



**ALLIES & ROSS MANAGEMENT AND  
DEVELOPMENT CORPORATION**

**REQUEST FOR PROPOSALS  
RFP #2019-28  
FOR**

**Phase I Environmental Site Assessment and Update for the Manchester  
Neighborhood**

**Due**

**July 10, 2019  
11:00 A.M.**

**To: Mr. Kim Detrick  
Director of Procurement/Chief Contracting  
Officer  
100 Ross Street, 2<sup>nd</sup> Floor – Suite 200  
Pittsburgh, PA 15219**

**ALLIES & ROSS MANAGEMENT AND  
DEVELOPMENT CORPORATION**

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For  
Phase I Environmental Site Assessment and Update for the Manchester Neighborhood**

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## **SECTION I**

### **INTRODUCTION**

The Allies & Ross Management and Development Corporation (“ARMDC”), an instrumentality of the Housing Authority of the City of Pittsburgh (“HACP”), hereby requests proposals from qualified Environmental Services firms to perform a Phase I Environmental Site Assessment and Update for eighty-two (82) scattered site parcels located in the Manchester neighborhood of the City of Pittsburgh, as a part of the Manchester Revitalization development (PA-01-72) (see **Attachment L** - Schedule of Properties and **Attachment M** – Site Map). A more detailed scope of services is provided in Section II of this Request for Proposals (“RFP”).

The United States Department of Housing and Urban Development (“HUD”) is anticipated to provide the funding for this work through the Capital Fund Program and all work performed must be in compliance with all rules and regulations of this program and all other applicable Federal regulations including but not limited to, Handicap Accessibility (Section 504), Americans with Disabilities Act (ADA), Uniform Federal Accessibility Standards (UFAS), and Federal procurement requirements. In addition to the Federal laws and regulations, all work must also be performed in compliance with all Commonwealth of Pennsylvania laws and regulations, and local building codes.

ARMDC is contemplating the award of a professional service contract, or contracts, for **an initial Term of one (1) with two (2), one (1) year extension options for a total of three (3) years**, in the form of the Contract (**Attachment A**) through this solicitation process. If submitting alterations to the ARMDC contract for review and acceptance by ARMDC, please submit an electronic version in MS Word format on a CD. If submitting your company contract for review and acceptance by ARMDC, please submit an electronic version in MS Word format on CD. If your contract is not included with your proposal it is assumed that ARMDC’s contract will be used and is binding.

Any questions regarding this Request for Proposals should be in writing and directed to:

Allies & Ross Management and Development Corporation  
Attn: Mr. Kim Detrick  
Director of Procurement/Chief Contracting Officer  
Housing Authority of the City of Pittsburgh  
100 Ross Street, 2<sup>nd</sup> Floor  
Pittsburgh, PA 15219  
(412) 456-5115  
[kim.detrick@hacp.org](mailto:kim.detrick@hacp.org)

Following are the Key Dates associated with this Request for Proposals:

**June 20, 2019 @ 11:00 A.M.**

**Pre-Submission Conference**

100 Ross Street,  
2nd Floor Conference Room  
Pittsburgh, PA 15219

**July 3, 2019 @ 11:00 AM**

**Deadline for Submission of Questions**

**July 10, 2019 @ 11:00 A.M.**

**Deadline for Submission of Proposals**

Allies & Ross Management and  
Development Corporation  
Attn: Mr. Kim Detrick  
Director of Procurement/Contracting Officer  
Housing Authority of the City of Pittsburgh  
100 Ross Street,  
2<sup>nd</sup> Floor  
Pittsburgh, PA 15219

## **SECTION II SCOPE OF SERVICES**

Allies & Ross Management and Development Corporation (“ARMDC”) seeks to engage a Professional Environmental Firm to perform a Phase I Environmental Site Assessment and Update for eighty-two (82) scattered site properties located in the Manchester neighborhood of the City of Pittsburgh’s 21<sup>st</sup> Ward, as a part of the Manchester Revitalization development (PA-01-72). Please see **Attachment L** for a complete list of properties associated with this development, as well as **Attachment M** for a site map.

The selected firm will be responsible for professional environmental services to be provided on a task order basis, which shall include the following:

### Section 1.

Complete a Phase I Environmental Site Assessment (“ESA”) and subsequently an Update, within 6 to 18 months upon specific Notice to Proceed from ARMDC, and all of the necessary and ancillary professional environmental services to complete the U.S. Department of Housing and Urban Development (“HUD”) Form 4128 (**Attachment N**). This report should cover the relevant topics in the Sample Field Notes Checklist (“SFNC”) in the Forms Appendix. It should focus on those environmental issues that might affect the acceptability of the project including any compliance issues with state environmental laws.

The Environmental Report must include, but is not limited to, the following:

- A. Lead-Based Paint (not covered in the SFNC) (Mandatory)
- B. Asbestos (not covered in the SFNC) (Mandatory)
- C. Historic Preservation (Item 18 in the SFNC) (Mandatory)
- D. Floodplain Management (Item 17 in the SFNC)
- E. Wetlands Protection (Item 22 in the SFNC)
- F. Endangered Species (Item 24a in the SFNC)
- G. Noise Analysis (Item 19 in the SFNC)
- H. Explosive/Flammable Hazards (Item 20 in the SFNC)
- I. Coastal Barrier Resources (Item 16, SFNC)
- J. Coastal Zone Management (Item 10, SFNC)
- K. Sole Source Aquifers (Item 24b of the SFNC)

L. Airport Clear Zones (Item 21 of the SFNC)

M. Other Federal or State Laws (Item 24 of the SFNC)

N. Additional Hazards and Nuisances (covers pipelines, etc.) (Items 27 and 28 of the SFNC)”

The services will be completed to aid HACP/ARMDC with a submission to the United States Department of Housing and Urban Development.

## Section 2.

Complete all of the necessary testing, recording and reporting in order to fulfill the environmental services requirements in accordance with the “Phase I Environmental Review/Environmental Test Results” (i.e. Tab 17), which references the testing requirements of the ‘Project Capital Needs Assessment & Energy Audit’ (i.e. Tab 34), of the Pennsylvania Housing Finance Agency’s (“PHFA”) 2019 Low Income Housing Tax Credit (“LIHTC”) application. The services may be completed to aid HACP/ARMDC with the submission of a 4% LIHTC application to the PHFA.

The selected firm must provide all professional environmental services in accordance with ASTM E1527-13 Section 42 of the Internal Revenue Service Code and Tab 17 and Tab 34 of the Pennsylvania Housing Finance Agency’s Low Income Housing Tax Credit Application (see **Attachments O and P**).

The selected firm will be required to prepare a detailed final written report discussing the findings, recommendations and conclusions of each assigned task order. The report will include a summary outlining all conclusions and recommendations for abatement procedures, a detailed narrative of all field investigations, a listing of all analytical results, labeled photographs, a budgetary cost estimate, and environmental interpretations of site information. This final report shall be provided in hard copy and electronically on CD.

The period of performance to complete the requested services will commence upon the receipt of a Notice to Proceed and should be completed within 60 days thereafter. The proposed and approved schedule will be indicated in the Notice to Proceed as based on laboratory processing availability. The requested services should commence immediately upon issuance of the Notice to Proceed and time is of the essence in completing these reports.

In Addition, Proposers should include the following in their proposals.

### **Contract Work in Progress**

Provide a listing of all contract work currently in progress by the Offeror and/or the entities that comprise the Offeror, to include at a minimum:

- Name(s) of projects(s)
- Original project value
- Change Order values approved to date

- Names(s) of entity contract is with
- Approximate contract value
- Contract term
- Percentage complete
- Projected contract end date
- Names(s) of staff assigned that are also proposed for this ARMDC project

**Related Hazardous Material Experience:**

- Identify all previous related experience to Lead Based Paint Risk Assessments and with HUD's Lead Safe Housing Rule. Include a description of the Process used to complete the Lead Based Risk Assessments or the steps taken to bring other entities into compliance with HUD's Lead Safe Housing rule.
- Identify all previous related experience with sampling for and analyzing results associated with mold/mildew. Include description of experience with specifying mold remediation processes.

The Professional Services Contract that is anticipated for use to obtain these services is included herein as **Attachment A**.

### **SECTION III GENERAL REQUIREMENTS**

A Proposer may be an individual or a business corporation, partnership, firm, joint venture or other legal entity duly organized and authorized to do business in the City of Pittsburgh, financially sound and able to provide the services being procured by ARMDC.

If a Proposer has been debarred, suspended or otherwise lawfully precluded from participating in any public procurement activity, such firm shall disclose that information in its proposal and such information may be sufficient ground for disqualification. If the selected firm fails to disclose such information and ARMDC discovers it thereafter, then ARMDC may terminate the contract.

Each Proposer must be in good standing with ARMDC, HACP and any Federal, State or Municipality which currently has or has previously had a contracting relationship with the proposer. If a Federal, State or Municipal entity has terminated any contract with an Offeror for deficiencies or defaults, that Offeror must disclose this information as part of its proposal.

Proposer must have and maintain all necessary insurance to cover malpractice, liability, and workers' compensation and submit proof of coverage as part their proposal submission.



## SECTION IV CONTENT OF RESPONSE DOCUMENTS

Offerors submitting Proposals should fully read and comprehend the **Professional Services Contract for Phase I Environmental Site Assessment and Update for the Manchester Neighborhood** provided in **Attachment A**; the **HUD-5370C**, General Conditions for Non-Construction provided in **Attachment B**; and the **HUD-5369B**, Instructions to Offerors, Non-Construction provided in **Attachment C**. Proposals received without all of the required information may be deemed non-responsive. Offerors must submit one original plus three (3) paper copies of their technical proposal and one (1) electronic copy in .PDF format on a CD or flash drive. **In a separate sealed envelope** submit one (1) original paper, one (1) paper copy and (1) electronic copy in .PDF format of the fee proposal. Proposals must include, in the same order as below and using the forms attached hereto, the following information, exhibits and schedules:

### A. General Information

1. Letter of Interest (Cover letter)
2. Type of Organization; Corporation, Partnership, Joint Venture or Sole Proprietorship. Names of shareholders, partners, principals and any other persons exercising control over the Firm.
3. Description of the Offeror's capacity including staff resources
4. Organizational Certifications:
  - (a) Copies of Certificate of Incorporation, Partnership Agreement, Joint Venture or other organizational document.
  - (b) A corporate resolution signed by the Secretary of the Corporation and notarized, certifying the name of the individual(s) authorized to sign the offer, the contract and any amendments thereto.

### B. Previous Related Experience

1. The bidder shall list three (3) firms, governmental units, or persons for whom the bidder has previously performed work of the nature requested under this RFP. Name of the contracting entity.
2. Name, title and a telephone number of a contract person for each identified contracting entity to permit reference checks to be performed. The identified party must be one who has first-hand knowledge regarding the operation of the contracted facility or project and who was involved in managing the contract between the Offeror and the contracting entity.
3. In addition to the references, all bidders will provide the last three jobs they performed, contact information from the job and all change orders related to the job and the reason for each.
4. All bidders will provide information on the most recent ARMDC and/or Housing Authority of the City of Pittsburgh (HACP) job to include all change order information and the reason for each. The most recent ARMDC and/or HACP job can be one of the 3 last jobs performed if that is the case.

