Hundred Fifty Dollars (\$750);
  - b. the applicant shall have a valid license issued by the Department of Licenses and Inspections pursuant to Section II of these Regulations; or if the applicant is not an asbestos contractor, he/she shall be certified by the Department of Licenses and Inspections and shall submit all documentation required by Section II.B.2. through 5., inclusive, of these Regulations;

- c. the applicant shall submit the exact location or building to be included under the annual permit; and
  - d. the applicant shall submit an annual asbestos project activity schedule, if available.
3. Employers holding a valid annual permit shall meet the following requirements:
- a. employers exempted by an annual permit from obtaining major asbestos project permits shall notify the Department at least twenty-four (24) hours prior to the commencement and completion of any asbestos project activity, except in emergency situations which require immediate abatement action. In such emergency cases, employers shall notify the Department as soon as possible. Such notification shall include: starting and expected completion dates or times of the asbestos project, location of the abatement activity, amount of asbestos material involved, amount of manpower required, and method of abatement;
  - b. all major asbestos project activity shall comply with all major project standards, except that mandatory Department pre-inspections and final inspections may not be required; and
  - c. employees engaged in on-going, in-house abatement projects shall be certified in accordance with the requirements of Sections IV of these Regulations and, where applicable, shall comply with any other duties and responsibilities imposed by these Regulations.

**C. Minor Asbestos Project Notification.**

- 1. No person shall commence a minor asbestos project without first notifying the Department and paying the fee required under Section 6-603 of The Philadelphia Health Code. Notification shall be made on forms provided by the Department and shall be received by the Department no less than twenty-four (24) hours prior to the commencement of the project.

**D. Permit Amendments.**

- 1. After either a major asbestos project permit or annual permit has been issued, the applicant shall notify the Department, in advance, of any changes in the asbestos project not accounted for in the permit application and submit an amended permit application before completion of the asbestos project.

**E. Denial, Suspension, or Revocation of Permit.**

- 1. The Department, whenever it determines that a permittee has failed to comply with the conditions of its permit, shall serve written notice of the violation upon

the permittee pursuant to Section 9-103 of The Philadelphia Code; the notice shall include the specific reasons for the intended action.

2. The Department of Licenses and Inspections, upon certification by the Department that a person has failed to comply with or meet the requirements of Chapter 6-600 of The Philadelphia Code or these Regulations, shall deny, suspend, or revoke a permit in accordance with Section 9-103 of The Philadelphia Code. Revocation of a permit shall result in the forfeiture of the permit fee.
3. Any action taken by the Department of Licenses and Inspections pursuant to this Section may be appealed to the Board of License and Inspection Review in accordance with that Board's procedures.

## **SECTION IV. CERTIFICATION**

### **A. Asbestos Workers Certification.**

1. No individual shall engage in an asbestos project worker by the Department of Licenses and Inspections.
2. The Department of Licenses and Inspections shall not issue an asbestos worker certificate unless and until the Department has certified, in writing, that the applicant has met the following requirements:
  - a. the applicant shall be at least eighteen (18) years of age at the date of application;
  - b. the applicant shall submit an application for certification accompanied by a fee of Twenty-Five Dollars (\$25) to the Department; and
  - c. the applicant shall submit:
    - (.1) the training certificate issued upon successful completion, within the prior six (6) months, of a Department-certified initial asbestos worker training course, including passage of a written examination; or
    - (.2) (a) a chronological list of asbestos abatement activities in which the applicant has participated, which at a minimum shall indicate two years of experience in asbestos project activity. The list shall include the employer's or asbestos contractor's name, address, and telephone number; and  
(b) certificates evidencing successful completion of training programs which have been reviewed and approved by the Department; or
    - (.3) a currently valid asbestos worker certification from another jurisdiction provided that such certification has been approved by the Department.
3. Asbestos worker certification shall be valid for thirteen (13) months from the completion date of a Department-certified training or review course. Where the applicant has been exempted from completing an initial training course, the certification shall be valid for thirteen (13) months from the date of issuance.
4. Certified asbestos workers may apply for renewal of their certificates to the Department, beginning thirty (30) days prior to the expiration date of the certificates, by submitting the following information:
  - a. an application for renewal of certification, accompanied by a certification renewal fee in the amount of Twenty-Five Dollars (\$25); and

- b. the training certificate issued upon successful completion, within the prior six (6) months, of a Department-certified review course, including passage of a written examination. Any individual who fails to renew his/her certificate for three (3) consecutive years shall be required to complete an initial training course in order to have his/her certificate renewed.
5. All asbestos worker certificates shall be in the form of an identification card to which a photograph of the applicant is affixed. Said identification shall be worn in a visible fashion by the certified asbestos worker while engaged in asbestos project activity.

**B. Asbestos Project Supervisor Certification.**

1. No person shall supervise asbestos workers engaged in an asbestos project unless that person is certified as an asbestos project supervisor by the Department of Licenses and Inspections.
2. The Department of Licenses and Inspections shall not issue an asbestos project supervisor certificate to an applicant unless and until the Department has certified, in writing, that the applicant has met the following requirements:
  - a. the applicant shall be at least eighteen (18) years of age at the time of application;
  - b. the applicant shall submit an asbestos project supervisor certification application, accompanied by a fee of Twenty-Five Dollars (\$25), to the Department. The applicant shall be required to demonstrate that he/she has had at least one year's experience in asbestos abatement activities by providing the Department with the following information:
    - (.1) the name, address, and telephone number of all asbestos contractors and/or employers for whom the applicant has performed asbestos abatement activities;
    - (.2) the number of hours worked per week on asbestos abatement activities; and
    - (.3) applicant's job title(s) and a brief description(s) of duties;
  - c. the applicant shall also submit:
    - (.1) the training certificates issued upon successful completion, within the prior six (6) months, of both a Department-certified asbestos worker training course and an additional Department-certified supervisory training course, including passage of a written examination for each training course; or



- a. the applicant shall be at least eighteen (18) years of age as of the date of application;
  - b. the applicant shall submit an asbestos project inspector application, accompanied by the fee required pursuant to Section 6-604 of The Philadelphia Health Code;
  - c. the applicant shall submit evidence of having obtained an associates degree in biology, chemistry, industrial hygiene, environmental science, or related fields, or, alternatively, evidence of one (1) year of employment experience performing environmental assessment activities in industrial hygiene or environmental science;
  - d. the applicant shall submit evidence of successful completion of a course in air monitoring methods which was part of either an academic curriculum or a continuing education course and which consisted of a minimum of thirty (30) contact hours and included hands-on experience using and calibrating various types of air monitoring equipment, or, alternatively, evidence of six (6) months of employment experience performing air monitoring which included at least thirty (30) hours of on-the-job training;
  - e. the applicant shall submit evidence of successful completion of a training course for asbestos project supervisors which has been reviewed and approved by the Department, including passage of a written examination; or two (2) years of experience in continuous monitoring asbestos abatement activities and provide a chronological listing of such activities by building owner's name and location;
  - f. the applicant shall successfully complete a Department-provided course for asbestos project inspectors, and achieve a passing grade on a Departmental examination;
  - g. the applicant shall certify that he/she will engage to perform on-site analyses only analytical testing laboratories certified by the Department; and
  - h. the applicant shall submit a description of his/her resources, laboratory affiliations, and the methods which he/she will employ to insure that the monitoring requirements of these Regulations are fully implemented.
3. Asbestos project inspector certifications shall be valid for twelve (12) months from the date of issuance.

4. Certified asbestos project inspectors may apply for renewal of the certificate to the Department, but not later than thirty (30) days prior to the expiration date of their certifications, by submitting the following information:
  - a. an application for renewal of certification, accompanied by the fee required pursuant to Section 6-604 of The Philadelphia Health Code; and
  - b. the training certificate issued upon successful completion of a Department approved review course for asbestos project supervisors, including passage of a written examination. Any person who fails to renew his/her certificate for three (3) consecutive years shall be required to complete an initial training course, as referenced in Section IV C.2.f., in order to have his/her certificate renewed.

**D. Asbestos Investigator Certification.**

1. No person shall act as an asbestos investigator unless that person has been certified as an asbestos investigator by the Department of Licenses and Inspections.
2. The Department of Licenses and Inspections shall not issue an asbestos investigator certificate unless and until the Department has certified, in writing, that the applicant has met the following requirements:
  - a. the applicant shall be at least eighteen (18) years of age at the time of application;
  - b. the applicant shall submit an asbestos investigator certification application, accompanied by the fee required pursuant to Section 6-604 of The Philadelphia Health Code;
  - c. the applicant shall submit the training certificate issued upon successful completion, within the prior six (6) months, of a Department-certified asbestos investigator training course, including passage of a written examination; and
  - d. the applicant shall submit:
    - (.1) a copy of a license or certificate as a professional engineer, registered architect, certified industrial hygienist, or certified safety professional; or
    - (.2) evidence of having obtained a bachelor's degree in engineering, architecture, environmental health science, or a related field, and documentation of one (1) year of experience in building survey/hazard

assessment for asbestos plus one (1) additional year of other related experience; or

(.3) documentation of two (2) years of experience in building survey/hazard assessment for asbestos plus three (3) additional years of other related experience.

3. Asbestos investigator certification shall be valid for twelve (12) months from the date of issuance.
4. Certified asbestos investigators may apply for renewal of their certificates to the Department, beginning thirty (30) days prior to the expiration date of the certificates, by submitting the following information:
  - a. an application for renewal of certification, accompanied by a certification renewal fee in the amount of One Hundred Dollars (\$100); and
  - b. the training certificate issued upon successful completion, within the prior six (6) months, of a Department-certified review course. Any person who fails to renew his/her certificate for three (3) consecutive years shall be required to complete an initial training course in order to have his/her certificate renewed.

**E. Analytical Testing Laboratories Certification.**

1. No laboratory shall engage in the analysis of bulk, dust, or air samples for asbestos content unless that laboratory has been certified by the Department of Licenses and Inspections.
2. The Department of Licenses and Inspections shall not issue an analytical testing laboratory certification to an applicant unless and until the Department certifies, in writing, that the applicant has met the following requirements:
  - a. the applicant shall submit an application for certification, accompanied by the fee required pursuant to Section 6-604 of The Philadelphia Health Code; and
  - b. the applicant shall submit the name and address of the laboratory, the name of the laboratory owner or his/her authorized representative and his/her telephone number;
  - c. for phase contrast microscopy (PCM) the laboratory shall have current accreditation by the American Industrial Hygiene Association (AIHA), or for individual microscopists, listing in the Asbestos Analysis Registry of the AIHA;



## **SECTION V. TRAINING**

**A.** Asbestos contractors, asbestos project inspectors, asbestos project supervisors, asbestos workers, and asbestos investigators shall, as a requirement for licensing or certification, successfully complete asbestos training courses which have been certified by the Department of Licenses and Inspections, with the approval of the Department.