**C. Proposed Staffing and Sub-consultants Responsibilities and Qualifications**

Provide the following information relative to the proposed staffing and sub-consultants for this contract:

1. Provide background information regarding each identified Staff member that accurately describes his or her employment history and relevant experience providing services similar to those described in this Request for Proposals.
2. Description of the Scope of Services for at least three (3) projects in which the Staff and/or sub-consultant has provided services similar to those described in this Request for Proposals. Please include the individual's role in each project and all relevant aspects of each project.
3. Resumes for the owners and key management personnel of the company demonstrating their experiences in managing similar environmental site assessments to those described in the RFP.

**D. Methodology**

Project Approach: Provide a brief narrative of the Offeror's approach to the services described in this Request for Proposals. Availability: Describe the availability of the Staff proposed and the turnaround time for each request to be made by ARMDC.

**E. Certifications and Representations of Offerors**

Each Offeror must complete the Certifications and Representations of Offerors provided in **Attachment D**.

**F. Minority and Women Business Participation Plan**

*ARMDC's MBE and WBE Goals.* It is the policy of ARMDC to ensure that Minority Business Enterprises (MBEs) and Women-owned Businesses (WBEs) are provided maximum opportunity to participate in contracts let by ARMDC. In accordance with Executive Order 11625, ARMDC has established a minimum threshold of **twenty-five percent (25%)** of the total dollar amount for MBE utilization in this contract. ARMDC has established a **ten percent (10%)** minimum threshold for participation of WBEs, and, ARMDC strongly encourages and affirmatively promotes the use of MBEs and WBEs in all ARMDC contracts. For these purposes, an MBE is defined as "any legal entity other than a joint venture, organized to engage in commercial transactions, that is at least fifty-one percent (51%) owned and controlled by one or more minority persons." Also, a minority person is defined as a member of a socially or economically disadvantaged minority group, which includes African-Americans, Hispanic-Americans, Native-Americans, and Asian-Americans. A WBE/MBE is defined as "any legal entity other than a joint venture, organized to engage in commercial transactions, that is at least fifty-one percent (51%) owned and controlled by a female.

**Proposals submitted in response to this solicitation MUST include an MBE/WBE participation plan which, at a minimum, demonstrates "Best Efforts" have been taken to achieve compliance with MBE/WBE goals. ARMDC's Procurement Policy defines "Best Efforts" in compliance with MBE/WBE goals to mean that the contractor must certify and document with its bid or proposal that it has contacted in writing at least ten (10) certified MBE/WBE subcontractors to participate in the proposed contract with ARMDC or lesser number if the contractor provides documentation that ten (10)**

**certified MBE and ten (10) certified WBE contractors could not be identified. Each contractor shall certify as to same under penalty of perjury and shall submit the back-up documentation with its bid or proposal. Any bid or proposal received from a contractor that does not contain such certification and back-up documentation acceptable to ARMDC may be deemed non-responsive by ARMDC.**

If you have any questions regarding the ARMDC's MBE/WBE goals please contact **Mr. Kim Detrick, Procurement Director/Chief Contracting Officer**, by e-mail at **Kim.Detrick@HACP.org** or by contacting him at the Procurement Department, Housing Authority of the City of Pittsburgh, 100 Ross Street, 2nd Floor, Pittsburgh PA 15219, telephone (412) 456-5116 opt 1. Proposals must demonstrate how the Offeror intends to meet or exceed these goals. Also, complete the table provided in **Attachment E** and include with your proposal.

### **G. Section 3 Participation**

Section 3 of the Housing and Urban Development Act of 1968, as amended (12 U.S.C. 1701, et seq.) (the "Act") requires the Allies & Ross Management and Development Corporation ("ARMDC") to ensure that employment and other economic and business opportunities generated by financial assistance from the Department of Housing and Urban Development ("HUD"), to the greatest extent feasible, are directed to public housing residents and other low income persons, particularly recipients of government housing assistance, and business concerns that provide economic opportunities to low and very low income persons.

To comply with the Act, ARMDC requires its contractors to provide equal employment opportunity to all employees and applicants for employment without regard to race, color, religion, sex, national origin, disability, veteran's or marital status, or economic status and to take affirmative action to ensure that both job applicants and existing employees are given fair and equal treatment.

The goal of this policy is to obtain a reasonable level of success in the recruitment, employment, and utilization of ARMDC residents and other eligible persons and/or businesses by contractors working on contracts partially or wholly funded with HUD monies. ARMDC shall examine and consider a contractor's potential for success in providing employment and business opportunities to those covered under Section 3 prior to acting on any proposed contract award. In response to any RFP, RFQ or IFB ARMDC will require submission of the Section 3 Opportunities Plan and roster of current employees, and certification that the bidder will comply with the requirements of Section 3 either by hiring Section 3 employees to directly perform under the contract or by committing a dollar amount to HACP's Section 3 program in an amount consistent with the chart on the next page.

Below are the HACP Section 3 Guidelines as listed in the ARMDC Program Manual:

**RESIDENT HIRING REQUIREMENTS / RESIDENT HIRING SCALE**

<b>TOTAL LABOR DOLLARS USE TOTAL CONTRACT AMOUNT FOR SERVICE CONTRACTS</b>	<b>RESIDENT LABOR AS A % OF TOTAL LABOR A. DOLLARS</b>
Labor dollars \$25,000 but less than \$100,000	10% of the labor dollars
\$100,000, but less than \$200,000	9% of the labor dollars
At least \$200,000, but less than \$300,000	8% of the labor dollars
At least \$300,000, but less than \$400,000	7% of the labor dollars
At least \$400,000, but less than \$500,000	6% of the labor dollars
At least \$500,000, but less than \$1 million	5% of the labor dollars
At least \$1 million, but less than \$2 million	4% of the labor dollars
At least \$2 million, but less than \$4 million	3% of the labor dollars
At least \$4 million, but less than \$7 million	2% of the labor dollars
\$7 million or more	½ to 1 % of the labor dollars

*\*\*A copy of ARMDC's Section 3 Program Manual is available for download at [www.HACP.org](http://www.HACP.org)*

A copy of HUD's Section 3 requirement is provided in Attachment F. If you have any questions regarding the Section 3 Requirements or would like to discuss goals and planning for Section 3 Requirements please contact **Lloyd C. Wilson, Jr., Section 3 Coordinator**, by e-mail at [Lloyd.Wilson@HACP.org](mailto:Lloyd.Wilson@HACP.org) or by contacting him at Housing Authority of the City of Pittsburgh, Bedford Hope Center 2305 Bedford Avenue, Pittsburgh PA 15219, telephone (412) 456-5000 ext. 1048. Proposals must demonstrate how the Offeror intends to meet or exceed the Authority's Section 3 requirements. Also, complete **Attachment F Section 3 Opportunities Plan** and include with your proposal.

**Any bid or proposal received from a contractor that does not contain a Section 3 Opportunities Plan or certification and back-up documentation acceptable to ARMDC may be deemed non-responsive by ARMDC.**

**H. Firm Demographics**

Provide demographic description of all employees of your firm using the table provided in **Attachment G.**

**I. TIN/W-9 Form**

Complete a W-9 Request for Taxpayer Identification Number and Certification, as provided in **Attachment H.**

**J. MBE/WBE Letter of Intent**

Complete a Letter of Intent for each MBE/WBE firm contacted. A sample letter is provided in **Attachment I**.

**K. Fee Sheet**

In a separate, sealed envelope, provide the Offeror's hourly rate proposal, in the format of **Attachment K**, to complete the services described in this Request for Proposals and the Offeror's Proposal. The Fee Proposal should separately identify the hourly rates for Staff and Sub-Consultants as applicable. It is noted that the proposed hourly rates will be evaluated separately as discussed in Section VI.

## SECTION V EVALUATION CRITERIA

The Evaluation Committee will evaluate and will score each proposal that is submitted as a complete response. It is noted that the proposed hourly rates will be evaluated separately. Responses may receive a maximum score of one hundred (100) points subdivided as follows:

**Experience of Proposed Staff:** **Maximum 20 points**

Demonstrated successful experience and capability of the proposed staff and sub-consultants proposed for this project in providing services described in this Request for Proposals.

**Experience of Firm:** **Maximum 20 points**

Demonstrated successful experience and capability of the Offeror in providing services described in this Request for Proposals.

**Proposed Fee:** **Maximum 10 points**

Proposed rates and level of service are reasonable and appropriate in relation to the services requested.

**Capacity:** **Maximum 20 points**

Demonstrated ability of the Offeror to provide the resources (staffing, equipment, office facilities and other) necessary for the timely and efficient implementation of ARMDC's goals and objectives as described in this solicitation.

**MBE/WBE Participation:** **Maximum 15 points**

Demonstrated experience and/or commitment of the Offeror to assist ARMDC in meeting its requirement and goals related to Minority/Women Business subcontracting and employment opportunities.

**Section 3 Participation:** **Maximum 15 points**

Demonstrated experience and/or commitment of the Offeror to assist ARMDC in meeting its requirements and goals related to Section 3.

**Deductions**

Points may be deducted for failure to submit all required documents or for submitting irrelevant or redundant material.

## SECTION VI PROCUREMENT AND AWARD PROCESS

Pursuant to 2 CFR 200.318 et seq., (formerly 24 C.F.R. Section 85.36 (d)(3)), the **Phase I Environmental Site Assessment and Update for the Manchester Neighborhood** are being procured for the services described in Section II of this solicitation. The following instructions are intended to aid Offerors in the preparation of their submissions:

### A. Pre-Submission Conference

A pre-submission conference will be conducted on **June 20, 2019, at 11:00 am, at 100 Ross Street, 2<sup>nd</sup> Floor, Suite 200 Pittsburgh, PA 15219**. Nothing discussed or expressed at the Pre-Submission Conference will change, alter, amend or otherwise modify the terms of this Solicitation unless a subsequent written amendment (addendum) is issued. Verbal responses by ARMDC's representatives shall not constitute an amendment or change to this Solicitation.

Material issues raised and addressed at the Pre-Submission Conference shall be answered solely through an addendum to this Solicitation. Likewise, ambiguities and defects of this Solicitation raised at the Pre-Submission Conference shall be corrected by a written amendment only, which, if issued, shall form an integral part hereof.

All prospective respondents are strongly encouraged to attend the Pre-Submission Conference. Failure to attend will not excuse the legal contractual duty imposed by this Solicitation and the subsequent contract on each respondent to familiarize itself with the request for proposals.

### B. Amendments to Solicitation

Any and all amendments to this Solicitation shall be available for viewing and download from the Business Opportunities Section of the HACP website, [www.hacp.org](http://www.hacp.org).

Any and all amendments to this Solicitation shall be sent by certified mail, return receipt requested, electronic mail, and/or by fax, to all potential Offerors who attend the Pre-Submission Conferences and/or receive the solicitation materials.

Notwithstanding any information that may be contained in the Solicitation and amendments thereto, Offerors are responsible for obtaining all information required thus enabling them to submit Responses.

### C. Submission of Proposals and/or Amendments; Deadlines

Responses may be hand-delivered or sent by certified or registered mail, return receipt requested, to the following address:

Mr. Kim Detrick  
Allies & Ross Management and Development Corporation  
c/o Housing Authority of the City of Pittsburgh  
Procurement Department  
100 Ross Street  
2<sup>nd</sup> Floor, Suite 200  
Pittsburgh, PA 15219

Proposals must be received at the above address no later than **July 10, 2019 at 11:00 a.m.**, regardless of the selected delivery mechanism.

Each Response will be date-time stamped immediately upon its receipt at ARMDC to document its timeliness. Any Proposal received after the specified deadline shall be automatically rejected and will be returned unopened except as identified in the Instructions to Offerors attached hereto.

Any amendments to a response must be received before the specified response due date and time established for the delivery of the original Proposal except as identified in the Instructions to Offerors attached hereto.

#### **D. Evaluation and Award Process**

ARMDC staff will review each submission to determine if it is complete and if it is responsive to this Request for Proposals. ARMDC may allow an Offeror to correct minor deficiencies in its submission that do not materially affect the submission.

All submission determined to be complete and responsive will be provided to an ARMDC Evaluation Committee. ARMDC's Evaluation Committee will evaluate the Proposals utilizing the criteria established in Section V of this Request for Proposals.

ARMDC reserves the right to interview selected Offerors, request additional information from selected Offerors and/or negotiate terms and conditions with selected Offerors.

ARMDC will perform a responsibility determination of the highest ranked Offeror, which may include reference and financial background checks.

ARMDC will award a contract to the highest-ranked Offeror or Offerors determined to be responsive and responsible and whose offer is in the best interest of ARMDC.

ARMDC shall not be responsible and will not reimburse any Offeror for any cost(s) associated with preparing a submission.

A Proposal submitted by an Offeror does not constitute a contract, nor does it confer any rights on the Offeror to the award of a contract. A letter or other notice of Award or of the intent to Award shall not constitute a contract. A contract is not created until all required signatures are affixed to the contract.

Prior to contract execution of any professional service contracts which have a potential amount of \$50,000.00 or greater, the selected firm may be required to appear before and present a Minority and Woman Owned Business participation plan to the City of Pittsburgh Equal Employment Opportunity Review Commission for approval. Any ARMDC contract which has a potential amount of \$50,000.00 or more is subject to approval by the ARMDC Board of Directors.



# **ATTACHMENT A**

## **CONTRACT**

(Shaded areas of the contract and Contract Exhibits must be filled out and contract returned with proposal)

**PROFESSIONAL SERVICE CONTRACT  
FOR  
Phase I Environmental Site Assessment and Update for the Manchester Neighborhood**

This Agreement is made as of \_\_\_\_\_ between ALLIES & ROSS MANAGEMENT AND DEVELOPMENT CORPORATION, a body corporate and politic created under the provisions of the Housing Authorities Law, as amended, having its principal office at 200 Ross Street, Pittsburgh, Pennsylvania 15219 ("ARMDC"), and \_\_\_\_\_, having its principal office at \_\_\_\_\_ ("Contractor").

**PREAMBLE**

ARMDC desires the Contractor to provide Phase I Environmental Site Assessment and Update for the Manchester Neighborhood.

Contractor desires to provide to the ARMDC Phase I Environmental Site Assessment and Update for the Manchester Neighborhood.

**AGREEMENT**

In consideration of the mutual covenants and promises set forth herein, the parties hereto, intending to be legally bound hereby, agree as follows:

1. **Incorporation by Reference.** ARMDC's Request for Proposals RFP #2019-28, including all Attachments and Addenda, the Contractor's Proposals submitted in response to this Request for Proposals, and all negotiated modifications to the Contractor's response to the Request for Proposals are hereby incorporated into this agreement by reference as if fully set forth herein.

2. **Engagement.** ARMDC hereby engages Contractor to render the services associated with performance of **Phase I Environmental Site Assessment and Update for the Manchester Neighborhood** as set forth in the Request for Proposals (the "Services").

Contractor hereby accepts such engagement and covenants that Contractor will devote and will cause its employees to devote their best efforts, knowledge and skill to the performance of the Services and such additional services as may be mutually agreed upon by ARMDC and Contractor.

It is understood that the Contractor's Services shall be rendered at such times and places as directed by ARMDC.

ARMDC may at any time make changes to the Services to be performed. If any such change causes an increase or decrease in the rates or the time required for performance of the Services, ARMDC shall make an equitable adjustment in the rates and the time required for performance of the Services, and shall modify this Agreement accordingly.

3. **Contractor Conflicts.** Contractor agrees that neither Contractor nor its employees shall, directly or indirectly, engage in any activity, which would detract from Contractor's ability or its employees' ability to apply their best efforts, knowledge and skill to the performance of the

Services. Contractor is charged with the responsibility to promptly disclose to ARMDC any situations that may create possible conflicts of interest so that appropriate action can be taken to address such situations. No member, official, or employee of ARMDC, during his or her tenure or for one year thereafter, shall have any interest in this Agreement or the proceeds thereof.

Contractor may not participate in the award or administration of a contract supported by Federal funds if a conflict of interest, real or apparent, would be involved.

In the event Contractor is or becomes aware of a conflict of interest and fails to disclose the conflict to ARMDC; ARMDC may immediately terminate this Agreement pursuant to paragraph 8(ii)(b) hereof.

**4. Compensation.** This contract is a requirements type contract with a maximum value of \$\_\_\_\_\_. The ARMDC agrees to pay Contractor for the Services per **ATTACHMENT K**. No work or expenses for which an additional cost or fee will be charged by Contractor shall be furnished without the prior written consent of ARMDC.

Contractor shall submit invoices to ARMDC upon successful completion of each task order, which invoices shall include an itemization of the hours expended by Contractor and Contractor's employees and the nature of the Services performed and shall be prepared in a form reasonably satisfactory to ARMDC.

ARMDC shall use its reasonable business efforts to process and pay each such invoice within 30 days of its receipt.

**4. Term.** The commencement date for performing the Services shall be the date of this Agreement, listed above, and will continue for **an initial term of one (1 ) with two (2), one (1) year extension options**, at the discretion of ARMDC, **for a total of three (3) years**, unless sooner terminated as provided herein.

**6. Contractor's Obligations.** Contractor shall comply with the following:

(a) If requested, Contractor will submit monthly written narrative progress reports to the ARMDC. Contractor shall retain all records in connection with this Agreement or the Services provided herein for a period of three years after all payments required herein are made and all other pending matters are closed.

(b) This Agreement is subject to and incorporates herein the provisions of the U. S. Department of Housing and Urban Development regulations and the sections of the Code of Federal Regulations that are applicable to said program.

(c) The rules and regulations of the Office of Management and Budget (OMB) Circular A-133 apply. If the Contractor is a non-profit organization incorporated or registered to do business in Pennsylvania under the laws of the Commonwealth of Pennsylvania, Contractor shall provide a copy of its annual Audit or Review, whichever is required by the Pennsylvania Bureau of Charitable Organizations.

Services. Contractor is charged with the responsibility to promptly disclose to ARMDC any situations that may create possible conflicts of interest so that appropriate action can be taken to address such situations. No member, official, or employee of ARMDC, during his or her tenure or for one year thereafter, shall have any interest in this Agreement or the proceeds thereof.

Contractor may not participate in the award or administration of a contract supported by Federal funds if a conflict of interest, real or apparent, would be involved.

In the event Contractor is or becomes aware of a conflict of interest and fails to disclose the conflict to ARMDC; ARMDC may immediately terminate this Agreement pursuant to paragraph 8(ii)(b) hereof.

**4. Compensation.** This contract is a requirements type contract with a maximum value of \$\_\_\_\_\_. The ARMDC agrees to pay Contractor for the Services per **ATTACHMENT G**. No work or expenses for which an additional cost or fee will be charged by Contractor shall be furnished without the prior written consent of ARMDC.

Contractor shall submit invoices to ARMDC upon successful completion of each task order, which invoices shall include an itemization of the hours expended by Contractor and Contractor's employees and the nature of the Services performed and shall be prepared in a form reasonably satisfactory to ARMDC.

ARMDC shall use its reasonable business efforts to process and pay each such invoice within 30 days of its receipt.

**4. Term.** The commencement date for performing the Services shall be the date of this Agreement, listed above, and will continue for **an initial term of one (1 ) with two (2), one (1) year extension options**, at the discretion of ARMDC, **for a total of three (3) years**, unless sooner terminated as provided herein.

**6. Contractor's Obligations.** Contractor shall comply with the following:

(a) If requested, Contractor will submit monthly written narrative progress reports to the ARMDC. Contractor shall retain all records in connection with this Agreement or the Services provided herein for a period of three years after all payments required herein are made and all other pending matters are closed.

(b) This Agreement is subject to and incorporates herein the provisions of the U. S. Department of Housing and Urban Development regulations and the sections of the Code of Federal Regulations that are applicable to said program.

(c) The rules and regulations of the Office of Management and Budget (OMB) Circular A-133 apply. If the Contractor is a non-profit organization incorporated or registered to do business in Pennsylvania under the laws of the Commonwealth of Pennsylvania, Contractor shall provide a copy of its annual Audit or Review, whichever is required by the Pennsylvania Bureau of Charitable Organizations.

(d) If Contractor is a Sub-recipient or pass-through entity, Contractor must comply with applicable regulations pertaining to this Agreement.

7. **Insurance.** Contractor will obtain and maintain the following insurance with insurers reasonably acceptable to ARMDC (a) workers' compensation insurance at the statutory limit, (b) professional liability insurance with a limit of not less than \$1,000,000 per occurrence, (c) comprehensive general liability insurance including bodily injury with a limit of not less than \$100,000 each person, \$300,000 each occurrence and property damage \$500,000 each occurrence, (d) automobile liability insurance in statutory amounts. ARMDC will be named as an additional insured on each of such liability policies. Contractor will deliver to ARMDC certificates evidencing such policies prior to the commencement of the Services, and will deliver evidence of the renewal or replacement of such policies at least 30 days prior to the expiration thereof. Each of such policies will contain a waiver of the insurer's rights of subrogation against ARMDC.

8. **Termination.**

(i) ARMDC may terminate this Agreement for convenience upon 30 days' prior written notice to the Contractor.

(ii) This Agreement shall terminate automatically without notice upon the occurrence of any of the following events:

- (a) A material breach of this Agreement by Contractor;
- (b) Contractor or Contractor's employees engaging in conduct materially injurious to the ARMDC or to itself/themselves, including but not limited to acts of dishonesty or fraud, commission of a felony or a crime of moral turpitude, or alcohol or substance abuse;
- (c) Contractor's refusal to substantially perform the Services;
- (d) Contractor becomes insolvent or makes a general assignment for the benefit of creditors; or
- (e) Contractor files a petition in bankruptcy or such petition is filed against Contractor.

ARMDC shall be liable only for payment for Services rendered prior to the effective date of termination. If this Agreement is terminated pursuant to subparagraphs (a) or (c) ARMDC may take over the Services and prosecute the same to completion by contract or otherwise, and Contractor shall be liable for any additional costs incurred by ARMDC. ARMDC may withhold any payments to Contractor, for the purpose of set-off or partial payment, as the case may be, of amounts owed to ARMDC by Contractor.

9. **Minority/Women Participation.** Contractor shall use its best efforts to ensure that minority-owned businesses and women's business enterprises shall have the maximum opportunity to participate in the performance of contracts and subcontracts financed, in whole or in part, with federal funds provided under this contract. In this regard, Contractor shall take all necessary steps

in accordance with 2 CFR 200.321 (formerly 24 CFR 85.36(e), to ensure that minority-owned businesses and women's business enterprises have the maximum opportunity to compete for and perform contracts. Contractor shall not discriminate on the basis of race, color, national origin or sex in the award and performance of contracts assisted by the U.S. Department of Housing and Urban Development.

Failure of Contractor to carry out the requirements set forth in 2 CFR 200.321 (formerly 24 CFR 85.36(e)) shall constitute a breach of contract and, after notification from the U.S. Department of Housing and Urban Development or ARMDC, may result in termination of this contract or such other remedy as is deemed appropriate.