**B.** Application For Certification.

The Department shall approve for annual certification applicant training programs that provide the material required in this paragraph and conform with the standards and criteria set forth below. The applicant shall notify the Department immediately of any significant changes in any information submitted. An applicant for certification of an asbestos abatement training program shall submit the following to the Department accompanied by an initial application fee of Twenty-Five Dollars (\$25) and an annual fee of Three Hundred Dollars (\$300):

- 1.** The name and address of the agency, institution or private firm which plans to conduct the training course, and the name of the responsible person and his/her telephone number;
- 2.** A description of course location, course schedule, including hours and dates, and course fees;
- 3.** A description of the public outreach and publicity efforts which will be employed to inform potential attendees of the availability of the training courses;
- 4.** A detailed outline of the course curriculum, including the topics set forth in Sections V.C.12. and/or V.C.13. of these Regulations below, the amount of time allotted to each topic, and the name of the instructor for each topic;
- 5.** A description of the teaching methods to be used to present each topic including, where appropriate, lectures, discussions, demonstrations and audio-visual materials. When applicable, the name, producer, and date of production of audio-visual materials to be used shall be included;
- 6.** Copies of written materials to be used in the training course;
- 7.** Evidence demonstrating that the applicant employs sufficient number of instructors, not less than two, satisfy the education, experience and qualifications criteria as set forth below in paragraph C. below. Resumes describing special training, education and/or prior experience of the instructors may be submitted to the Department for the purpose of providing this evidence;

- 8.** A list of the types, brand names, and quantities of respirators to be used to demonstrate fit tests or flow tests;
  - 9.** A description of the type and quantity of protective clothing to be used during practice exercises and demonstrations;
  - 10.** A description of the materials to be used for hands-on practice exercises and demonstrations, including hand tools, ladders, plastic sheeting and other barrier construction supplies, negative air filtration units, water spray devices, and decontamination facilities;
  - 11.** A detailed description of the site of the training course, including the address of the site where demonstrations and hands-on practice exercises will be conducted;
  - 12.** Availability of bi-lingual instruction and the degree of literacy required for admission to the training course; and
  - 13.** Instructor-to-student ratio for the hands-on practice exercises and demonstrations.
- C. Eligibility For Certification.** In order to be eligible for certification of an asbestos abatement training program, an applicant shall demonstrate compliance with the standards and criteria set forth below:
- 1.** The applicant shall use all training materials, evaluation forms, information, and audio-visual aids, which may be supplied or recommended by the Department;
  - 2.** The applicant shall send at least one course instructor to any meetings sponsored by the Department for the purpose of ensuring uniform and high quality training courses in asbestos abatement;
  - 3.** The applicant shall limit class size to not more than thirty (30) students, and the ratio of students to instructor for hands-on training shall be no more than ten to one (10:1);
  - 4.** The initial asbestos worker training course shall provide at least thirty-two (32) hours of instruction of which at least sixteen (16) hours are spent on actual experience in asbestos work practices through a simulated asbestos project and individual instruction and practice in the use and fit testing of respirators;
  - 5.** The asbestos worker review course shall provide at least eight (8) hours of review of topics covered in the initial training course, incorporating any new developments in asbestos abatement procedures and equipment;

6. The initial asbestos project supervisor course shall provide at least six hours of instruction in addition to the time requirements of 4. above.
7. The applicant shall inform the Department at least two weeks in advance of any asbestos abatement training or review course to be conducted by the applicant and shall permit representatives of the Department to attend, evaluate, and monitor any asbestos abatement training courses;
8. The applicant shall maintain a list of students trained through its program and the dates on which such training occurred;
9. The applicant shall issue a training certificate to persons who successfully complete an initial training or review course;
10. The successful completion of a training course shall include passage of a written examination approved by the Department or the equivalent, for those students who are unable to take a written examination;
11. Criteria For Staff and Instructors:
  - a. the applicant shall employ staff experienced in designing, implementing, and evaluating either employee educational programs in occupational health and safety or vocational education programs;
  - b. two or more course instructors shall be employed in order to ensure that all of the education and experience criteria for instructors set forth below are met:
    - (.1) those course sections that concern air monitoring, respiratory protection and personal protective equipment, and the relevant regulations of OSHA, EPA, and the Department shall be taught by either an industrial hygienist who is designated, at a minimum, as an Industrial Hygienist-in-Training (IHIT) by the American Board of Industrial Hygiene, or someone having the equivalent education and experience of an IHIT as determined by the Department;
    - (.2) those course sections that concern the health effects of asbestos shall be taught by a physician, a health educator, an industrial hygienist, or another health professional trained in the recognition and prevention of health hazards associated with exposure to asbestos;
    - (.3) those course sections that concern hands-on practice sessions shall be taught by either:
      - (.a) an individual who has been employed, for a minimum of one (1) year, as an asbestos abatement contractor or as an on-site foreman

or supervisor of asbestos abatement workers. This person shall have had hands-on experience in all phases of asbestos abatement work, including work area preparation, construction of barriers, the use of personal protective equipment, engineering controls, work practices, clean-up, disposal and decontamination; or

**(.b)** an individual who has at least two (2) years of experience as an instructor at an asbestos abatement training facility and who has satisfactorily completed training at an EPA-or OSHA-endorsed course; or

**(.c)** an individual who has at least two (2) years of experience as an instructor in any industrial training program with at least one (1) year of practical experience in asbestos abatement and who has satisfactorily completed training at an EPA-or OSHA-endorsed course.

**12. Criteria For Topics In Asbestos Worker Training Courses:**

**a.** the applicant shall design and conduct training courses which shall include, at a minimum, the following topics:

**(.1)** introduction:

**(.a)** goals of the training program;

**(.b)** requirements, procedures, and standards established in:

**(i)** the asbestos NESHAP by the U.S. Environmental Protection Agency, 40 CFR Part 61, subparts A and M; and

**(ii)** the Asbestos Control Regulations of the Board of Health of the City of Philadelphia;

**(.c)** history of asbestos use;

**(.d)** magnitude of asbestos problem;

**(.2)** recognition of asbestos:

**(.a)** types and physical characteristics of asbestos;

**(.b)** asbestos products and their end uses;

**(.c)** products where asbestos may be encountered; and

**(.d)** need for specific laboratory analyses to positively identify asbestos;

**(.3)** health effects of asbestos:

- (.a) factors affecting asbestos-related disease development including: properties of asbestos, how asbestos enters the body (respiratory and digestive systems, abdominal and chest cavity), concentration and duration of exposure, critical dose, individual susceptibility and group susceptibility;
  - (.b) body defenses;
  - (.c) clinical signs of asbestos exposure based upon visible changes in x-rays, including plaques and asbestos bodies;
  - (.d) asbestos-related diseases: asbestosis, lung cancer, mesothelioma, and digestive system cancers, including definitions and the concepts of risk, latency, symptoms and diagnoses;
  - (.e) health risk to family members of asbestos workers; and
  - (.f) effects of smoking and smoking cessation on asbestos-related disease rates;
- (.4) purposes and methods of asbestos monitoring and testing with regard to the following:
  - (.a) bulk samples;
  - (.b) personal samples;
  - (.c) area samples;
  - (.d) sampling equipment demonstration: pumps, filters, calibration;
  - (.e) interpretation of analytical results;
  - (.f) permissible asbestos exposure limits established or recommended by OSHA, NIOSH, other agencies and professional organizations, and proposed changes;
  - (.g) OSHA regulations governing access to employee exposure and medical records;
- (.5) case studies, typical problems and corrective measures:
  - (.a) discussion of students' previous experiences with asbestos abatement operations;
  - (.b) presentation by course instructor(s) of problems which have actually occurred during asbestos abatement operations and how these problems have been resolved;

- (.6)** introductions to abatement methods, removal, encapsulation, and enclosure, and to the principles of asbestos control which shall be applied to all asbestos application and abatement projects:
  - (.a)** protection of the worker;
  - (.b)** preparation of the workplace;
  - (.c)** minimization of asbestos fiber release and work practices to minimize exposures;
  - (.d)** clean-up and disposal; and
  - (.e)** decontamination;
- (.7)** protection of the Worker:
  - (.a)** protective clothing: disposable and non-disposable; purpose; requirements; options; who must wear; donning, removal, storage, handling and disposal; and types, such as suits, booties, hoods, footwear, gloves, eye protection and hard hats;
  - (.b)** respiratory protection: purpose; types of respirators; characteristics and limitations; choosing respirators; factors affecting fit (facial hair); fit testing; methods for field testing; donning and removal; protection factors; inspection; cleaning; adjusting; use; storage; repair and replacement of parts;
    - (i)** equipment:
      - (\*1)** type "C" supplied air respirators, continuous flow or pressure demand class:
        - (\*a)** description of physical characteristics; purpose limitations: components of the respirator, including the compressed air cylinders, and quality specifications for compressed air, low air alarm, pressure regulator, manifold, lines or hoses, belt-mounted regulator, breathing hose and facepiece; and
        - (\*b)** demonstration and practice exercises in donning, using, flow testing and adjusting these respirators;
      - (\*2)** Powered Air-Purifying Respirators (PAPR):







**D. Criteria for Topics in Asbestos Investigator Course.**

The course for asbestos investigators shall contain, at a minimum, fourteen (14) hours of instruction in the following topics:

- 1.** The physical characteristics of asbestos including fiber size, aerodynamic properties, the recognition of types of asbestos and asbestos products; and the common applications for asbestos materials in buildings (minimum of one (1) hour).
- 2.** The health hazards and effects of asbestos including asbestos-related diseases, routes of exposure, dose response relationships, clinical signs of asbestos exposure, synergistic relationship between asbestos exposure and cigarette smoking, and the health risk to family members (minimum of one (1) hour).
- 3.** State-of-the-art personal protective equipment including: types of disposable and non-disposable clothing (e.g. suits, boots, head-covering, gloves); their requirements, purpose, selection, donning, removal, storage, handling and disposal; eye protection; hard hats and footwear (minimum of one-half (1/2) hour).
- 4.** Respiratory protection (hands-on practice required) including the types, characteristics and limitations of respiratory classes; explanation of NIOSH approval (tested and certified); proper election, inspection, donning, cleaning and storage procedures for respirators; description of the physical characteristics, purpose, limitations, and components of the air-purifying respirator, including full-and half-face, filters and cartridges used during the collection of bulk samples; methods of field testing of the facepiece-to-face seal (positive and negative pressure fit test); and factors that alter the fit of air-purifying respirators (minimum of one and one-half (1 1/2) hours). Demonstration exercises of the air-purifying respirators shall include a qualitative or quantitative fit test.
- 5.** Identification of homogeneous and heterogeneous sampling areas within the building, preparation of diagrams, selection of sampling locations, and the number of samples to be taken (minimum of one (1) hour).
- 6.** The walk-through survey (hands-on practice required) including the visual inspection of all areas of the building including walls, ceilings, beams, ducts, etc.; identifying and distinguishing between different surfacing materials within the building which could have different asbestos contents; review of prior renovation and construction records kept by the owner (minimum of two (2) hours).

- 7.** Proper methods of collecting bulk samples to minimize generation of airborne fibers (hands-on practice required). The methods shall include wetting of the surface material being sampled; proper use of sampling devices; packing, shipping, and labeling of containers for laboratory analysis; cleaning of the sampling area and the use of paint or a sealant to cover the spot where the sample was taken (minimum of two (2) hours). Students shall be appropriately suited in personal protective equipment for these procedures. All materials used for hands-on demonstrations shall be non-asbestos materials.
  - 8.** Interpretation of laboratory results including explanation of the differences between the varying types and percentages of asbestos in relation to its location in different areas of a building; description of laboratory analysis of bulk samples using polarized light microscopy; merits of the EPA bulk asbestos quality assurance program (minimum of one (1) hour).
  - 9.** Hazard assessment including basic considerations and methods used to recognize, evaluate, and control hazards based on the positive identification and condition of the asbestos material (minimum of one (1) hour).
  - 10.** Scope of OSHA, EPA, and Philadelphia asbestos regulations including air monitoring, medical monitoring, written respiratory protection programs, report writing and recordkeeping, and employee notification of exposures (minimum of one (1) hour).
  - 11.** A written examination consisting of a minimum of fifty (50) questions on the topics required in the above paragraphs (minimum of two (2) hours).
- E.** The Department shall, whenever it finds that a holder of any certification has failed to comply with the provisions of Chapter 6-600 of The Philadelphia Code or these Regulations, certify such finding to the Department of Licenses and Inspections in accordance with the procedures set forth in Section 9-103 of The Philadelphia Code.
  - F.** The Department of Licenses and Inspections, upon a finding by the Department that the holder of any certification issued pursuant to this Section has failed to comply with the provisions of Chapter 6-600 of The Philadelphia Code or these Regulations, shall deny, suspend, or revoke such certification or refuse to renew such certification, in accordance with the finding of the Department. Suspension of any certification shall not generate a fee credit, and revocation will result in fee forfeiture.
  - G.** Any action taken by the Department of Licenses and Inspections pursuant to this Section may be appealed to the Board of License and Inspection Review in accordance with its procedures.