For the purposes hereof, a minority-owned business shall mean sole proprietorship, partnership or corporation-owned, operated and controlled by minority group members who have at least 51% ownership. The minority group members must have operational control and interest in capital and earnings commensurate with their respective percentage of ownership. Furthermore, to qualify as a minority-owned business, the business must be certified as an MBE by either the City of Pittsburgh, Allegheny County, Commonwealth of Pennsylvania or some other governmental entity whose certification is acceptable to ARMDC. Minority group members include, but are not limited to, African-Americans, Hispanic Americans, Native Americans, Asian-Pacific Americans, Asian-Indian Americans and Hasidic Jewish American.

A women's business enterprise is defined as a sole proprietorship, partnership or corporation owned, operated and controlled by women who have at least 51% ownership. Women must have operational control and interest in capital and earnings commensurate with their respective percentage ownership. Furthermore, to qualify as a women's business enterprise, the business must be certified as a WBE by either the City of Pittsburgh, Allegheny County, Commonwealth of Pennsylvania or some other governmental entity whose certification is acceptable to ARMDC.

In the event of a contractor's failure to comply with the equal employment opportunity and affirmative action provisions, including the affirmative action undertaking outlined in its submission, or with any of the rules, regulations or orders referenced within this contract, ARMDC, at its discretion, may exercise any one or more of the following rights and remedies:

- i. cancel, terminate or suspend the contract in whole or in part
- ii. recover from the Contractor, by set off against the unpaid portion of the contract, as liquidated damages and not as a penalty, an agreed upon sum for each day that the Contractor fails to comply with the contract, the sum being fixed and agreed upon by and between Contractor and ARMDC because of the impracticability and extreme difficulty of fixing and ascertaining the actual damages which ARMDC would sustain in the event of such a breach
- iii. such other rights and remedies (which are cumulative and not exclusive) available under applicable law on in equity.

**10. Acceptance of the Services.** ARMDC has the right to review and/or require correction of any Services provided by Contractor. Contractor shall make any required corrections to any Service within 10 days at no additional charge. The payment of any invoice by ARMDC does not indicate acceptance of Services provided. Further, the ARMDC reserves the right at any

time to reject or disapprove any Service provided. If Contractor fails to make the necessary corrections within a reasonable time after notice to do so from the ARMDC, or if the submission of any corrected Service remains unacceptable, the ARMDC may immediately terminate this Agreement pursuant to paragraph 8(ii)(a) hereof or reduce the rate(s) to reflect the reduced value of the Services provided.

**11. Confidential Information.** Contractor agrees that Contractor will not knowingly reveal to a third party or use for Contractor's own benefit, either during or after the term of this Agreement, without the prior written consent of ARMDC, any confidential information pertaining to the business and affairs of ARMDC, its officers, employees and directors obtained while working with ARMDC except for information clearly established to be in the public record.

**12. Representation and Warranties of Contractor.** Contractor hereby represents and warrants to ARMDC that Contractor is not a party to or otherwise subject to or bound by any contract, agreement or understanding which would limit or otherwise adversely affect Contractor's ability to perform the Services or which would be breached by Contractor's execution and delivery of this Agreement or by the performance of the Services.

**13. Indemnification.** Contractor agrees to indemnify and hold ARMDC harmless from any and all claims, damages, liabilities, costs and expenses (collectively "Claims") arising out of or in connection with Contractor's or its employees' performance of the Services on behalf of ARMDC.

**14. Independent Contractor.** Contractor shall perform the Services hereunder as an independent Contractor and not as an agent or employee of the ARMDC. Contractor shall be responsible for paying any and all required Federal, state or local taxes arising from the performance of the Services. Contractor agrees to remove any employee from the performance of the Services at the request of ARMDC.

**15. Copyright.** No material produced in whole or in part under this Agreement shall be subject to copyright in the United States or in any other country. ARMDC shall have unrestricted authority to publish, disclose, distribute, and otherwise use, in whole or in part, any reports, data, or other materials and documentation prepared by Contractor under this Agreement.

**16. Inspections; Work Product.** Pursuant to 2 CFR 200.326 Appendix II (formerly 24 CFR 85.36(i)(10) and (11)), access shall be given by Contractor to ARMDC, the United States Department of Housing and Urban Development, the Comptroller General of the United States, or any of their duly authorized representatives, to any books, documents, papers, and records of Contractor which are directly pertinent to this Agreement for the purpose of making an audit, examination, excerpts, and transcriptions. All required records shall be retained for three years after ARMDC makes final payment and all other pending matters on which Contractor performed Services are closed.

All work product produced by Contractor, including Contractor's employees, in accordance with this Agreement shall become the sole property of ARMDC in perpetuity. "Work product" shall include all records and other documents resulting from the Services performed under this Agreement. It is understood that ARMDC may reproduce any such work product without

modifications and distribute such work product without incurring obligations for additional compensation to Contractor.

**17. Return of ARMDC Property.** Promptly after termination of this Agreement, Contractor shall return and shall cause its employees to return to ARMDC all property of the ARMDC then in Contractor's possession, including without limitation papers, documents, records, files, computer disks and confidential information, and shall neither make nor retain copies of the same. ARMDC's obligation to make final payment to Contractor following termination, including without limitation accrued but unpaid fees under paragraph 4 hereof, shall be contingent upon Contractor's compliance with this paragraph.

**18. Third Party Solicitation.** Contractor warrants that Contractor has not retained any company, firm or person to solicit or secure this Agreement and has not paid or agreed to pay any company, firm or person any fee, commission, percentage, brokerage fee, gifts, or any other consideration, contingent upon or resulting from the award or making of this Agreement.

**19. Release.** Prior to final payment under this Agreement, or prior to settlement upon termination of this Agreement, and as a condition precedent thereto, Contractor shall execute and deliver to ARMDC a final release ("**Release**"), in a form acceptable to ARMDC, of all claims against ARMDC by Contractor under and by virtue of this Agreement, other than such claims, if any, as may be specifically excepted by Contractor in stated amounts set forth therein.

**20. Disputes.** All disputes arising under or relating to this Agreement shall be resolved in accordance with this paragraph. All claims by Contractor shall be made in writing and submitted to ARMDC. Within 60 days after receipt of any claim ARMDC shall render a written decision concerning such claim. Unless Contractor, within 30 days after receipt of ARMDC's decision, notifies ARMDC in writing that Contractor takes exception to such decision, the decision shall be final and conclusive.

Provided Contractor has (a) given written notice within the time specified in this section 19, (b) excepted Contractor's claim relating to such decision from the Release and (c) brought suit against ARMDC not later than one year after receipt of final payment, or if final payment has not been made, not later than one year after ARMDC has made a written request to Contractor to submit a final voucher and deliver the Release, whichever is earlier, then ARMDC's decision shall not be final and conclusive, but the dispute shall be determined on the merits only by a state or federal court located in Allegheny County, Pennsylvania.

**21. Notices.** All notices or other communications to either party by the other shall be deemed given when made in writing and deposited with the United States Postal Service addressed as follows:

If to ARMDC: Allies & Ross Management and Development Corp.  
Mackenzie Pleskovic / Development Manager  
100 Ross Street, 2<sup>nd</sup> floor  
Pittsburgh, PA 15219  
Mackenzie.Pleskovic@hacp.org  
412-456-5000 x 6011



And a copy of the notice or other communication should be sent to:

Allies & Ross Management and Development Corp.  
 c/o Housing Authority of the City of Pittsburgh  
 100 Ross Street 2<sup>nd</sup> Floor, Suite 200  
 Pittsburgh, PA 15219  
 Attn: Kim Detrick, Director of Procurement/Chief Contracting Officer

If to Contractor:

Name: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 Attn: \_\_\_\_\_  
 Phone/Fax: \_\_\_\_\_

**22. Compliance with Law.** Contractor shall comply with all Federal, State and Local laws, regulations ordinances and codes relating to the operation and activities of ARMDC and all Services performed pursuant to this Agreement, including, but not limited to completing the following items which shall be attached as exhibits:

- |     |                                 |             |
|-----|---------------------------------|-------------|
| (a) | Non-Debarment Certificate       | (Exhibit C) |
| (b) | Certification re: Lobbying      | (Exhibit D) |
| (c) | Disclosure of lobbying activity | (Exhibit E) |
| (f) | Conflict of Interest            | (Exhibit F) |

**23. Transfer by Contractor.** Contractor shall not transfer all or any part of its rights or obligations herein to any person or legal entity.

**24. Liquidated Damages.** Contractor shall pay \$ 0.00 per day for each day of delay.

**25. Miscellaneous.** The invalidity or unenforceability of any provision hereof shall in no way affect the validity or enforceability of any other provision. This Agreement embodies the entire Agreement between the parties hereto and supersedes any and all prior or contemporaneous, oral or written understandings, negotiations, or communications on behalf of such parties. This Agreement may be executed in several counterparts, each of which shall be deemed original, but all of which together shall constitute one and the same instrument. The waiver by either party of any breach or violation of any provision of this Agreement shall not operate or be construed as a waiver of any subsequent breach or violation hereof. This Agreement is executed in and shall be governed by and construed in accordance with the laws of the Commonwealth of Pennsylvania. This Agreement may only be amended by written agreement of both parties hereto. This Agreement shall inure to the benefit of the ARMDC, its successors and assigns.

**SIGNATURE PAGE TO  
PROFESSIONAL SERVICE CONTRACT  
FOR  
Phase I Environmental Site Assessment and Update for the Manchester Neighborhood**

**ALLIES & ROSS MANAGEMENT AND  
DEVELOPMENT CORPORATION**

**By:** \_\_\_\_\_ **Date**\_\_\_\_\_

**Witness**\_\_\_\_\_ **Date**\_\_\_\_\_

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

**CONTRACTOR**

**By:** \_\_\_\_\_ **Date**\_\_\_\_\_

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

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

**Witness**\_\_\_\_\_ **Date**\_\_\_\_\_

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

## **EXHIBIT A SCOPE OF SERVICES**

Allies & Ross Management and Development Corporation (“ARMDC”) seeks to engage a Professional Environmental Firm to perform a Phase I Environmental Site Assessment and Update for eighty-two (82) scattered site properties located in the Manchester neighborhood of the City of Pittsburgh’s 21<sup>st</sup> Ward, as a part of the Manchester Revitalization development (PA-01-72). Please see **Attachment K** for a complete list of properties associated with this development, as well as **Attachment L** for a site map.

The selected firm will be responsible for professional environmental services to be provided on a task order basis, which shall include the following:

### Section 1.

Complete a Phase I Environmental Site Assessment (“ESA”) and subsequently an Update, within 6 to 18 months upon specific Notice to Proceed from ARMDC, and all of the necessary and ancillary professional environmental services to complete the U.S. Department of Housing and Urban Development (“HUD”) Form 4128 (**Attachment M**). This report should cover the relevant topics in the Sample Field Notes Checklist (“SFNC”) in the Forms Appendix. It should focus on those environmental issues that might affect the acceptability of the project including any compliance issues with state environmental laws.