## **SECTION VI. STANDARDS FOR MAJOR ASBESTOS PROJECTS**

### **A. General**

For all major asbestos projects, an independent certified asbestos project inspector shall be employed or retained by the building owner to monitor the asbestos project, to perform all required initial, project, and clearance air sampling, and to conduct visual inspections during the course of the asbestos project in order to protect building occupants and the general public from exposure to asbestos.

- 1.** The asbestos project inspector shall have the authority to direct the asbestos contractor or asbestos project supervisor to correct any violations of the standards and procedures established under these Regulations. If the asbestos contractor or supervisor fails to correct any violation as directed by the asbestos project inspector, the inspector shall notify the Department immediately.
- 2.** The asbestos project inspector shall keep written records on the asbestos project, including records of visual inspections, air monitoring, and violations, and shall immediately report any serious or repeated violations of the provisions of these Regulations to the Department. The asbestos project inspector may recommend to the Department suspension of asbestos project activity, removal of asbestos workers from the work area, or evacuation of the building in order to protect building occupants and the general public from exposure to asbestos.

### **B. Work Area Preparation**

- 1.** The provisions of this Section VI.B. shall apply to all major asbestos projects, except where the asbestos abatement is performed solely by containment-bag techniques in which case the work area preparation shall comply with the provisions of Section VI.C.3.c. of these Regulations.
- 2.** The building owner or designated representative shall provide at least ten (10) calendar days advance notification of intended asbestos abatement activity to all occupants within the work area and areas adjacent to the asbestos project. The notification shall include: the name of the contractor, the project location and scope, amount and type of asbestos, abatement procedure, dates of expected occurrence, and the telephone number for Air Management Services. Postings of this notification shall be in English (and other languages appropriate to the population of occupants within the work area and adjacent areas), at eye level, in a conspicuous, well-lit place, at the entrances to the work area and immediate adjacent areas. The notice shall have the heading, **NOTICE OF ASBESTOS ABATEMENT**, in a minimum of one-inch Sans Serif gothic or block style lettering. All other lettering shall be in a minimum of one-quarter inch Sans Serif gothic or

block style. The notice shall be posted until the Department certifies that the re-occupancy standard has been met. A lessee initiating an asbestos project shall give ten (10) calendar days' notice to the owner of the subject building prior to the start of the asbestos project.

3. Caution signs meeting the specifications of OSHA 29 CFR 1926.58 K(l)(ii), shall be posted at all entrances to a location where airborne concentrations of asbestos may exceed ambient background levels. Caution signs shall be posted in English and other appropriate languages.
4. Occupants shall be removed from any floor where an asbestos project is in progress, unless the work area is completely separated from the occupied area either by an airtight physical barrier, such as a wall, or by an isolation barrier, with the work area under negative pressure.
5. When an isolation barrier is required it shall be constructed as follows:
  - a. partitions shall be constructed of, at a minimum, conventional 2x3 wood, polyvinyl chloride piping, or metal stud framing or equivalent, on a sixteen-inch maximum center-to-center (16"CC) to support barriers in all openings larger than thirty-two (32) square feet, except where any one dimension is one (1) foot or less;
  - b. a solid construction material (e.g., plywood) of at least three-eighths-inch (3/8") thickness shall be applied to the work side of the framing where the barrier could be subject to damage from activity adjacent to the work area;
  - c. the partition shall be plasticized in accordance with paragraph 18. below; and
  - d. all accessible walls surrounding the area shall contain a minimum 18" square transparent viewing port made of shatterproof material greater than or equal to 0.125" in thickness located at a height appropriate for accessible viewing and in such a manner so as to maximize visibility of the work area. Viewing ports shall be maintained in a clear and unobstructed manner at all times.
6. Prior to erection of partitions, asbestos materials that will be disturbed during this activity shall be:
  - a. treated first with amended water or a removal encapsulant; and
  - b. removed, using a tent procedure (see Section VI.C.4. of these Regulations); or removed by an equivalent procedure approved by the Department.

**(.1)** removal by these procedures shall be limited to a maximum of a one (1)-foot-wide strip running the length and/or height of the partition and is allowed only to facilitate erection of the partitions.

- 7.** Prior to plasticizing as required under paragraph 18. below:
  - a.** movable objects within the proposed work areas shall be pre-cleaned using HEPA-filtered vacuum equipment and, where feasible, wet cleaning methods, and such objects shall be removed from the work area. Upholstered furniture, carpeting and drapes shall HEPA-vacuumed before removal from the work ea. If the objects are disposed of as asbestos site material in accordance with Section VI.C.7. of these Regulations, cleaning is unnecessary. If carpeting is left in place, it shall be covered with plastic sheeting and one-half (1/2)-inch rigid flooring prior to plasticizing as required under paragraph 18. below;
  - b.** fixed objects which will remain within the proposed work areas shall be pre-cleaned using HEPA-filtered vacuum equipment and, where feasible, wet cleaning methods and enclosed with one (1) layer of plastic sheeting sealed with tape; and
  - c.** all other surfaces in the proposed work areas shall be pre-cleaned using HEPA-filtered vacuuming equipment.
- 8.** Except to allow for the entry of air necessary to maintain negative pressure, the work area shall be isolated by completely enclosing the work area and sealing off all doors, windows, ducts, grills, diffusers, and any other penetrations of the work areas with two (2) layers of plastic sheeting and tape. All seams of system components that pass through the work area shall also be sealed.
- 9.** After the isolation barriers required in paragraph 4. above have been erected, ceiling-mounted objects not previously sealed, that will interfere with the asbestos abatement project, shall be removed and cleaned. Amended water spraying or HEPA-filtered vacuuming shall be used during the process of removing any ceiling-mounted objects to reduce the dispersal of asbestos fibers.
- 10.** Suspended ceiling tiles and T-grid components contaminated by friable asbestos materials shall remain in place until:
  - a.** the work area has been fully prepared as outlined in Section VI.B. of these Regulations; and
  - b.** electrical and HVAC systems have been shutdown:

- (.1)** if any suspended ceiling tiles and T-grid components are to be retained for reuse, they shall be removed and vacuumed with HEPA-filtered equipment and wet-cleaned; otherwise, they shall be removed and disposed of as asbestos waste in accordance with Section VI.C.7. of these Regulations.
- 11.** Emergency exits from the work areas shall be maintained, or alternative exits shall be maintained in accordance with Title 5 of the Philadelphia Code and any other applicable provisions. Emergency exits shall be checked daily against exterior blockage or impediments to exiting.
  - 12.** Entrances to the work area that will not be used for worker entry or emergency exits shall be locked to prevent unauthorized entry.
  - 13.** Floor drains shall be sealed individually with two layers of plastic sheeting and tape, and then covered in accordance with paragraph 18. below. Pits, sumps, etc., shall be covered with adequate plywood sheeting and secured to floor slabs in a manner which prevents a tripping hazard, prior to plasticizing as required in paragraph 18. below.
  - 14.** Elevators running through the work area shall be shutdown, except as provided in subdivision b. of this paragraph:
    - a.** the elevator door in the work area shall be enclosed with conventional 2x3 stud framing, covered with three-eighths-inch (3/8") plywood sheathing and sealed at all edges and seams. This barrier shall be covered and lapped for eight (8) inches with two (2) layers of plastic sheeting adhered individually with edges taped for air tightness; and
    - b.** elevators may remain in operation where shut-down would severely restrict usage of the remainder of the occupied building. In these situations:
      - (.1)** elevator control shall be modified to bypass the work area, if possible;
      - (.2)** a final larger layer of plastic sheeting shall be taped across the opening, airtight but with slack forming a larger perimeter diaphragm. Air leakage across the barrier shall be corrected upon discovery, and the elevator shaft shall be checked for airborne asbestos contamination; and
      - (.3)** smoke tests shall be conducted daily by the independent certified project inspector.

- 15.** Heating, cooling, and ventilating air systems into or out of the work area shall be shut down to prevent contamination and dispersal of asbestos fibers to other areas of the structure.
- 16.** Electrical power shall be shut down, tagged, and locked out to all work areas, except to those work areas where it is necessary that electrical equipment remain in service. Safe, temporary power and lighting that are waterproof, when applicable, shall be provided in accordance with Title 4.1 of the Philadelphia code and any other applicable provisions. All power to work areas shall be brought in from outside the area through ground-fault interrupter at the source. Necessary stationary electrical equipment within the work area shall be adequately enclosed and ventilated.
- 17.** A worker decontamination enclosure system shall be installed or constructed prior to plasticizing the work area and before disturbing asbestos material. The area in which these systems are located shall require heating, ventilating and air-conditioning system isolation in accordance with paragraph 8. above, and plasticizing of electrical outlets and equipment.
- 18.** All floor and wall surfaces shall be covered and sealed with plastic sheeting, using a minimum of two (2) layers. The plastic layers on the floor shall extend twelve (12) inches up the walls. Walls shall be covered with plastic sheeting down to the floor level, thus overlapping the floor covering by a minimum of twelve (12) inches. There shall be a distance of at least twelve (12) inches between the seams of adjacent layers.
- 19.** Worker decontamination enclosure systems shall be provided outside the work area and shall be attached to all locations where workers will enter or exit the work area:
  - a.** the worker decontamination enclosure system shall consist of a clean room, a shower room, and an equipment room, in series, separated from each other and from the work area by airlocks and from the non-work area by a lockable, shuttered door. (Either existing rooms or newly-constructed rooms may be used.);
  - b.** each room of the worker decontamination enclosure system shall be lined with, at a minimum, two (2) layers of plastic sheeting, or the equivalent;
  - c.** when the worker decontamination enclosure system is constructed outdoors or in areas with public access, it shall be fully framed and sheathed with plywood or its equivalent to prevent unauthorized entry. When located outdoors, the system shall be waterproof and windproof;

- d. prefabricated or trailer decontamination systems shall:
  - (.1) at a minimum, be as functional and secure as a constructed worker decontamination enclosure system; and
  - (.2) be completely decontaminated prior to removal from the work site;
- e. the clean room shall:
  - (.1) be sized adequately to accommodate the entire work crew; and
  - (.2) contain secure crew lockers or shelves, where space permits, and clean sealable plastic bags for storage of street clothes; and
  - (.3) contain a sufficient quantity of benches; and
  - (.4) contain shelves or appropriate facilities for storage of respirators; and
  - (.5) contain clean disposable clothing, replacement filters for respirators, towels and other necessary personal protective equipment; and
  - (.6) not be used for storage of tools, equipment, or materials, other than personal protective equipment, nor used as office space; and
  - (.7) be equipped with a lockable, shuttered door which opens on make-up air inflow and seals on air flow cessation for interior and exterior exits. The door shall permit entrance to the clean room and secure the work place during off-shift hours. Equipment alternatives to this standard design may be utilized with the approval of the Department;
- f. the shower room shall:
  - (.1) contain a minimum of one (1) shower per eight (8) workers calculated on the basis of the largest shift; and
  - (.2) be supplied with hot and cold water adjustable at the tap; and
  - (.3) be constructed to ensure against water leakage; and
  - (.4) contain liquid bath soap, shampoo, and clean, dry towels in sufficient quantity for each showering:
    - (.a) shower water that is not used for the purpose of rewetting asbestos waste materials shall be drained, collected and filtered through a system with at least five (5.0) micron particle size collection capability. A system containing a series of several filters with progressively smaller pore sizes shall be used to avoid rapid clogging of the filtration system by large particles:

- (i) filtered wastewater shall be discharged either to a sewer or drummed and then properly disposed; and
    - (ii) used filters shall be disposed of as asbestos waste material in accordance with Section VI.C.7. of these Regulations;
  - g. the equipment room shall:
    - (.1) be used for storage of equipment and tools used on the job that have been decontaminated previously in the work area;
    - (.2) contain a supply of replacement filters (in sealed containers until used) for HEPA vacuums and negative pressure ventilation equipment, extra tools, containers of surfactant and other materials and equipment that may be required during the abatement activity;
    - (.3) contain labeled six (6)-mil polyethylene bags for collection of disposable clothing;
    - (.4) be used to store contaminated footwear (e.g. rubber boots and other reusable footwear) and contaminated clothing for reuse for the duration of the abatement activity or until disposed;
  - h. adequate toilet facilities shall be provided in the vicinity of the clean room, external to the work area. Where such facilities do not exist, portable service shall be provided.
- 20. A negative pressure ventilation system shall be established to maintain negative air pressure in the work area at all times in order to prevent airborne asbestos fibers from escaping the work area:
  - a. the negative pressure ventilation equipment shall operate continuously, twenty-four (24) hours a day, from the time of the erection of isolation barriers through successful clearance air monitoring in accordance with Section VI.D.4.c. of these Regulations. An operational failure of the negative pressure ventilation equipment shall require areas adjacent to the work area to be monitored for asbestos fibers;
  - b. a static negative air pressure two-hundredths (0.02) inches (minimum) water column shall be maintained at all times in the work area during the abatement activity to ensure that contaminated air in the work area does not filter into uncontaminated areas;
  - c. if more than one ventilation unit is installed, each unit shall be turned on, one at a time, while monitoring the integrity of all critical and/or isolation barriers for secure attachment and the need for additional reinforcement;

- d.** a dedicated power supply for the negative pressure ventilating units shall be utilized;
- e.** upon the loss of negative air pressure, the abatement activity shall stop immediately and shall not resume until negative pressure is restored. When loss of negative pressure lasts or is expected to last longer than one hour:
  - (.1)** the make-up air inlets shall be sealed airtight;
  - (.2)** the worker decontamination enclosure system(s) shall be sealed airtight after the evacuation of personnel from the work area; and
  - (.3)** all areas adjacent to the work area shall be monitored for asbestos fiber concentration throughout the duration of the loss of negative air pressure;
- f.** negative pressure ventilation equipment shall be installed and operated to provide at least one air change in the work area every fifteen (15) minutes;
- g.** additional make-up air may be delivered to the work area through horizontal shutters which open on make-up air inflow and seal on air flow cessation, or through a HEPA-filtered ventilation system;
- h.** openings made in the isolation barrier to accommodate negative pressure ventilation equipment shall be made airtight; equipment shall be located in a secure area;
- i.** negative air pressure equipment shall be in compliance with ANSI Z9.2 (1979), Local Exhaust Ventilation;
- j.** negative air pressure systems shall be operated in accordance with, "Guidance for Controlling Asbestos-Containing Materials in Buildings", Appendix J, Specifications and Operating Procedures for the Use of Negative Pressure System for Asbestos Abatement, EPA Report Number 560/5-85-024 (1985);
- k.** negative pressure ventilation equipment shall be exhausted to the outside of the building away from occupied areas except as provided in subdivision 1. below:
  - (.1)** at no time shall the negative pressure ventilation unit exhaust within entrances of the building or adjacent buildings;
  - (.2)** heavy-duty ducting, equivalent to, or larger than, the shape and dimension of the negative pressure ventilation exhaust port shall be used to exhaust to the outside of the structure; and

(.3) all ducting shall be sealed and braced or supported to maintain airtight joints;

I. where ducting to the outside is not possible, careful installation, smoke testing, air monitoring and daily inspections of ducting shall be performed to insure that the ducting does not release asbestos fibers into uncontaminated building areas.

21. The Department may approve alternative equivalent methods for work area preparation proposed in the permit application if the methods required by this Section are not technically feasible or would cause unsafe or unhealthy conditions. A request to the Department for approval of alternative equivalent methods shall include the reasons for not using the methods required by this Section and a description of the proposed alternative methods.

### C. Asbestos Project Procedures

#### 1. General Procedures

a. No removal, encapsulation, or enclosure of asbestos materials may begin until the Department has performed a pre-inspection of the work area to ensure that the work area has been properly prepared in accordance with this Section and that all necessary equipment is in place to protect building occupants and the general public;

b. No person shall enter the work area during an asbestos project without proper equipment and clothing and training;

c. The contractor or supervisor of an asbestos project shall provide all authorized persons who enter the work area with the required protective clothing and equipment, in accordance with applicable federal regulations, including disposable protective clothing (including full-body coveralls, head and foot covers, gloves) and appropriate respirators;

d. The contractor or supervisor of an asbestos project shall ensure that:

(.1) all individuals refrain from eating, drinking, and smoking in the work area and other contaminated areas;

(.2) all workers and authorized visitors enter the work area through the worker decontamination enclosure system;

(.3) all individuals who enter the work area sign an entry log, located in the clean room, upon each entry and exit. The pages of the log shall be permanently bound together and shall identify fully the facility, owner,

agents, contractor(s), the project, each work area, worker respiratory protection employed, and date and time of entry and exit. The entry log headings shall indicate, and the signatures shall be used to acknowledge, that the regulations and procedures have been reviewed and understood by all persons prior to entering the work area. The postings and log headings shall be in English and other appropriate languages. The asbestos project supervisor shall be responsible for the maintenance of the log during the abatement activity. The log shall be available for examination during general business hours by the Department, the owner and the project workers;

- (.4) all individuals, before entering the work area, are familiar with all posted regulations, personal protection requirements and emergency procedures;
- (.5) all individuals proceed first to the clean room, remove all street clothing, store these items in clean, sealable plastic bags or a locker, and don respiratory protection, disposable coveralls, head covering, foot covering and gloves. Clean respirators, filters, if appropriate, and protective clothing shall be provided and utilized by each person on each occasion when he/she enters the work area;
- (.6) individuals wearing the designated personal protective clothing and equipment proceed from the clean room, through the shower room, to the equipment room where necessary tools are collected and any additional clothing (deck shoes, hard hats, goggles and/or overalls) are donned before entry into the work area;
- (.7) before leaving the work area, each individual removes the gross contamination from the outside of the respirators and protective clothing by wet cleaning and/or HEPA-filtered vacuuming;
- (.8) in the equipment room, all personal protective equipment, except respirators, are removed; disposable clothing shall be deposited into the appropriate containers for disposal in accordance with Section VI.C.7. of these Regulations. Reusable contaminated clothing, footwear, and/or head gear shall be stored in the equipment room when not in use;
- (.9) each individual, while still wearing a respirator, proceeds to the shower room, cleans the outside of the respirator and his/her exposed face area under running water prior to removing the respirator, and then

fully and vigorously showers and shampoos to remove residual asbestos contamination. Respirators shall be washed thoroughly with soap and water. Various types of respirators may require slight modification of these procedures; and

(.10) individuals, after showering and drying, proceed to the clean room and don clean disposable clothing if returning to the work area or, if not, street clothing; and

e. Air monitoring to determine worker exposure to asbestos fibers shall be conducted for all asbestos workers not covered by the OSHA asbestos standards, in accordance with the applicable EPA and OSHA standards.

## **2. General Removal Procedures**

- a. The asbestos material shall be sprayed with amended water. The amended water shall be tested on a small area before use to ensure effectiveness. A fine low-pressure spray of amended water shall be applied to prevent disturbance of asbestos fibers prior to removal. The amended water shall be sprayed on as many times and as often as necessary ensure that the asbestos nearest the substrate the asbestos material is thoroughly wetted to event dust emission. Removal of dry asbestos material shall be permitted only when removal of wet asbestos material is not feasible and only with the prior approval of the Department;
- b. Asbestos material located more than fifteen (15) feet above the floor shall be removed and lowered into inclined chutes, lowered onto scaffolding, or containerized at that height for later disposal. Asbestos materials shall not be dropped or thrown to the floor from fifteen (15) feet or greater. For materials at heights greater than forty (40) feet above the floor, a dust-tight, enclosed chute shall be constructed to transport removed asbestos material directly to containers located on the floor;
- c. The asbestos material shall be disposed of in accordance with Section VI.C.7. of these Regulations;
- d. After all of the asbestos material has been removed from the structure, all surfaces from which asbestos has been removed shall be scrubbed using nylon or bristle brushes and wet-sponged, or cleaned by an equivalent method approved by the Department, to remove all visible asbestos material. During cleaning the surfaces shall be kept wet using amended water;

- e. All accessory equipment shall be moved to the equipment room in sealed six (6)-mil plastic bags and decontaminated for removal;
- f. All free water (in contaminated areas) shall be retrieved and added to asbestos waste for disposal and/or placed in plastic-lined leak-tight drums for disposal in accordance with Section VI.C.7. of these Regulations; and
- g. Containment-bag techniques shall be used to the maximum extent feasible for removal of asbestos pipe insulation or other appropriate asbestos materials as outlined in paragraph 3. below.

**3. Containment-Bag Technique**

- a. The removal of asbestos by use of the containment-bag technique shall be limited to asbestos insulation from pipe fittings, elbows, and pipe. Containment bags are for single use and shall not be repositioned;
- b. A minimum of two persons are required to perform asbestos material removal by the containment-bag technique. A third person may be required to conduct air monitoring and assist with supplies;
- c. Work areas where removal of asbestos materials is performed solely by the containment-bag technique shall be prepared as follows:
  - (.1) notification of asbestos abatement and caution signs shall be posted in accordance with Section I.B.3. of these Regulations;
  - (.2) all necessary materials and supplies shall be brought into the work area before any removal begins;
  - (.3) building occupants shall be removed from any floor where a removal project is in progress unless the work area is completely separated by an airtight physical barrier such as a wall, or by an isolation barrier;
  - (.4) the work area shall be separated from the rest of the work site by isolation barriers consisting of solid physical barriers such as ceiling, floors, and walls, or solid partitions as described in Section VI.B.5. of these Regulations, with all openings such as doors, windows, and air vents covered with a single layer of plastic sheeting;
  - (.5) at least one layer of plastic sheeting shall be taped to the floor beneath the pipes subject to the abatement extending at least five (5) feet from the area of removal in all directions; and
  - (.6) the provisions of Section VI.B.7. and 15. of these Regulations shall be followed;

- d. The following is a list of required equipment and tools for the removal of asbestos by the containment-bag technique:
- (.1) the containment bag which consists of a six (6)-mil bag fitted with long sleeve gloves, a tool pouch and a two-inch opening used for water application;
  - (.2) a pump-up sprayer (garden type) with a two or three gallon capacity;
  - (.3) amended water;
  - (.4) six (6)-mil polyethylene disposal bags with the proper markings for asbestos waste;
  - (.5) a HEPA-filtered vacuum with a capillary tube for insertion into the containment bag;
  - (.6) tools such as: a small scrub brush, a utility knife for cutting the insulation, a stapler, wire cutters, smoke tubes with aspirator bulb, a bone saw, tin snips, duct tape, and wettable cloths;
  - (.7) a roll of six (6)-mil polyethylene; and
  - (.8) an encapsulant (tinted).
- e. Removal procedures shall be conducted as follows:
- (.1) a visual inspection of the pipe where the work will be performed shall be made to determine if any damaged pipe covering (broken lagging, hanging etc.) exists. If so, the pipe shall be wrapped in polyethylene and fully secured with duct tape. Debris on the floor and other surfaces which has accumulated and contains asbestos must be properly disposed. If the pipe is undamaged, one layer of duct tape shall be placed around the pipe at each end of where the containment bag will be attached. The pipe insulation diameter worked shall not exceed one-half the bag working length above the attached gloves;
  - (.2) slit the top of the containment bag open (if necessary) and cut down the sides to accommodate the size of the pipe (about two inches longer than the pipe diameter);
  - (.3) place the necessary tools into the pouch located inside the containment bag. This will usually include the bone saw, utility knife, rags, scrub brush, wire cutters, tin snips and pre-cut wettable cloth. Cut out two (2) doughnut shapes in the cloth with the inner diameter one-half inch smaller than the diameter of the pipe beneath the insulation.