The Environmental Report must include, but is not limited to, the following:

- A. Lead-Based Paint (not covered in the SFNC) (Mandatory)
- B. Asbestos (not covered in the SFNC) (Mandatory)
- C. Historic Preservation (Item 18 in the SFNC) (Mandatory)
- D. Floodplain Management (Item 17 in the SFNC)
- E. Wetlands Protection (Item 22 in the SFNC)
- F. Endangered Species (Item 24a in the SFNC)
- G. Noise Analysis (Item 19 in the SFNC)
- H. Explosive/Flammable Hazards (Item 20 in the SFNC)
- I. Coastal Barrier Resources (Item 16, SFNC)
- J. Coastal Zone Management (Item 10, SFNC)
- K. Sole Source Aquifers (Item 24b of the SFNC)

L. Airport Clear Zones (Item 21 of the SFNC)

M. Other Federal or State Laws (Item 24 of the SFNC)

N. Additional Hazards and Nuisances (covers pipelines, etc.) (Items 27 and 28 of the SFNC)”

The services will be completed to aid HACP/ARMDC with a submission to the United States Department of Housing and Urban Development.

## Section 2.

Complete all of the necessary testing, recording and reporting in order to fulfill the environmental services requirements in accordance with the “Phase I Environmental Review/Environmental Test Results” (i.e. Tab 17), which references the testing requirements of the ‘Project Capital Needs Assessment & Energy Audit’ (i.e. Tab 34), of the Pennsylvania Housing Finance Agency’s (“PHFA”) 2019 Low Income Housing Tax Credit (“LIHTC”) application. The services may be completed to aid HACP/ARMDC with the submission of a 4% LIHTC application to the PHFA.

The selected firm must provide all professional environmental services in accordance with ASTM E1527-13 Section 42 of the Internal Revenue Service Code and Tab 17 and Tab 34 of the Pennsylvania Housing Finance Agency’s Low Income Housing Tax Credit Application (see **Attachments N and O**).

The selected firm will be required to prepare a detailed final written report discussing the findings, recommendations and conclusions of each assigned task order. The report will include a summary outlining all conclusions and recommendations for abatement procedures, a detailed narrative of all field investigations, a listing of all analytical results, labeled photographs, a budgetary cost estimate, and environmental interpretations of site information. This final report shall be provided in hard copy and electronically on CD.

The period of performance to complete the requested services will commence upon the receipt of a Notice to Proceed and should be completed within 60 days thereafter. The proposed and approved schedule will be indicated in the Notice to Proceed as based on laboratory processing availability. The requested services should commence immediately upon issuance of the Notice to Proceed and time is of the essence in completing these reports.

In Addition, Proposers should include the following in their proposals.

### **Contract Work in Progress**

Provide a listing of all contract work currently in progress by the Offeror and/or the entities that comprise the Offeror, to include at a minimum:

- Name(s) of projects(s)
- Original project value

- Change Order values approved to date
- Names(s) of entity contract is with
- Approximate contract value
- Contract term
- Percentage complete
- Projected contract end date
- Names(s) of staff assigned that are also proposed for this ARMDC project

**Related Hazardous Material Experience:**

- Identify all previous related experience to Lead Based Paint Risk Assessments and with HUD's Lead Safe Housing Rule. Include a description of the Process used to complete the Lead Based Risk Assessments or the steps taken to bring other entities into compliance with HUD's Lead Safe Housing rule.
- Identify all previous related experience with sampling for and analyzing results associated with mold/mildew. Include description of experience with specifying mold remediation processes.

**EXHIBIT B**

**FEE SCHEDULE**

Contractor will be paid based on the following:

***Attachment J, Fee Sheet of RFP #2019-28 to be incorporated here.***

**EXHIBIT C - CERTIFICATION OF PROPOSER**

**REGARDING DEBARMENT SUSPENSION AND OTHER RESPONSIBILITY MATTERS**

(Proposer)\_\_\_\_\_ certifies to the best of its knowledge and belief, that it and its principals:

1. Are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from covered transactions by any Federal department or agency;
2. Have not within a three year period preceding this bid been convicted of or had civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain or performing a public (Federal, State or Local) transaction or contract under a public transaction: violation of Federal or State antitrust statutes or commission of embezzlement, thief, forgery, bribery, falsification or destruction of records, making false statements or receiving stolen property;
3. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or Local) with commission of any of the offenses enumerated in paragraph (2) of this certification: and
4. Have not within a three year period preceding this bid had one or more public transaction (Federal, State or Local) terminated for cause or default.

If the Proposer is unable to certify to any of the statements in this certification, the Proposer shall attach an explanation to this certification.

(Proposer)\_\_\_\_\_ CERTIFIES  
OR AFFIRMS THE TRUTHFULNESS AND ACCURACY OF THE CONTENTS OF  
THE STATEMENTS SUBMITTED ON OR WITH THIS CERTIFICATION AND  
UNDERSTANDS THAT THE PROVISIONS OF 31 U.S.C. SECTIONS 3801 ET SEQ.  
ARE APPLICABLE THERETO.

\_\_\_\_\_  
Signature and Title of Authorized Official

**EXHIBIT D - CERTIFICATION REGARDING LOBBYING**

I, \_\_\_\_\_,  
Hereby Certify on (Name and Title of Authorized Official)

**Behalf of \_\_\_\_\_ that**  
**(Subcontractor)**

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf \_\_\_\_\_ of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency. A Member of Congress, and officer or employee of Congress, or an employee of a Member of Congress in connection with 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.
- (2) If any funds other than 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 in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL “ Disclosure Form to Report Lobbying”, in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

\_\_\_\_\_  
Signature and Title of Authorized Official



**EXHIBIT E - DISCLOSURE OF LOBBYING ACTIVITIES**

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

Public Reporting Burden for this collection of information is estimated to average 30 minutes per response, including the time for reviewing instructions, researching existing data sources, gathering and maintaining the data needed and completing and reviewing the collection of information. Please do not return your completed form to the Office of Management and Budget sent it to the address provided by the sponsoring agency.

1. Type of Federal Action:  <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	2. Status of Federal Action:  <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	3. Report Type:  <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change For Material Change Only year _____ quarter _____ date of last report _____
--	--	---

4. Name and Address of Reporting Entity:  _____ Prime _____ Subawardee Tier _____, if known:  Congressional District, if known:	5. If reporting entity in No. 4 is Subawardee, enter name and address of Prime.  Congressional District, if known:
---	--

6. Federal Department/Agency:	6. Federal Program Name/Description:  CFDA Number, if applicable:
-------------------------------	---

8. Federal Action Number, if known:	9. Award Amount, if known: \$
-------------------------------------	----------------------------------

10a. Name and Address of Lobbying Registrant (If individual, last name, first name, MI):	b. Individuals performing services (Include address if different from No. 10a) (last name, first name, MI):
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I. Information requested through this form is authorized by Sec 319, Pub L. 101-121, 103 Stat. 750, as amended by Sec. 10: Pub. L. 104-65, Stat 700 (31 U.S.C. 1352). This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the above when this transaction was made entered into. This disclosure is required pursuant to 31 U.S.A.C. 1352. This information will be reported to the Congress semiannually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.	Signature _____ Print Name _____ Title: _____ Telephone No.: _____ Date: _____
--	--

Federal Use Only

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Standard Form LLL (1/96)

Authorized for Local Reproduction

Standard Form LLL (1/96)

## INSTRUCTIONS FOR COMPLETION OF SF-LLL DISCLOSURE OF LOBBY ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment of any lobby entity 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 a covered Federal action. Use the SF-LLL-A Continuation Sheet for additional information in the space on the form is inadequate. Complete all items that apply for both the initial filing and material change reports. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobby activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a follow up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be a prime or a subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is in the 1<sup>st</sup> tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee" then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFOA) number for grants, cooperation agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number, Invitation for Bid (IFB) number; grant announcement number; the contract, grant or loan award number, the application/proposal control number assigned by the Federal agency. Include prefixes e.g. RFP-DE-90-00).
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual (s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual or will be made 9planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
12. Check the appropriate box (es). Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
13. Check the appropriate box (es). Check all boxes that apply. If other, specify nature.
14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date (s) of any services rendered. Include all preparatory and related activity, not just time spent in actual contact with Federal Official (s) or employee (s) contacted of the officer (s) employee (s) or Member (s) of Congress that were contacted.
15. Check whether or not a SF-LLL-A Continuation Sheet (s) is attached.
16. The certifying individual shall sign and date the form, print his/her name, title, and telephone number.

Public reporting burden for this collection of information is estimated to average 30 minutes per response. Including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other respect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-004-5), Washington, D.C. 20503.

**EXHIBIT F - CONFLICTS OF INTEREST**

\_\_\_\_\_("Contractor") certifies  
that:

1. No employee, officer, or agent of the Allies & Ross Management and Development Corporation ("ARMDC") participated in the selection, or in the award or administration of the Contractor's Agreement with ARMDC, which would involve a conflict of interest, real or apparent. A conflict would arise when (i) a ARMDC employee, officer or agent, (ii) any member of his or her immediate family, (iii) his or her parents (iv) his or her business associates or (v) an organization that employs, or is about to employ, any of the foregoing, receives a payment from the Contractor or any affiliate thereof, or has a financial or other interest in the Contractor or the Contractor's Agreement with ARMDC.
2. Contractor shall not enter into any contract, subcontract or agreement with any officer, agent or employee of ARMDC during his or her tenure nor for one year thereafter shall any officer, agent or employee of ARMDC have any interest, direct or indirect, in the Contract Agreement, including the proceeds thereof.

CONTRACTOR

Date: \_\_\_\_\_, 2019

By: \_\_\_\_\_

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

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

## **ATTACHMENT B**

### **General Conditions for Non-Construction Contracts (HUD 5370-C) and Supplemental General Conditions**

# General Conditions for Non-Construction Contracts

## Section I – (With or without Maintenance Work)

## U.S. Department of Housing and Urban Development

Office of Public and Indian

Housing Office of Labor Relations

OMB Approval No. 2577-0157 (exp. 3/31/2020)

Public Reporting Burden for this collection of information is estimated to average 0.08 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Reports Management Officer, Office of Information Policies and Systems, U.S. Department of Housing and Urban Development, Washington, D.C. 20410-3600; and to the Office of Management and Budget, Paperwork Reduction Project (2577-0157), Washington, D.C. 20503. Do not send this completed form to either of these addressees.

**Applicability. This form HUD-5370-C has 2 Sections. These Sections must be inserted into non-construction contracts as described below:**

- 1) **Non-construction contracts** (*without* maintenance) **greater than \$105,000 - use Section I;**
- 2) **Maintenance contracts** (including nonroutine maintenance as defined at 24 CFR 968.105) **greater than \$2,000 but not more than \$150,000 - use Section II;** and
- 3) **Maintenance contracts** (including nonroutine maintenance), **greater than \$150,000 – use Sections I and II.**

### Section I - Clauses for All Non-Construction Contracts greater than \$150,000

#### 1. Definitions

The following definitions are applicable to this contract:

- (a) "Authority or Housing Authority (HA)" means the 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.

#### • Changes

- The HA 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.
- 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, the HA 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.
- 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 the HA decides that the facts justify it, the HA may receive and act upon a

proposal submitted before final payment of the contract.

- Q. 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.
- R. No services for which an additional cost or fee will be charged by the Contractor shall be furnished without the prior written consent of the HA.

#### 3. Termination for Convenience and Default

- (a) The HA may terminate this contract in whole, or from time to time in part, for the HA's convenience or the failure of the Contractor to fulfill the contract obligations (default). The HA 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 the HA 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 the HA, the HA 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), the HA may
  - (i) require the Contractor to deliver to it, in the manner and to the extent directed by the HA, any work as described in subparagraph (a)(ii) above, and compensation 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 the HA; (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 the HA by the Contractor.
- (d) If, after termination for failure to fulfill contract obligations (default), it is determined that the Contractor had not failed, the termination shall be deemed to have been effected for the convenience of the HA, 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) The HA, 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 the HA, 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)

The HA 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 in which the work under this contract is performed.