Finally, cut a slit in each of the two doughnuts so they can be slipped around the pipe;

- (.4) one strip of duct tape shall be placed along the edge of the open top slit of the containment bag for reinforcement;
- (.5) place the containment bag around the section of pipe to be worked on and staple the top together through the reinforcing duct tape. Staple at intervals of approximately one inch. Next, fold the stapled top flap back and tape it down with a strip of duct tape. Next, duct tape the ends of the containment bag to the pipe itself, previously covered with plastic or duct tape (see subdivision (.1) above);
- (.6) using the smoke tube and aspirator bulb, place the tube into the water sleeve (two-inch opening to containment bag). By squeezing the bulb, fill the bag with visible smoke. Remove the smoke tube and twist the water sleeve closed. While holding the water sleeve tightly, gently squeeze the containment bag and look for smoke leaking out, especially at the top and ends of the containment bag. If leaks are found, they shall be taped closed using duct tape and the bag shall be re-tested;
- (.7) insert the wand from the water sprayer through the water sleeve. Using duct tape, tape the water sleeve tightly around the wand to prevent leakage;
- (.8) one person places their hands into the long-sleeved gloves while the second directs the water spray at the work;
- (.9) if the section of pipe is covered with an aluminum jacket, this is removed first using wire cutters to cut any bands and tin snips to remove the aluminum. It is important to fold the sharp edges in to prevent cutting the bag when it is placed in the bottom. A box may be put in the bottom of the bag with the tools placed in it, and the metal placed in the box to further protect the bag from being cut;
- (.10) with the insulation exposed, using a bone saw, cut the insulation at each end of the section to be removed. A bone saw is a serrated heavy-gauge wire with ring-type handles at each end. Throughout this process, water is sprayed on the cutting area to keep dust to a minimum;
- (.11) once the ends are cut, the section of insulation should be slit from end to end using a utility knife. The cut should be made along the bottom of the pipe and water continuously supplied. Again, care should be taken

- when using the knife not to puncture the bag. Some insulation may have wire to be clipped as well. Again, a box may be used here as in subdivision (.9) above to protect the bag from puncture;
- (.12)** rinse all tools with water inside the bag and place back into pouch;
  - (.13)** the insulation can now be lifted off the pipe and gently placed in the bottom of the bag, while the side of the insulation adjacent to the pipe is being thoroughly wetted;
  - (.14)** using a scrub brush, rags, and water, scrub and wipe down the exposed pipe;
  - (.15)** wet the doughnut-shaped pieces of wettable cloth over the exposed ends of insulation remaining on the pipe;
  - (.16)** remove the water wand from the water sleeve and attach the small nozzle from the HEPA-filtered vacuum. Turn on the vacuum only briefly to collapse the bag;
  - (.17)** remove the vacuum nozzle and twist the water sleeve closed and seal with duct tape;
  - (.18)** from outside the bag, pull the tool pouch away from the back. Place duct tape over the twisted portion and then cut the tool bag from the containment bag, cutting through the twisted/taped section. In this manner, the contaminated tools may be placed directly into the next containment bag without cleaning. Alternatively, the tool pouch with the tools can be placed in a bucket of water, opened underwater, and the tools cleaned and dried without releasing asbestos into the air. Rags and the scrub brush cannot be cleaned in this manner and should be discarded with the asbestos waste;
  - (.19)** with removed insulation in the bottom of the bag, twist the bag several times and tape it to keep the material in the bottom during removal of the containment bag from the pipe;
  - (.20)** slip a six (6)-mil disposal bag over the containment bag (still attached to the pipe). Remove the tape and open the top of the containment bag and fold it down into the disposal bag;
  - (.21)** all surfaces in the work area shall be cleaned in accordance with Section VI.C.8. of these Regulations.
  - (.22)** place any contaminated articles, debris, etc. into the bag with the waste;

- (.23)** twist the top of the bag closed, fold this over, and seal with duct tape. Place this bag into a second six (6)-mil disposable bag, and seal as in the above manner. Label the bag with a warning label;
- (.24)** asbestos material shall be disposed of in accordance with Section VI.C.7. of these Regulations; and
- (.25)** only containment bags which are manufactured and designed to be used exclusively on vertical pipe shall be used on vertical sections of pipe.

#### **4. Tent procedures**

- a.** Tent procedures shall be used only for the purpose of fulfilling the conditions of Section VI.B.6. of these Regulations and are limited to the removal of less than one hundred sixty (160) square feet of asbestos material;
- b.** Tent procedures shall be accomplished in a constructed or commercially available plastic tent, plasticizing and sealing all surfaces not being abated within the tent periphery forming an enclosure. The tent shall be of six (6)-mil polyvinyl chloride at a minimum, with seams heat-sealed or double folded, stapled and taped air-tight and then taped flush with the adjacent tent wall. This is a single use barrier that shall not be reused once dismantled or collapsed;
- c.** Asbestos workers involved in the tent procedure shall wear two (2) disposable suits, including gloves, hood and footwear, and appropriate respiratory equipment if a decontamination unit is not contiguous to the tent;
- d.** The tent shall be attached to the substrate to produce an airtight seal except for a section large enough to allow for make-up air into the tent;
- e.** A HEPA vacuum or equivalent shall be used to continuously exhaust the enclosed area as specified under Section VI.B.20. of these Regulations, except that the negative air pressure in subdivision b. of that section shall be tested by smoke testing. The duct shall be attached securely and airtight through the tent wall at the most remote location possible from the asbestos material to be disturbed. A minimum of two (2) volume changes per hour is required;
- f.** Removal of asbestos material shall be by wet methods in accordance with Section VI.C.2. of these Regulations;

- g.** The removed asbestos material shall be carefully placed in plastic disposal bags and the bags handled in accordance with Section VI.C.7.c. of these Regulations;
- h.** Upon completion of abatement, and prior to tent collapse, the enclosed substrates shall:
  - (.1)** be wet cleaned using clean rags, mops or sponges;
  - (.2)** be permitted sufficient time to dry, prior to EPA-vacuuming all substrates; and
  - (.3)** be encapsulated to lockdown residual asbestos;
- i.** In the event of loss of negative pressure or barrier disturbance, the tent and the enclosed substrates shall be treated according to subdivision h. above;
- j.** The outer disposable suit shall be removed and remain in the tent upon exiting. Following tent disposal and work site cleanup the workers shall immediately proceed to a shower at the work site. The inner disposable suit and respirator shall be removed in the shower after appropriate wetting. The disposable clothing shall be disposed of as asbestos waste material. The workers shall then fully and vigorously shower with supplied liquid bath soap, shampoo, and clean, dry towels;
- k.** The HEPA vacuum shall be used to filter a minimum of six (6) volume changes through the tent prior to collapse of the tent/barrier; and
- l.** The tent shall be collapsed inward, enclosing the contaminated clothing. This contaminated material shall be disposed of in a plastic disposal bag. The vacuum shall be decontaminated and sealed.

## **5. Encapsulation Procedures**

- a.** Encapsulation shall not be performed where:
  - (.1)** asbestos material is friable and damaged, delaminated, or deteriorating;
  - (.2)** effective long-term inspection of the encapsulated site cannot be assured;
  - (.3)** the source of asbestos is readily accessible to building occupants and damage to the asbestos material is probable;
  - (.4)** the asbestos material does not adhere well to the substrate;
  - (.5)** there is existing or potential water damage to asbestos material;



## **6. Enclosure Procedures**

- a. The surface area of the asbestos material which will be disturbed during the installation of hangers, brackets or other enclosure supports shall first be sprayed with amended water using a low-pressure airless spray;
- b. Power drills used to install anchors or other tools which may disturb asbestos material shall be equipped with or used in conjunction with HEPA-vacuum systems;
- c. Loose asbestos materials shall be removed while damp and disposed of in accordance with Section VI.C.7. of these Regulations;
- d. After the installation of hangers, brackets or other supports and before the asbestos material is enclosed, asbestos-containing materials shall be repaired, using materials which do not contain asbestos;
- e. Enclosures for asbestos materials shall be identified by signs, labels, color coding or some other mechanism approved by the Department to warn persons who may be required to disturb the enclosure, that asbestos is present; and
- f. Enclosures shall be inspected at least annually to ensure their integrity.

## **7. Waste Disposal Procedures**

- a. As asbestos materials are removed, they shall be thoroughly wetted and placed into six (6)-mil plastic disposal bags;
- b. Asbestos-contaminated materials such as plastic sheeting, clothing, and other items shall be placed into six (6)-mil plastic disposal bags;
- c. Plastic disposal bags containing asbestos and asbestos-contaminated materials shall be sealed, cleaned, and, while being removed from the work area, placed into approved six (6)-mil plastic disposal bags, which shall be sealed, labeled, and transported directly to an approved waste disposal, storage, or transfer facility, in accordance with the applicable Pennsylvania Department of Environmental Resources, and EPA regulations;
- d. Any asbestos-contaminated materials which may penetrate the asbestos disposal bags shall be placed into fiber drums, which shall be sealed and labeled in accordance with applicable EPA regulations;
- e. There shall be no visible emission of asbestos dust during the transport of asbestos or asbestos-contaminated waste; and

- f. Large structural or mechanical components may be removed with the attached asbestos material for disposal provided:
  - (.1) the component has been completely wrapped with two (2) layers of six (6)-mil polyethylene plastic and securely sealed with duct tape for transport to an approved disposal facility; and
  - (.2) the component has been cut away at places free of asbestos material. If there is no asbestos-free area to make the cut, the asbestos material shall be removed using the glove bag technique or equivalent, and the cut shall be made at the asbestos-cleared place.

#### **8. Work Area Clean-Up Procedures**

- a. After all asbestos abatement work has been completed, but before the plasticizing is removed, wet wipe all surfaces in the work area to eliminate gross debris and then remove the top layer of plastic sheeting.
- b. All surfaces within the work area from which asbestos material has been removed, and the bottom layer of plastic sheeting shall be HEPA-vacuumed and where feasible, wet cleaned with amended water;
- c. Following thorough cleaning, and after the Certified Asbestos Project Inspector has confirmed that the no visible residue remains, all surfaces in the work area from which asbestos has been removed and the bottom layer of plastic sheeting shall be sprayed where feasible with an encapsulant;
- d. Clearance sampling shall be conducted in accordance with Section VI.D.4.c. after the bottom layer of plastic sheeting on walls, floors, and objects in the work area has dried and has been removed;
- e. The sequence of wet and dry cleaning shall be repeated in twenty-four (24) hour intervals until the Certified Asbestos Project Inspector has determined that no residue is visible and, based on aggressive air monitoring conducted after all surfaces have dried, the airborne asbestos levels do not exceed the re-occupancy standard set forth in Section VI D.5. of these Regulations.
- f. Critical barriers shall remain in place until the requirements of paragraph e. above has been satisfied.

#### **9. Re-Insulation**

No structural or mechanical surfaces from which asbestos has been removed shall be re-insulated with asbestos materials.

#### **D. Air Monitoring**

1. The independent certified asbestos project inspector shall monitor the level of airborne asbestos fibers on both the inside and outside of the asbestos abatement work area(s) by the collection of air samples before (Pre-test Samples), during (Project Samples) and after (Clearance Samples) the asbestos abatement project as specified in paragraph 4. below.
2. Air sampling and analysis for asbestos shall be conducted either according to the latest NIOSH methods for phase contrast microscopy (PCM) (Method 7400, NIOSH Manual of Analytical Methods) or transmission electron microscopy (TEM) (Method 7402, NIOSH Manual of Analytical Methods). Otherwise OSHA and EPA methods, or other methods approved by the Department, shall be employed. The applicable OSHA method for PCM is set forth in 29 CFR 1926.58, Appendix B. The applicable EPA method for TEM is set forth in 40 CFR 763, Subpart E, Appendix A.
3. Air samples shall be analyzed by an independent certified laboratory. Testing results shall be forwarded directly to the Department and to the independent certified asbestos project inspector and posted outside the work area so that they are readily accessible to asbestos workers and their authorized representatives.
4. The following types of samples of airborne asbestos fibers are to be collected by, or at the direction of, the independent certified asbestos project inspector:

##### **a. Pre-Test Samples**

The purpose of collecting pre-test air samples is to establish baseline levels of airborne asbestos fibers in those areas in which asbestos abatement work is to be conducted and in those areas immediately adjacent to the asbestos abatement work areas. Pre-test sample results are compared to project sample results to determine if asbestos has escaped from the asbestos abatement work areas;

##### **(.1) for outdoor projects:**

- (.a)** all pre-test air samples shall be collected and analyzed either by phase contrast microscopy (PCM) or transmission electron microscopy (TEM);
- (.b)** a sufficient number of pre-test air samples shall be collected to ensure that prevalent existing levels of airborne asbestos fibers have been characterized. A minimum of five samples shall be taken

within a distance of one hundred feet from the proposed abatement area in all directions (to the extent practicable);

- (.c) all pre-test air samples shall be collected and analyzed before any asbestos abatement work begins and the results of the analyses shall be posted in a visible place, or maintained at the work site for easy review, throughout the course of the asbestos abatement action;

(.2) for all other projects:

- (.a) all pre-test air samples shall be collected and analyzed either by phase contrast microscopy (PCM) or transmission electron microscopy (TEM);
- (.b) a sufficient number of pre-test air samples shall be collected to ensure that prevalent existing levels of airborne asbestos fibers have been characterized. A minimum of five samples shall be taken inside the proposed asbestos abatement work area and five samples shall be taken outside the proposed work area;
- (.c) all pre-test air samples shall be collected before any asbestos abatement work begins under routine conditions of normal occupancy, wherever possible;
- (.d) all pre-test air samples shall be analyzed before any asbestos abatement work begins, and the results of the analyses shall be posted in a visible place, or maintained at the work site for easy review, throughout the course of the asbestos abatement action;
- (.e) the sampling zone for indoor air samples shall be representative of the building occupants' breathing zone; and
- (.f) air samples shall not be taken in corners of rooms or near obstructions, such as furniture;

**b. Project Samples**

Project samples shall be collected during the asbestos abatement action to determine airborne concentrations of asbestos fibers (1) inside of the asbestos work areas or in the immediate vicinity of an outdoor abatement action in order to evaluate work practices, the level of necessary respiratory protection, and the risk of contamination posed to adjacent non-asbestos work areas, and (2) outside of the asbestos abatement areas to ensure that

asbestos fibers are not being released into "clean" areas as a result of the asbestos abatement action;

**(.1)** for outdoor projects:

- (.a)** all project samples shall be collected and analyzed either by phase contrast microscopy (PCM) or transmission electron microscopy (TEM);
- (.b)** project samples shall be taken within a distance of one hundred feet from the abatement area in all directions (as practicable) on a daily basis throughout the course of an asbestos abatement action. Samples shall be taken in sufficient quantity and at appropriate places so as to determine if airborne asbestos fibers are escaping from the abatement area into adjacent areas;
- (.c)** all project samples shall be analyzed within twenty-four (24) hours of their collection and the results shall be posted at or near the asbestos abatement area;
- (.d)** if, at any time during the course of the asbestos abatement work, airborne asbestos fiber concentrations determined by the project samples exceed the greater of either (1) the background concentration (as determined by statistical comparison of the project sample results with pre-test air sample results) or (2) one one-hundredth fibers per cubic centimeter of air (0.01 f/cc), the independent certified asbestos project inspector shall direct an immediate halt to all asbestos abatement work, require that corrective measures be undertaken to reduce airborne fiber concentrations in the immediate vicinity of the abatement action, and inform the Department immediately. Work shall not recommence until the source of the contamination has been identified and additional air samples have been collected indicating airborne fiber concentrations are below either one one-hundredth fibers per cubic centimeter (0.01 f/cc) or the background level;

**(.2)** for all other projects:

- (.a)** all project samples shall be collected and analyzed either by phase contrast microscopy(PCM) or transmission electron microscopy(TEM);

- (.b)** project samples shall be taken both inside and outside the asbestos abatement work area on a daily basis throughout the course of an asbestos abatement action;
- (.c)** project samples shall be collected from representative places throughout the work area;
- (.d)** project samples taken outside the asbestos abatement work area shall include:
  - (i)** air samples from the clean room of the decontamination unit;
  - (ii)** air samples outside of the asbestos abatement area in sufficient quantity and at appropriate places so as to determine if airborne asbestos fibers are escaping from the containment area(s) into adjacent non-asbestos work area(s);
  - (iii)** air filtration unit exhaust, if there is a possibility that exhausted air may be conveyed into non-asbestos work area(s); and
  - (iv)** other air samples as may be determined by the independent certified asbestos inspector;
- (.e)** all project samples shall be analyzed within twenty-four (24) hours of their collection and the results shall be posted at or near the asbestos abatement work area;
- (.f)** if, at any time during the course of the asbestos abatement work, airborne asbestos fiber concentrations determined by the project samples taken outside the asbestos abatement work area exceed the greater of either (1) the background concentration (as determined by statistical comparison of the project sample results with pre-test air sample results) or (2) one one-hundredth fibers per cubic centimeter of air (0.01 f/cc) outside of the work area, the independent certified asbestos project inspector shall direct an immediate halt to all asbestos abatement work, require that corrective measures, such as misting the air, wet wiping, and/or HEPA vacuuming, be undertaken to reduce airborne fiber concentrations in the air outside the asbestos abatement work area, and inform the Department immediately. Work shall not recommence until the source of the contamination has been identified and additional air samples have been collected indicating airborne fiber concentrations outside the work area are below

either one one-hundredth fibers per cubic centimeter(0.01 f/cc) or the background level;

**c. Clearance Samples**

The purpose of clearance samples is to determine if the asbestos abatement project was conducted in a proper manner so as to safely allow either (1) re-occupancy or (2) only that use necessary immediately prior to demolition. Clearance samples shall not be required for outdoor projects.

**(.1)** for projects prior to demolition (i.e. no re-occupancy):

- (.a)** all clearance samples shall be collected and analyzed either by phase contrast microscopy(PCM) or transmission electronmicroscopy (TEM);
- (.b)** clearance samples shall be collected after the asbestos abatement contractor has completed all asbestos abatement and clean-up activities and the independent certified asbestos project inspector has certified that the work area has passed the visual inspection set forth in Section VI C.8. of these regulations.
- (.c)** the minimum number of air samples which shall be collected inside the asbestos abatement work area shall be based on the area of floor space as indicated below:

<b>Area of floor space (Square feet)</b>	<b>Num. of air samples</b>
less than 5000	3
5000 or more	5

- (.d)** sampling sites in the abatement area shall be selected on a random basis to provide an unbiased and representative sample;
- (.e)** aggressive sampling conditions shall be used to circulate air in the vicinity of the air samplers with one twenty-inch fan used for each twenty thousand (20,000) cubic feet of work site;
- (.f)** the work area shall be considered cleared for that use necessary immediately prior to demolition when the concentration of asbestos does not exceed the limited use standard of five one-

hundredths fibers per cubic centimeter of air (0.05 f/cc) based on the arithmetic average of those clearance air samples taken inside the asbestos abatement work area. If any part of the building is occupied during the course of the asbestos project this standard shall not apply; there-occupancy standard set forth in Section VI.D.5. of these Regulations shall apply;

(.2) for projects for which re-occupancy will follow:

- (.a) all clearance samples shall be collected and analyzed by transmission electron microscopy (TEM), unless the asbestos project inspector certifies that an alternate analytic method provides adequate assurance that airborne asbestos levels will not exceed there-occupancy standard and the Department concurs therewith in writing;
- (.b) clearance samples shall be collected after the asbestos abatement contractor has completed all asbestos abatement and clean-up activities and the independent certified asbestos project inspector has certified that the work area has passed the visual inspection set forth in Section VI C.8. of these regulations.
- (.c) the minimum number of air samples which shall be collected inside the asbestos abatement work area shall be based on the amount of asbestos removed, enclosed, or encapsulated as indicated below. The same number of "ambient" samples shall be collected concurrently outside of the asbestos abatement work area:

<b>Amount of Asbestos/Square feet</b>	<b>Linear feet</b>	<b>Minimum number of air samples</b>
80 ** 100	40 ** 110	2
100 ** 130	110 ** 180	3
130 ** 160	180 ** 260	4
160 or more	260 or more	5

\*\* - or more but less than

- (.d)** asbestos abatement work area air samples shall be collected as follows:
  - (i)** sampling sites in the abatement area shall be selected on a random basis to provide an unbiased and representative sample;
  - (ii)** a field blank shall be taken at each abatement area before sampling is initiated by removing the cap for not more than thirty (30) seconds and replacing it at the time of sampling. Field blanks shall not be left open during the sampling period;
  - (iii)** a sealed blank shall be carried with each sample set; this representative cassette shall not be opened in the field; and
  - (iv)** aggressive sampling conditions shall be used to dislodge any remaining dust in the asbestos abatement work area as follows:
    - (\*1)** negative air filtration units shall remain on during the air monitoring period;
    - (\*2)** prior to air monitoring, floors, ceilings and walls shall be swept with the exhaust of a one (1) horsepower leaf blower;
    - (\*3)** stationary fans shall be placed on two (2) meter high stands in locations which will not interfere with air monitoring equipment. Fan air shall be directed at ceiling and operated at low speed. One (1) fan shall be used for each ten thousand (10,000) cubic feet of work site;
    - (\*4)** pump flow rates shall not exceed ten (10) liters per minute for twenty-five (25) millimeter cassettes; and
    - (\*5)** the air volume sampled shall be sufficient to ensure an analytical sensitivity sufficient to measure the re-occupancy standard; and
- (.e)** asbestos abatement ambient air samples shall be collected as follows:
  - (i)** ambient samplers shall be sited at places representative of the air entering the asbestos abatement work area. If make-up air entering the abatement area is drawn from another area of the building which is outside of the asbestos abatement work area, pumps shall be placed in this area. If no areas exist in the

building and the air is drawn from outside the building, pumps shall be placed out of doors located near the building, and away from any obstructions that may influence wind patterns. Air samples shall be representative of any air entering the asbestos work area;

(ii) the ambient air samplers shall be located at least three (3) feet apart, and they shall be protected from adverse weather conditions;

(iii) unless otherwise indicated, five (5) air samples shall be taken to match the clearance sampling; and

(iv) a field blank shall be taken at the ambient air sampling site.