## 7. Disputes

(a) All disputes arising under or relating to this contract, except for disputes arising under clauses contained in Section III, Labor Standards Provisions, 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 the HA. A claim by the HA against the Contractor shall be subject to a written decision by the HA.

(c) The HA shall, with reasonable promptness, but in no event in no more than 60 days, render a decision concerning any claim hereunder. Unless the Contractor, within 30 days after receipt of the HA's decision, shall notify the HA 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 the HA 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 the HA that it submit a final voucher and release, whichever is earlier, then the HA'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 the HA.

## 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 the HA 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 the HA.

## 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 the HA a certificate and release, in a form acceptable to the HA, of all claims against the HA 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 Conflicts 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. The HA may, however, terminate the contract or task/delivery order for the convenience of the HA if it would be in the best interest of the HA.

(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, the HA 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) The HA 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 the HA 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 the HA within 7 days of notification or a later date if extended by the HA.

(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, the HA 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 the HA, no member of the governing body of the locality in which the project is situated, no member of the governing body in which the HA 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.

(iii) Selling activities by independent sales representatives.

(c) 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.

(d) 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.

(e) 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.

(f) 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**

No information or material shall be disseminated or disclosed to the general public, the news media, or any person or organization without prior express written approval by the HA.

**18. Contractor's Status**

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

**19. Other Contractors**

HA 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 HA 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 HA employee.

**20. Liens**

The Contractor is prohibited from placing a lien on HA'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.

(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.

## **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; or (3) are only available at an unreasonable price.

(b) Paragraph (a) of this 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 or agency of a political subdivision of a State; and (ii) purchased a total of in excess of \$10,000 of the item both under and outside that contract.

# General Conditions for Non-Construction Contracts

## Section II – (With Maintenance Work)

U.S. Department of Housing and Urban Development  
Office of Public and Indian Housing  
Housing Office of Labor Relations  
OMB Approval No. 2577-0157 (exp. 3/31/2020)

Public Reporting Burden for this collection of information is estimated to average 0.08 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Reports Management Officer, Office of Information Policies and Systems, U.S. Department of Housing and Urban Development, Washington, D.C. 20410-3600; and to the Office of Management and Budget, Paperwork Reduction Project (2577-0157), Washington, D.C. 20503. Do not send this completed form to either of these addressees.

**Applicability. This form HUD-5370C has 2 Sections. These Sections must be inserted into non-construction contracts as described below:**

- 4) Non-construction contracts (*without* maintenance) greater than \$100,000 - use Section I;
- 5) Maintenance contracts (including nonroutine maintenance as defined at 24 CFR 905.200) greater than \$2,000 but not more than \$100,000 - use Section II; and
- 6) Maintenance contracts (including nonroutine maintenance), greater than \$100,000 – use Sections I and II.

### Section II – Labor Standard Provisions for all Maintenance Contracts greater than \$2,000

#### 2 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:

The work to be performed by the classification required is not performed by a classification in the wage determination;

The classification is utilized in the area by the industry; and

The proposed wage rate bears a reasonable relationship to the wage rates contained in the wage determination.

- (f) 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.

#### • Withholding of funds

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. The Public Housing Agency 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.

#### VIII. Records

- 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:
  - i. Name, address and Social Security Number;
  - ii. Correct work classification or classifications;
  - iii. Hourly rate or rates of monetary wages paid;
  - iv. Rate or rates of any fringe benefits provided;
  - v. Number of daily and weekly hours worked;
  - vi. Gross wages earned;
  - vii. Any deductions made; and
  - viii. 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 the HA 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.

#### IX. Apprentices and Trainees

- 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:
  - i. 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; 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.

- (f) 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.
- (g) 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.
- (h) 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.
- (i) 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.

## 5. Disputes concerning labor standards

(a) Disputes arising out of the labor standards provisions contained in Section II of this form HUD-5370-C, 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 the HA, 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 the HA, or upon request of the Contractor or subcontractor(s).

A Contractor and/or subcontractor or other interested party desiring reconsideration of findings of violation by the HA 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 the HA 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 the appropriate HA 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). The HA

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. 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.

a Disputes arising out of the labor standards provisions of paragraph 6 shall not be subject to paragraph 5(a) of this form HUD-5370C. 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 the HA, HUD, the U.S. Department of Labor, or the employees or their representatives.

## 9. Contract Work Hours and Safety Standards Act

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 therefor 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.

**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.

**12. Subcontracts**

The Contractor or subcontractor shall insert in any subcontracts all the provisions contained in this Section II 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.

**13. Non-Federal Prevailing Wage Rates**

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.

## ATTACHMENT C.1 – SUPPLEMENTAL GENERAL CONDITIONS

### SUPPLEMENTAL GENERAL CONDITIONS

To the extent that there is a conflict between the terms of the General Conditions and the terms of the Supplemental General Conditions, the terms of the Supplemental General Conditions shall govern to the extent of such conflict.

#### If HUD 5370 applies:

Section 31(e) of the General Conditions shall be deleted in its entirety and replaced by the following:

31(e). Forum. The Contracting Officer's decision shall be final unless, within thirty (30) days of receipt of the Contracting Officer's decision, the Contractor files suit in a court of competent jurisdiction.

#### If HUD 5370-EZ applies:

Section 3(d) of the General Conditions shall be deleted in its entirety and replaced by the following:

3(d). Forum. The Contracting Officer's decision shall be final unless, within thirty (30) days of receipt of the Contracting Officer's decision, the Contractor files suit in a court of competent jurisdiction.

#### If HUD 5370-C applies:

Section 1 Item 7(d) of the General Conditions shall be deleted in its entirety and replaced by the following:

Section 1 Item 7(d). Forum. The Contracting Officer's decision shall be final unless, within thirty (30) days of receipt of the Contracting Officer's decision, the Contractor files suit in a court of competent jurisdiction.

### ALLIES & ROSS MANAGEMENT AND DEVELOPMENT CORPORATION

Date: \_\_\_\_\_ Signature: \_\_\_\_\_

Agent

=====

Vendor Name(Insert vendor company name above)

Date: \_\_\_\_\_ Signature: \_\_\_\_\_

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

## ATTACHMENT C

**Instructions to Offerors  
Non-Construction**

U.S. Department of Housing  
and Urban Development  
Office of Public and Indian Housing



- 03291 -

**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. 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 the HA.

(c) Offers for services other than those specified will not be considered.

**2. Submission of Offers**

(a) Offers and modifications thereof shall be submitted in sealed envelopes or packages (1) addressed to the office specified in the solicitation, and (2) showing the time specified for receipt, the solicitation number, and the name and address of the offeror.

(b) Telegraphic offers will not be considered unless authorized by the solicitation; however, offers may be modified by written or telegraphic notice.

(c) Facsimile offers, modifications or withdrawals will not be considered unless authorized by the solicitation.

**3. 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.
- The HA/HUD must receive the acknowledgment by the time specified for receipt of offers.

**4. Explanation to Prospective Offerors**

Any prospective offeror desiring an explanation or interpretation of the solicitation, statement of work, etc., must request it 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.

**5. Responsibility of Prospective Contractor**

(a) The HA 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 -

- (1) Have adequate financial resources to perform the contract, or the ability to obtain them;

- (2) Have a satisfactory performance record;
- (3) Have a satisfactory record of integrity and business ethics;
- (4) Have a satisfactory record of compliance with public policy (e.g., Equal Employment Opportunity); and
- (5) 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 HA/HUD.

(b) Before an offer is considered for award, the offeror may be requested by the HA 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.

**6. 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 -

- (1) 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);
- (2) Was sent by mail, or if authorized by the solicitation, was sent by telegram or via facsimile, and it is determined by the HA/ HUD that the late receipt was due solely to mishandling by the HA/ HUD after receipt at the HA;
- (3) 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 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
- (4) Is the only offer received.

(b) Any modification of an offer, except a modification resulting from the HA's request for "best and final" offer (if this solicitation is a request for proposals), is subject to the same conditions as in subparagraphs (a)(1), (2), and (3) of this provision.

(c) A modification resulting from the HA'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 the HA after receipt at the HA.

(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 the HA is the time/date stamp of HA on the offer wrapper or other documentary evidence of receipt maintained by the HA.

(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 the HA will be considered at any time it is received and may be accepted.

(h) If this solicitation is a request for proposals, 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 a 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. If this solicitation is an invitation for bids, bids may be withdrawn at any time prior to bid opening.

#### 7. Contract Award

(a) The HA will award a contract resulting from this solicitation to the responsible offeror whose offer conforming to the solicitation will be most advantageous to the HA, cost or price and other factors, specified elsewhere in this solicitation, considered.

(b) The HA may

- (1) reject any or all offers if such action is in the HA'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) If this solicitation is a request for proposals, the HA 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. If this solicitation is a request for proposals, before the offer's specified expiration time, the HA 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 the HA.

(e) Neither financial data submitted with an offer, nor representations concerning facilities or financing, will form a part of the resulting contract.

#### 8. Service of Protest

Any protest against the award of a contract pursuant to this solicitation shall be served on the HA by obtaining written and dated acknowledgment of receipt from the HA at the address shown on the cover of this solicitation. The determination of the HA with regard to such protest or to proceed to award notwithstanding such protest shall be final unless appealed by the protestor.

#### 9. Offer Submission

Offers shall be submitted as follows and shall be enclosed in a sealed envelope and addressed to the office specified in the solicitation. The proposal shall show **the hour and date specified in the solicitation for receipt, the solicitation number, and the name and address of the offeror, on the face of the envelope.**

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.

[Describe bid or proposal preparation instructions here:]



## Certifications and Representations of Offerors Non-Construction Contract

### ATTACHMENT D

U.S. Department of Housing  
and Urban Development  
Office of Public and Indian Housing

Public reporting burden for this collection of information is estimated to average 5 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

This form includes clauses required by OMB's common rule on bidding/offering procedures, implemented by HUD in 24 CFR 85.36, and those requirements set forth in Executive Order 11625 for small, minority, women-owned businesses, and certifications for independent price determination, and conflict of interest. The form is required for nonconstruction contracts awarded by Housing Agencies (HAs). The form is used by bidders/offerors to certify to the HA's Contracting Officer for contract compliance. If the form were not used, HAs would be unable to enforce their contracts. Responses to the collection of information are required to obtain a benefit or to retain a benefit. The information requested does not lend itself to confidentiality.

#### 1. Contingent Fee Representation and Agreement

(a) The bidder/offeror represents and certifies as part of its bid/offer that, except for full-time bona fide employees working solely for the bidder/offeror, the bidder/offeror:

- (1) ☐ has, ☐ has not employed or retained any person or company to solicit or obtain this contract; and
- (2) ☐ 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 bidder/offeror shall make an immediate and full written disclosure to the PHA Contracting Officer.

(c) Any misrepresentation by the bidder/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.

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

The bidder/offeror represents and certifies as part of its bid/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.
- (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.