5. The re-occupancy standard shall be an airborne level of asbestos fibers inside the asbestos abatement work area of one one-hundredth fibers of asbestos per cubic centimeter of air (0.01 f/cc), as analyzed by Transmission Electron Microscopy (TEM) or by an alternative analytic method as provided for in Section VI.D.4.c.(1) of these Regulations.

a. the standard shall be considered met, when the geometric mean of the asbestos concentrations of air samples taken inside the work area is less than the appropriate value listed below:

Number of Air Samples taken inside the Asbestos (f/cc) Abatement work area	Geometric mean to pass
2	0.00393
3	0.00467
4	0.00517
5	0.00554

b. if the work area fails to meet the re-occupancy standard specified in subsection a. above, the standard shall be met when the average concentration of airborne asbestos fibers based on those air samples taken inside the asbestos abatement work area is not significantly different from

the average asbestos concentration of the "ambient" samples collected at the same time outside the work area, as determined by the Z-test method found in 40 CFR 763, Subpart E., Appendix A.

#### **E. Project Completion**

In order to be considered a completed project each work area must pass a final inspection by meeting the conditions outlined below.

1. For projects for which re-occupancy will follow:
  - a. a building owner shall not permit an asbestos project work area, or any part of the building evacuated during an asbestos project, to be reoccupied until the Department has certified, in writing, that the following conditions have been met:
    - (.1) the asbestos project inspector has certified that, based on a visual inspection, the area contains no visible dust or debris;
    - (.2) the asbestos project inspector has certified that, based on the results of the aggressive air monitoring procedures listed in Section VI.D.4.c.(.2)(.d)(iv) of these Regulations, the airborne asbestos level in the work area does not exceed the re-occupancy standard established by these Regulations;
    - (.3) the Department, based on a visual inspection, has determined that the area contains no visible dust or debris;
    - (.4) the Department has determined that the air monitoring required to establish that the re-occupancy standard has been met has been performed in accordance with applicable regulations and procedures; and
    - (.5) the asbestos contractor or supervisor has submitted an amended permit application for any project changes and evidence of the final, total cost of the asbestos abatement portion of the project, and has paid any incremental permit fee due.
2. For projects for which demolition will follow (i.e. no re-occupancy):
  - a. a building owner shall not permit an asbestos project work area, or any part of the building evacuated during an asbestos project, to be open for limited use until the Department has certified, in writing, that the following conditions have been met:

- (.1)** the asbestos project inspector has certified that, based on a visual inspection, the area contains no visible dust or debris;
- (.2)** the asbestos project inspector certifies that, based on the results of the aggressive air monitoring procedures listed in Section VI.D.4.c.(1)(e) of these Regulations, the airborne asbestos level in the work area does not exceed the limited use standard set forth in Section VI.D.4.c.(1)(f) of these Regulations;
- (.3)** the Department, based on a visual inspection, has determined that the area contains no visible dust or debris;
- (.4)** the Department has determined that the air monitoring required to establish that the limited use standard has been met has been performed in accordance with applicable regulations and procedures; and
- (.5)** the asbestos contractor or supervisor has submitted an amended permit application for any project changes and evidence of the final, total cost of the asbestos abatement portion of the project, and has paid any incremental permit fee due.

**3. For outdoor projects:**

- a.** the asbestos project inspector has certified that, based on a visual inspection, the area contains no visible dust or debris;
- b.** the asbestos project inspector has certified that project samples taken on the final day of the project do not exceed the limits set forth in Section VI.D.4.b.(1)(d). If these limits are exceeded the project inspector shall make an evaluation of the cause, recommend remedial action and direct a re-test. This process shall continue until these limits have been met;
- c.** the Department, based upon a visual inspection, has determined that the area contains no visible dust or debris;
- d.** the Department has determined that the air monitoring required to establish that the final day's project samples meet appropriate limits has been performed in accordance with applicable regulations and procedures; and
- e.** the asbestos contractor or supervisor has submitted an amended permit application for any project changes and evidence of the final, total cost of the asbestos abatement portion of the project, and has paid any incremental permit fee due.

4. The Certified Asbestos Project Inspector shall within ten (10) days from the completion of the asbestos project submit to the Department a report containing the results of the final visual inspection and the laboratory report of the final clearance sampling.

**F. Inspections**

The asbestos contractor or supervisor shall make a request to the Department at least seventy-two (72) hours prior to the time when pre-inspections and final inspections are required.

## **SECTION VII. STANDARDS FOR MINOR ASBESTOS PROJECTS**

### **A. Work Area Preparation**

- 1.** The building owner or designated representative shall provide at least ten (10) calendar days advance notification of intended asbestos abatement activity to all occupants within the work area, and areas adjacent to the asbestos project. The notification shall include: the name of the contractor, the project location and scope, amount and type of asbestos, abatement procedure, dates of expected occurrence, and the telephone number for Air Management Services. Postings of this notification shall be in English (and other languages appropriate to the population of occupants within the work area and adjacent areas), at eye level, in a conspicuous, well-lit place, at the entrances to the work area and immediate adjacent areas. The notice shall have the heading, **NOTICE OF ASBESTOS ABATEMENT**, in a minimum of one-inch Sans Serif gothic or block style lettering. All other lettering shall be in a minimum of one-quarter inch Sans Serif gothic or block style. The notice shall be posted until the Department certifies that the re-occupancy standard has been met. A lessee initiating an asbestos project shall give ten (10) calendar days' notice to the owner of the subject building prior to the start of the asbestos project.
- 2.** Caution signs meeting the specifications of OSHA 29 CFR 1926.58 K(1)(ii), shall be posted at all entrances to a location where airborne concentrations of asbestos may exceed ambient background levels. Caution signs shall be posted in English and other appropriate languages.
- 3.** Building occupants shall be removed from any floor where an asbestos project is in progress, unless the work area is completely separated from the occupied area by an airtight physical barrier, with the work area under negative pressure.
- 4.** Prior to plasticizing as required under paragraph 14. below:
  - a.** movable objects within the proposed work areas shall be pre-cleaned using HEPA-filtered vacuum equipment and, where feasible, wet cleaning methods, and such objects shall be removed from the work area. Upholstered furniture, carpeting and drapes shall be HEPA-vacuumed before removal from the work area. If disposed of as asbestos waste material in accordance with Section VI.C.7. of these Regulations, cleaning is unnecessary. If carpeting is left in place, it shall be covered with plastic sheeting and one-half (1/2)-inch rigid flooring prior to plasticizing as required under paragraph 14. below;
  - b.** fixed objects which will remain within the proposed work areas shall be pre-cleaned using HEPA-filtered vacuum equipment and, where feasible, wet

cleaning methods and enclosed with one (1) layer of plastic sheeting sealed with tape; and

- c. all other surfaces in the proposed work areas shall be pre-cleaned using HEPA-filtered vacuuming equipment.
5. Except to allow for the entry of air necessary to maintain negative pressure, the work area shall be isolated by completely enclosing the work area and sealing off all doors, windows, ducts, grills, diffusers, and any other penetrations of the work areas with two (2) layers of plastic sheeting and tape. All seams of system components that pass through the work area shall also be sealed.
6. An airlock shall be constructed at the entrance to the work area.
7. Suspended ceiling tiles and T-grid components contaminated by friable asbestos materials shall remain in place until, (a) the work area has been fully prepared as outlined in Section VII.A. of these Regulations, and (b) electrical and HVAC systems have been shutdown. If any suspended ceiling tiles and T-grid components are to be retained for reuse, they shall be removed and vacuumed with HEPA-filtered equipment and wet-cleaned; otherwise, they shall be removed and disposed of as asbestos waste in accordance with Section VI.C.7. of these Regulations.
8. Emergency exits from the work areas shall be maintained, or alternative exits shall be established in accordance with Title 5 of the Philadelphia Code and any other applicable provisions. Emergency exits shall be checked daily against exterior blockage or impediments to exiting.
9. Entrances to the work area that will not be used for worker entry or emergency exits shall be locked to prevent unauthorized entry.
10. Floor drains shall be sealed individually with two layers of plastic sheeting and tape, and then covered in accordance with paragraph 14. below. Pits, sumps, etc., shall be covered with adequate plywood sheathing and secured to floor slabs in a manner which prevents a tripping hazard, prior to plasticizing as required in paragraph 14. below.
11. Elevators running through the work area shall be shutdown, except as provided in subsection b. of this paragraph:
  - a. the elevator door in the work area shall be enclosed with conventional 2x3 stud framing, covered with three-eighths-inch (3/8") plywood sheathing and sealed at all edges and seams. This barrier shall be covered and lapped for

eight (8) inches with two (2) layers of plastic sheeting adhered individually with edges taped for air tightness; and

**b.** elevators may remain in operation where shut-down would severely restrict usage of the remainder of the occupied building. In these situations:

**(.1)** elevator control shall be modified to bypass the work area, if possible;

**(.2)** a final larger layer of plastic sheeting shall be taped across the opening, airtight but with slack forming a larger perimeter diaphragm. Air leakage across the barrier shall be corrected upon discovery, and the elevator shaft shall be checked for airborne asbestos contamination; and

**(.3)** smoke tests shall be conducted daily by the asbestos contractor.

**12.** Heating, cooling, and ventilating air systems into or out of the work area shall be shutdown to prevent contamination and dispersal of asbestos fibers to other areas of the structure.

**13.** Electrical power shall be shutdown, tagged, and locked out to all work areas, except to those work areas where it is necessary that electrical equipment remain in service. Safe, temporary power and lighting that is waterproof, when applicable, shall be provided in accordance with Title 4.1 of the Philadelphia code and any other applicable provisions. All power to work areas shall be brought in from outside the area through ground-fault interrupter at the source. Necessary stationary electrical equipment within the work area shall be adequately enclosed and ventilated.

**14.** All floor and wall surfaces shall be covered and sealed with plastic sheeting, using a minimum of two (2) layers. The plastic layers on the floor shall extend twelve (12) inches up the walls. Walls shall be covered with plastic sheeting down to the floor level, thus overlapping the floor covering by a minimum of twelve (12) inches. There shall be a distance of at least twelve (12) inches between the seams of adjacent layers.

**15.** Asbestos workers must have access to shower facilities after performing asbestos-related work activities, and a clean room for changing clothes.

**16.** A HEPA vacuum or equivalent shall be used to continuously exhaust the enclosed work area as specified in Section VI.B.20. of these Regulations except that (1) the negative air pressure in subdivision b. shall be demonstrated by smoke testing and (2) the minimum number of air changes referred to in subdivision f. shall be two (2) per hour.

17. Where there is no worker decontamination enclosure system contiguous with the work area, the workers shall wear protective equipment consistent with Section VI.C.4.c. of these Regulations and remove the equipment consistent with Section VI.C.4.j. of these Regulations.

## **B. Asbestos Project Procedures**

### **1. General Procedures**

- a. No person shall enter the work area without proper equipment, clothing, and training;
- b. The asbestos contractor or supervisor shall provide all authorized persons who enter the work area with the same protective clothing and equipment as is required for major asbestos projects and shall ensure that it is properly used;
- c. The asbestos contractor or supervisor shall ensure that all workers remove asbestos debris from clothing and equipment before leaving the work area; and
- d. The asbestos contractor or supervisor shall ensure that appropriate air monitoring to determine worker exposure shall be conducted for asbestos workers not covered by the OSHA Asbestos Standard.