For the purpose of this definition, minority group members are:

(Check the block applicable to you)

- |   |   |
|---|---|
| <input type="checkbox"/> Black Americans    | <input type="checkbox"/> Asian Pacific Americans  |
| <input type="checkbox"/> Hispanic Americans | <input type="checkbox"/> Asian Indian Americans   |
| <input type="checkbox"/> Native Americans   | <input type="checkbox"/> Hasidic Jewish Americans |

#### 3. Certificate of Independent Price Determination

(a) The bidder/offeror certifies that—

- (1) The prices in this bid/offer have been arrived at independently, without, for the purpose of restricting competition, any consultation, communication, or agreement with any other bidder/offeror or competitor relating to (i) those prices, (ii) the intention to submit a bid/offer, or (iii) the methods or factors used to calculate the prices offered;
- (2) The prices in this bid/offer have not been and will not be knowingly disclosed by the bidder/offeror, directly or indirectly, to any other bidder/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
- (3) No attempt has been made or will be made by the bidder/offeror to induce any other concern to submit or not to submit a bid/offer for the purpose of restricting competition.

(b) Each signature on the bid/offer is considered to be a certification by the signatory that the signatory:

- (1) Is the person in the bidder/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)(1) through (a)(3) above; or
- (2) (i) 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)(1) through (a)(3) above (insert full name of person(s) in the bidder/offeror's organization responsible for determining the prices offered in this bid or proposal, and the title of his or her position in the bidder/offeror's organization);
- (ii) 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)(1) through (a)(3) above; and

- (iii) As an agent, has not personally participated, and will not participate in any action contrary to subparagraphs (a)(1) through (a)(3) above.
- (c) If the bidder/offeror deletes or modifies subparagraph (a)2 above, the bidder/offeror must furnish with its bid/offer a signed statement setting forth in detail the circumstances of the disclosure.

#### 4. Organizational Conflicts of Interest Certification

- (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 a proposed contract and a prospective contractor's organizational, financial, contractual or other interest are such that:
  - (i) Award of the contract may result in an unfair competitive advantage;
  - (ii) The Contractor's objectivity in performing the contract work may be impaired; or
  - (iii) That the Contractor has disclosed all relevant information and requested the HA to make a determination with respect to this Contract.
- (b) The Contractor agrees that if after award he or she discovers an organizational conflict of interest with respect to this contract, he or she shall make an immediate and full disclosure in writing to the HA which shall include a description of the action which the Contractor has taken or intends to eliminate or neutralize the conflict. The HA may, however, terminate the Contract for the convenience of HA if it would be in the best interest of HA.
- (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 HA, the HA may terminate the Contract for default.
- (d) The Contractor shall require a disclosure or representation from subcontractors and consultants who may be in a position to influence the advice or assistance rendered to the HA and shall include any necessary provisions to eliminate or neutralize conflicts of interest in consultant agreements or subcontracts involving performance or work under this Contract.

#### 5. Authorized Negotiators (RFPs only)

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):

#### 6. 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 my possible performance of this procurement, as described in the clause in this solicitation titled "Organizational Conflict of Interest."

#### 7. Offeror's Signature

The offeror hereby certifies that the information contained in these certifications and representations is accurate, complete, and current.

\_\_\_\_\_  
Signature & Date:

\_\_\_\_\_  
Typed or Printed Name:

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

Offeror: \_\_\_\_\_

RFP#: \_\_\_\_\_

Due Date: \_\_\_\_\_

**ATTACHMENT E - SPECIAL PARTICIPATION SUMMARY****I. SMALL BUSINESS PARTICIPATION**

Is the Offeror a Small Business as defined by the size and standards in 13 CFR 121?

Yes \_\_\_\_\_ No \_\_\_\_\_

**II. MINORITY BUSINESS PARTICIPATION**

Is the Offeror classified as a Minority Business Enterprise as defined in Art. 2, Part C of HUD-5369-C?

Yes \_\_\_\_\_ No \_\_\_\_\_

If "No", are any Contractors classified as Minority Business enterprises?

Yes \_\_\_\_\_ No \_\_\_\_\_

If "Yes", please fill in the following chart:

Consulting Firm(s) (MBE)	\$ Value Contract	% of Fee

**III. WOMEN-OWNED BUSINESS PARTICIPATION**

Is the Offeror classified as a Woman-Owned Business Enterprise as defined in Art. 2, Part C of HUD-5369-C?

Yes \_\_\_\_\_ No \_\_\_\_\_

If "No", are any Contractors classified as Women-Owned Business Enterprises?

Yes \_\_\_\_\_ No \_\_\_\_\_

If "Yes", please fill in the following chart:

Consulting Firm(s) (WBE)	\$ Value Contract	% of Fee

**\*\*All MBE/WBE firms must be certified. In order for the MBE/WBE participation plan to be complete, copies of MBE/WBE certification must be included for all firms listed.**

**ATTACHMENT F - Section 3 Clause**

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.

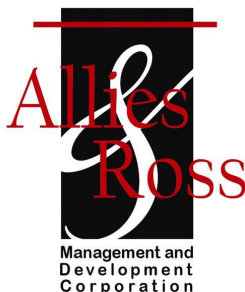
C. The contractor agrees to send to each labor organization or representative or workers with which the contractor has a collective bargaining agreement or other understanding, if any, a notice advising the labor organization or workers' representative of the contractor's commitments under this Section 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.

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.

G. With respect to work performed in connection with Section 3 covered Indian housing assistance, section 7(b) of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450e) also applies to the work to be performed under this contract. Section 7(b) requires that to the greatest extent feasible (i) preference and opportunities for training and employment shall be given to Indians, and (ii) preference in the award of contracts and subcontracts shall be given to Indian organizations and Indian-owned Economic Enterprises. Parties to this contract that are subject to the provisions of Section 3 to the maximum extent feasible, but not in derogation of compliance with section 7(b).



## SECTION 3 OPPORTUNITIES PLAN

**Business Opportunities and Employment Training for Housing Authority of the City of Pittsburgh Low Income Public Housing Residents (LIPH) and Area Residents of Low and Very Low Income Status (ARLIS)**

**PRIME CONTRACTOR'S NAME:** \_\_\_\_\_  
**SPECIFICATION OR RFP/IFB/RFP NUMBER:** \_\_\_\_\_  
**SPECIFICATION OR RFP/IFB/RFP TITLE:** \_\_\_\_\_

The Contractor hereby agrees to comply with all the provisions of Section 3 as set forth in 24 CFR 135.1 et seq. and the ARMDC Section 3 Policy and Program requirements. The Contractor hereby submits this document to identify employment opportunities for HACP residents (LIPH) and **Area Residents of Low and Very Low Income Status (ARLIS)** during the term of the contract between the Contractor and ARMDC.

The preference of ARMDC/HACP is to ensure that as many HACP residents as possible are employed. In an effort to further that requirement, ARMDC has created a preference tier structure as outlined in the HACP Section 3 Policy and Program Manual which can be reviewed by visiting the "Vendor Services" section of [www.hacp.org](http://www.hacp.org). Contractors are required to comply with Section 3 by first considering Tier I – Hiring. If the Contractor cannot meet its Section 3 requirement in Tier I and needs to move to Tier II or Tier III, that Contractor must document this inability to comply with the preference and the need to move to a lower tier. (Such inability **must** be documented for moves within tiers). The Contractor agrees to meet its Section 3 requirement following the Preferential Tier Structure as indicated by the selection below (check one or more tiers below):

### ☐ Tier I – HIRING

The Contractor affirms that the jobs identified shall be for meaningful employment that may or may not be related to the scope of services covered under Contract/Purchase Order # \_\_\_\_\_.

The Contractor has committed to employ \_\_\_\_\_ resident(s) in order to comply with its Section 3 requirements. A prime contractor may satisfy the HACP Resident Hiring Requirements through his/her subcontractors. **Contact the ARMDC c/o HACP Resident Employment Program for resident referrals at 412-395-3950, Ext 1118.**

When Tier I is selected, the Contractor shall complete the following table as instructed below:

- (1) Indicate each job title for all phases of this contract
- (2) The number of positions that will be needed in each category
- (3) How many of those positions are currently filled
- (4) The number currently filled by low and very low-income HACP residents
- (5) The number currently filled by City of Pittsburgh neighborhood area residents
- (6) How many positions need to be filled

Indicate your requirement for the number of positions you intend to fill with:

- (7) Low income HACP Residents (LIPH) and/or
- (8) Low and very low income City of Pittsburgh Neighborhood Area Residents (ARLIS)

## SECTION 3 OPPORTUNITIES PLAN

Section 3 Labor Utilization Assessment and Plan							
SPEC or RFP TITLE:					SPEC or RFP NUMBER:		
JOB TITLE (1)	NUMBER OF POSITIONS					HIRING REQUIREMENT	
	# NEEDED (2)	CURRENTLY FILLED			TO BE FILLED (6)	LIPH (7)	ARLIS (8)
		TOTAL (3)	LIPH (4)	ARLIS (5)			

**LIPH – HACP low income public housing resident**

**ARLIS - Area Residents of Low/Very Low Income Status – (Area is the Pittsburgh metropolitan area)**

In the event the value of Section 3 resident hiring is less than the amount identified in the Resident Hiring Scale, vendors must contribute to the ARMDC c/o HACP Education Fund an amount not less than the difference between the value of Section 3 hiring and the amount identified in the Resident Hiring Scale, which funds shall be used to provide other economic opportunities.

Therefore, if it is anticipated that any position listed above shall be for less than the full term of the contract period, you must indicate on the lines below, the anticipated term for each position:

## SECTION 3 OPPORTUNITIES PLAN

### [ ] Tier II – CONTRACTING

The contractor has identified \_\_\_\_\_ HACP resident-owned business(es) or \_\_\_\_\_ Section 3 business(es) which is/are 51 percent or more owned by Section 3 residents or 30 percent or more of their permanent full-time workforce are Section 3 residents. This will satisfy the contractor's Section 3 requirement covered under Contract/Purchase Order # \_\_\_\_\_.

**In a one (1) page letter on your firm's letterhead:**

- 1) Indicate the requirements, expressed in terms of percentage, of planned contracting dollars for the use of Section 3 business concerns as subcontractors.
- 2) A statement of the total dollar amount to be contracted, total dollar amount to be contracted to Section 3 business concerns for building trades, and total dollar amount to be contracted to Section 3 business concerns for other than building trades work (maintenance, repair, modernization, and development).
- 3) A description of the method used to develop the requirements above and the efforts to be undertaken by the contractor to meet those requirements.

### [ ] Tier III - OTHER ECONOMIC OPPORTUNITIES

Firms may provide other economic opportunities to train and employ Section 3 residents or make a direct cash contribution to the ARMDC c/o HACP Education Fund. HACP has established the following minimum threshold requirements for provision of training or contribution to the HACP fund that provides other economic opportunities:

- a) Contractor incurs the cost of providing skilled training for residents in an amount commensurate with the sliding scale set forth in the Resident Hiring Scale; or,
- b) Contractor makes a contribution to the HACP Education Fund at Clean Slate E3 to provide assistance to residents to obtain training. The level of contribution would be commensurate with the sliding scale set forth in the Resident Hiring Scale.

Contractor shall provide, in a letter on firm letterhead:

- 1) Indication of the skilled training to be provided, the number of persons to be trained, the training provider, the cost of training, and the trainee recruitment plan; or,
- 2) Provide the amount of planned contribution to be made in relation to percentage of the contract labor hours costs. (Contribution checks should be made payable to: Clean Slate E3 Education Fund and mailed to Clean Slate E3, C/O Housing Authority of the City of Pittsburgh, Finance Department, 200 Ross Street, 9<sup>th</sup> Floor, Pittsburgh, PA 15219.