### **2. Removal Procedures**

The asbestos contractor or supervisor shall ensure that all removal, enclosure, encapsulation, waste disposal, work area clean-up, and re-insulation procedures required for major asbestos projects as provided in Section VI.C.2. through Section VI.C.9., inclusive, of these Regulations are followed.

## **C. Air Monitoring**

1. Air sampling and analysis for asbestos shall be conducted either according to the latest NIOSH methods for phase contrast microscopy (PCM) (Method 7400, NIOSH Manual of Analytical Methods) or transmission electron microscopy (TEM) (Method 7402, NIOSH Manual of Analytical Methods). Otherwise OSHA and EPA methods, or other methods approved by the Department, shall be employed. The applicable OSHA method for PCM is set forth in 29 CFR 1926.58, Appendix B. The applicable EPA method for TEM is set forth in 40 CFR 763, Subpart E, Appendix A.
2. Air samples shall be analyzed by an independent certified laboratory by appropriate analytic methods.

- 3. Siting of air monitoring samplers:**
  - a.** the sampling zone for indoor air samples shall be representative of the building occupants' breathing zone;
  - b.** if possible, outdoor ambient and baseline samplers should be placed about six (6) feet above the ground surface in reasonable proximity of the building and away from obstructions and drafts that may unduly affect airflow. For outdoor samples, if access to electricity and concerns about security dictate a rooftop site, locations near vents and other structures on the roof which would unduly affect airflow shall be avoided;
  - c.** air sampling equipment shall not be placed in corners of rooms or near obstructions such as furniture; and
  - d.** ambient clearance samplers shall be sited according to Section VI.D.4.c.(2)(e) of these Regulations.
- 4. Air samples shall be taken before, during, and after asbestos abatement as follows:**
  - a.** three (3) initial samples shall be taken before asbestos abatement begins to establish prevalent airborne levels;
  - b.** project samples shall be taken inside and outside the work area on a daily basis while asbestos abatement is occurring to monitor the work area and detect any escape of fibers; and
  - c.** clearance samples shall be taken according to Section VI.D.4.c of these Regulations. Either PCM or TEM may be used for analysis.
- 5. The asbestos contractor or supervisor shall immediately halt asbestos work and implement appropriate remedial measures if air testing results show any increase in airborne asbestos levels outside the work area which exceeds the standard set forth for major asbestos projects in Section VI.D.4.b.(2)(f) of these Regulations.**
- 6. The re-occupancy standard shall be an airborne asbestos level of one one-hundredth (0.01) fibers per cubic centimeter of air or the ambient level as measured by the same method, whichever is greater. If necessary, comparison with the ambient level will be in accordance with Section VI.D.5.b. of these Regulations. After clean-up, the asbestos project work area, including any part of the building evacuated during an asbestos project, shall not be unsealed or re-occupied until the re-occupancy standard has been met.**

#### **D. Project Completion**

- 1.** The asbestos project work area, including any part of the building evacuated during an asbestos project, shall not be unsealed or re-occupied until the contractor or supervisor certifies that:
  - a.** based on a visual inspection, the area contains no visible dust or debris; and
  - b.** based on the results of the aggressive air monitoring procedures listed in Section VI.D.4.c.(2)(d)(iv) of these Regulations the airborne asbestos level in the area does not exceed the re-occupancy standard established by the Department.

## **SECTION VIII. STANDARDS FOR SMALL ASBESTOS PROJECTS**

### **A. Work Area Preparation**

1. Appropriate caution signs shall be posted at all entrances to the asbestos project work area and the waste storage area at all times during the asbestos project until the re-occupancy standard has been met.
2. All furniture, equipment, fixtures, and other movable objects shall be HEPA-vacuumed and, where feasible, wet-cleaned and removed from the work area.
3. All other objects that cannot be removed shall be HEPA-vacuumed and, where feasible, wet-cleaned and covered with plastic sheeting taped in place.
4. A sealable barrier of plastic sheeting shall be constructed at the entrance to the work area.
5. All ventilation systems into and out of the work area shall be covered with plastic sheeting taped in place.
6. Occupants shall be removed from any floor where an asbestos project is in progress unless the work area is completely enclosed and sealed off from other areas.

### **B. Asbestos Project Procedures**

All asbestos project procedures shall conform with the provisions of Section VII.B. of these Regulations.

### **C. Air Monitoring**

1. Air sampling and analysis for asbestos shall be conducted either according to the latest NIOSH methods for phase contrast microscopy (PCM) (Method 7400, NIOSH Manual of Analytical Methods) or transmission electron microscopy (TEM) (Method 7402, NIOSH Manual of Analytical Methods). Otherwise OSHA and EPA methods, or other methods approved by the Department, shall be employed. The applicable OSHA method for PCM is set forth in 29 CFR 1926.58, Appendix B. The applicable EPA method for TEM is set forth in 40 CFR 763, Subpart E, Appendix A.
2. Air samples shall be analyzed by an independent certified laboratory using appropriate analytical methods.
3. Clearance samples shall be taken to determine if the re-occupancy standard has been met as follows:

- a.** the clearance samples shall be taken after all asbestos abatement and clean-up activities have been completed but before the critical barriers are removed; and
- b.** two (2) samples shall be taken within each work area using aggressive sampling as follows:
  - (.1)** sweep floors briskly with a broom immediately before sampling;
  - (.2)** operate one ten (10) inch oscillating fan within twenty (20) feet of each sampler;
  - (.3)** locate each sampler within five (5) feet of the asbestos abatement activity;
  - (.4)** pump flow rates of up to ten (10) liters per minute may be used for twenty-five (25) millimeter cassettes; and
  - (.5)** the air volume sampled shall be sufficient to sure the minimum quantification limits.

## **SECTION IX. STANDARDS FOR INCIDENTAL ASBESTOS PROJECTS**

### **A. Site Preparation**

1. Appropriate caution signs shall be posted at all entrances to the asbestos project site and the waste storage area at all times during the asbestos project.
2. All surfaces having the potential to become contaminated shall be covered with plastic sheeting.
3. All ventilation intakes within ten (10) feet of the project site shall either be shut down or sealed with plastic sheeting.
4. Occupants shall be removed from any room where the incidental asbestos project is in progress.

### **B. Asbestos Project Procedures**

#### **1. General procedures**

- a. no person shall perform or assist in an incidental asbestos project without wearing proper protective equipment and clothing; and
- b. all asbestos debris must be removed from clothing and equipment before the worker leaves the project site.

#### **2. Other procedures**

- a. asbestos pipe covering shall be removed by containment bag techniques;
- b. asbestos materials shall be thoroughly wetted with an appropriate wetting solution before being removed;
- c. cutting, sawing, or other similar operations on asbestos materials shall be performed in conjunction with a HEPA vacuum system;
- d. all encapsulation, waste disposal, and reinsulation procedures required for major asbestos projects shall be followed; and
- e. the project site shall be HEPA-vacuumed or wet-cleaned such that no visible residue remains.

## **SECTION X. ASBESTOS INSPECTIONS AND REPORTS**

### **A. General.**

1. An asbestos inspection report shall be required prior to issuance of a permit for demolition or alteration which requires the filing of plans. This does not apply to buildings for which a building permit was issued after December 31, 1980 or any residence with three (3) dwelling units or less. For the purpose of these Regulations asbestos inspections shall be made only by an independent certified asbestos investigator.
2. A copy of the asbestos inspection report shall be provided to each contractor involved in the project for which the building permit was applied and shall be made available to all contractor employees working on the project.

### **B. Asbestos Inspection.**

In conducting an asbestos inspection of the area affected by the proposed work the independent certified asbestos investigator shall:

1. Visually inspect and identify the locations of all surfacing material, thermal system insulation, and miscellaneous material known or suspected to be asbestos material;
2. Determine if material known or suspected to be asbestos material is friable (i.e. able to be crumbled, pulverized, or reduced to powder by hand pressure when dry, or which will be crumbled, pulverized, or reduced to powder by the proposed work) or non-friable;
3. Identify all homogeneous areas (i.e. areas uniform in color and texture) of friable and non-friable suspected asbestos material;
4. Determine the condition of known or suspected asbestos material and classify in three categories as follows:
  - a. type of material-known or suspected asbestos material
  - b. physical state-friable or non-friable
  - c. condition-damaged (or deteriorated or delaminated) or non-damaged;
5. Collect and submit for analysis bulk samples of friable suspected asbestos material in accordance with paragraph C. below and;
6. Attach warning signs immediately adjacent to any known or suspected asbestos material which is either friable or non-friable as follows:

- a. the warning labels shall read in print which is readily visible because of large size or bright color: **CAUTION/ASBESTOS: DO NOT DISTURB WITHOUT PROPER TRAINING AND EQUIPMENT**
- b. all labels shall be prominently displayed in readily visible locations and shall remain posted until the project is completed or the asbestos material is removed.

**C. Sampling Techniques.**

1. Samples of surfacing material which is suspected to be asbestos material and is friable shall be collected in a random manner that is representative of the area affected by the proposed work as follows:
  - a. a minimum of three (3) bulk samples shall be collected from each homogeneous area as outlined in paragraph B. above that is one thousand (1000) square feet or less;
  - b. a minimum of five (5) bulk samples shall be collected from each homogeneous area as outlined in paragraph B. above that is greater than one thousand (1000) square feet but less than or equal to five thousand (5000) square feet ;
  - c. a minimum of seven (7) bulk samples shall be collected from each homogeneous area as outlined in paragraph B. above that is greater than five thousand (5000) square feet;
2. Samples of thermal system insulation which is suspected to be asbestos material and is friable shall be collected in a random manner that is representative of the area affected by the proposed work as follows:
  - a. a minimum of three (3) bulk samples shall be collected from each homogeneous area as outlined in paragraph B. above;
  - b. a minimum of one (1) bulk sample shall be collected from each homogeneous area as outlined in paragraph B. above which has been patched if the patched section is less than six (6) linear feet or square feet; and
  - c. sufficient bulk samples shall be collected from each insulated mechanical system where cement or plaster is used on fittings such as tees, elbows, or valves unless it has been determined that such insulation is fiberglass, foam glass, rubber, or other non-asbestos material;

3. Samples of miscellaneous material which is suspected to be asbestos material and is friable shall be collected in a random manner that is representative of the area affected by the proposed work.

**D. Analysis.**

1. All bulk samples collected under paragraph C. above shall be analyzed for asbestos content by laboratories certified by the Department according to Section IV.E. of these Regulations;
2. Bulk samples shall not be composited for analysis and shall be analyzed by polarized light microscopy; and
3. A homogeneous area shall be determined to be asbestos material if at least one sample collected from that area contains more than one percent (1%) asbestos.

**E. Reporting.**

1. The asbestos inspection report shall contain the following information:
  - a. name of building;
  - b. address of building;
  - c. name and phone number of building owner;
  - d. name, business address, and phone number of independent certified asbestos investigator;
  - e. location, amount, and classification (as outlined in Section X.B.4. of these Regulations) of all known or suspected asbestos material which will be affected by the proposed work;
  - f. date samples were collected; and
  - g. name and address of the certified analytical laboratory which analyzed the samples.

## **SECTION XI. EFFECTIVE DATE**

Except as otherwise provided this Regulation shall become effective upon adoption.

## **SECTION XII. SEVERABILITY**

The provisions of this Regulation are severable. If any provision or part thereof is held to be unenforceable, the remaining provisions or parts thereof shall remain in effect. It is hereby declared to be the intent of the Board that this Regulation would have been adopted if the unenforceable provision or part had not been included.

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