### [ ] Tier IV – No New Hire Opportunity

If awarded this contract, the contractor will be able to fulfill the requirements of the IFB/RFP/RFQ with the existing work force. No new hires will be employed as a result of this award. If this position changes and hiring opportunities become necessary, the HACP Resident Employment Program will be notified.

## SECTION 3 OPPORTUNITIES PLAN

By signing below, the Contractor hereby agrees to comply with the selected Section 3 requirements indicated above. To the extent that the completion of this form is contingent upon future information, for example price negotiations, request for specific services, etc., the undersigned hereby affirms and agrees to fully adhere to the spirit and intent of the ARMDC c/o HACP Section 3 Policy.

Furthermore, the undersigned acknowledges and affirms responsibility for completion and submission of this form as part of the response documentation for this Invitation for Bid or Request for Proposals. Failure to submit this form may jeopardize the responsiveness of your submission.

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

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

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

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

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

Witness Signature: \_\_\_\_\_ Date: \_\_\_\_\_



ATTACHMENT G - Firm Demographics																	
		Male								Female							Total # of American Minorities
	All employees	White American	African American	Hispanic American	Asia American	Hasidic Jew American	Other American Minority	Foreign	Total Males	White American	African American	Hispanic American	Asia American	Hasidic Jew American	Other American Minority	Foreign	
<b>Partner</b>																	
<b>Associate</b>																	
<b>Professional</b>																	
<b>Secretarial</b>																	
<b>Clerical</b>																	
<b>Other</b>																	
<b>Total</b>																	

Explain all other American Minority: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Be certain that the numbers in this table are accurate and add up correctly.

## ATTACHMENT H

Form **W-9**  
(Rev. December 2014)  
Department of the Treasury  
Internal Revenue Service

## Request for Taxpayer Identification Number and Certification

**Give Form to the  
requester. Do not  
send to the IRS.**

Print or type See Specific Instructions on page 2.	1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.	
	2 Business name/disregarded entity name, if different from above	
	3 Check appropriate box for federal tax classification; check only <b>one</b> of the following seven boxes: <input type="checkbox"/> Individual/sole proprietor or single-member LLC <input type="checkbox"/> C Corporation <input type="checkbox"/> S Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/estate <input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) ▶ <span style="border: 1px solid black; display: inline-block; width: 100px; height: 1.2em; vertical-align: middle;"></span> <b>Note.</b> For a single-member LLC that is disregarded, do not check LLC; check the appropriate box in the line above for the tax classification of the single-member owner. <input type="checkbox"/> Other (see instructions) ▶ <span style="border: 1px solid black; display: inline-block; width: 100px; height: 1.2em; vertical-align: middle;"></span>	4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3): Exempt payee code (if any) <span style="border: 1px solid black; display: inline-block; width: 100px; height: 1.2em; vertical-align: middle;"></span> Exemption from FATCA reporting code (if any) <span style="border: 1px solid black; display: inline-block; width: 100px; height: 1.2em; vertical-align: middle;"></span> <small>(Applies to accounts maintained outside the U.S.)</small>
	5 Address (number, street, and apt. or suite no.)	Requester's name and address (optional)
	6 City, state, and ZIP code	
7 List account number(s) here (optional)		

### Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

**Note.** If the account is in more than one name, see the instructions for line 1 and the chart on page 4 for guidelines on whose number to enter.

<b>Social security number</b>									
		-			-				
or									
<b>Employer identification number</b>									
		-			-				

### Part II Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and
3. I am a U.S. citizen or other U.S. person (defined below); and
4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

**Certification instructions.** You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions on page 3.

<b>Sign Here</b>	Signature of U.S. person ▶ <span style="border: 1px solid black; display: inline-block; width: 200px; height: 1.2em; vertical-align: middle;"></span>	Date ▶ <span style="border: 1px solid black; display: inline-block; width: 100px; height: 1.2em; vertical-align: middle;"></span>
------------------	---	---

### General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

**Future developments.** Information about developments affecting Form W-9 (such as legislation enacted after we release it) is at [www.irs.gov/fw9](http://www.irs.gov/fw9).

### Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following:

- Form 1099-INT (interest earned or paid)
- Form 1099-DIV (dividends, including those from stocks or mutual funds)
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-S (proceeds from real estate transactions)
- Form 1099-K (merchant card and third party network transactions)

- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)

- Form 1099-C (canceled debt)

- Form 1099-A (acquisition or abandonment of secured property)

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

*If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding? on page 2.*

By signing the filled-out form, you:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding, or
3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income, and
4. Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct. See *What is FATCA reporting?* on page 2 for further information.

**Attachment I**  
**Sample M/WBE Commitment Letter**

<Date>

<Name Of MBE or WBE Contact Person>

<Name of MBE or WBE firm>

<Address>

<City>, <State> <Zip>

Re: <Name of ARMDC Project>

Dear <Name of Contact Person at MBE or WBE Firm>

<Name of Prime Bidder> has submitted a bid for the above referenced project to the Allies & Ross Management and Development Corporation (ARMDC).

If we are the successful bidders and awarded the contract, <Name of Prime Bidder> intends to utilize <Name of proposed MBE or WBE firm> as follows:

Scope of Proposed Services: \_\_\_\_\_

Estimated Dollar Value: \_\_\_\_\_

Please call should you have any further questions. We thank you for your continuing interest.

Sincerely,

<Contact Person from Prime Bidder>

<Contact Person from MBE/WBE>

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Signature)

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

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

**ATTACHMENT J**  
**Previous Related Experience - References**

The bidder shall list three (3) firms, governmental units, or persons for whom the bidder has previously performed work of the nature requested under this IFB. Bidder shall list as references all housing authorities, including ARMDC, for whom the bidder has previously performed work of the nature requested under this IFB. ARMDC reserves the right to contact such persons at anytime prior to award and the bidder agrees that ARMDC may rely on information provided by such persons to determine the bidder's responsibility.

In addition to the references, all bidders will provide the last three jobs they performed, contact information from the job and all change orders related to the job and the reason for each.

All bidders will provide information on the most recent ARMDC job to include all change order information and the reason for each. The most recent ARMDC job can be one of the 3 last jobs performed if that is the case.

<i>Reference 1</i>			
<i>Project:</i>			
<i>Contact:</i>			
<i>Contact Telephone Number:</i>			
<i>Contract Amount:</i>			
<i>Change Orders/Addenda or Amendments to Contract</i>			
<i>Number</i>	<i>Total \$ Value per Change</i>	<i>Description of Change</i>	<i>Reason for Change</i>
<i>1</i>			
<i>2</i>			
<i>3</i>			
<i>4</i>			
<i>5</i>			
<i>6</i>			
<i>7</i>			

<i>Reference 2</i>			
<i>Project:</i>			
<i>Contact:</i>			
<i>Contact Telephone Number:</i>			
<i>Contract Amount:</i>			
<i>Change Orders/Addenda or Amendments to Contract</i>			
<i>Number</i>	<i>Total \$ Value per Change</i>	<i>Description of Change</i>	<i>Reason for Change</i>
<i>1</i>			
<i>2</i>			
<i>3</i>			
<i>4</i>			
<i>5</i>			
<i>6</i>			
<i>7</i>			

<i>Reference 3</i>			
<i>Project:</i>			
<i>Contact:</i>			
<i>Contact Telephone Number:</i>			
<i>Contract Amount:</i>			
<i>Change Orders/Addenda or Amendments to Contract</i>			
<i>Number</i>	<i>Total \$ Value per Change</i>	<i>Description of Change</i>	<i>Reason for Change</i>
<i>1</i>			
<i>2</i>			
<i>3</i>			
<i>4</i>			
<i>5</i>			
<i>6</i>			
<i>7</i>			

**Previous Related Experience – Last three (3) jobs**

In addition to the references, all bidders will provide the last three jobs they performed, contact information from the job and all change orders related to the job and the reason for each.

All bidders will provide information on the most recent ARMDC job to include all change order information and the reason for each. The most recent ARMDC job can be one of the 3 last jobs performed if that is the case.

<i>Reference 4</i>			
<i>Project:</i>			
<i>Contact:</i>			
<i>Contact Telephone Number:</i>			
<i>Contract Amount:</i>			
<i>Change Orders/Addenda or Amendments to Contract</i>			
<i>Number</i>	<i>Total \$ Value per Change</i>	<i>Description of Change</i>	<i>Reason for Change</i>
<i>1</i>			
<i>2</i>			
<i>3</i>			
<i>4</i>			
<i>5</i>			
<i>6</i>			
<i>7</i>			

<i>Reference 5</i>			
<i>Project:</i>			
<i>Contact:</i>			
<i>Contact Telephone Number:</i>			
<i>Contract Amount:</i>			
<i>Change Orders/Addenda or Amendments to Contract</i>			
<i>Number</i>	<i>Total \$ Value per Change</i>	<i>Description of Change</i>	<i>Reason for Change</i>
<i>1</i>			
<i>2</i>			
<i>3</i>			
<i>4</i>			
<i>5</i>			
<i>6</i>			
<i>7</i>			

<i>Reference 6</i>			
<i>Project:</i>			
<i>Contact:</i>			
<i>Contact Telephone Number:</i>			
<i>Contract Amount:</i>			
<i>Change Orders/Addenda or Amendments to Contract</i>			
<i>Number</i>	<i>Total \$ Value per Change</i>	<i>Description of Change</i>	<i>Reason for Change</i>
<i>1</i>			
<i>2</i>			
<i>3</i>			
<i>4</i>			
<i>5</i>			
<i>6</i>			
<i>7</i>			

**Previous Related Experience – ARMDC Project**

All bidders will provide information on the most recent ARMDC job to include all change order information and the reason for each. The most recent ARMDC job can be one of the 3 last jobs performed if that is the case.

<i>Reference 7</i>			
<i>Project:</i>			
<i>Contact:</i>			
<i>Contact Telephone Number:</i>			
<i>Contract Amount:</i>			
<i>Change Orders/Addenda or Amendments to Contract</i>			
<i>Number</i>	<i>Total \$ Value per Change</i>	<i>Description of Change</i>	<i>Reason for Change</i>
<i>1</i>			
<i>2</i>			
<i>3</i>			
<i>4</i>			
<i>5</i>			
<i>6</i>			
<i>7</i>			
<i>8</i>			
<i>9</i>			
<i>10</i>			



# **ATTACHMENT K**

## **Fee Proposal Form (To be submitted in a separate sealed envelope)**

**ATTACHMENT K  
FEE SHEET  
RFP #2019-28**

**Phase I Environmental Site Assessment and Update for the Manchester Neighborhood**

**Phase I Environmental Site Assessment and Update: Manchester Revitalization**

COST ELEMENT		ESTIMATE CALCULATION		
<b>Labor</b>				
<b>Classification:</b>	<b>Description</b>	<b>Hours</b>	<b>Rate</b>	<b>Total Amount</b>
1	Principal Consultant	8		
2	Project Manager	60		
3	Environmental Tech	1880		
4	Administrative	32		
5				
<b>Total Labor</b>				
<b>Material/Other</b>				
<b>Item:</b>	<b>Description</b>	<b># of Units</b>	<b>Unit Price</b>	<b>Total Amount</b>
1	EDR Report	88		
2	Env. Lien search	26		
3	PLM analysis			
4				
5				
6				
7				
8				
<b>Total Material/Other</b>				
<b>SUBTOTALS DIRECT COSTS</b>				
<b>Overhead &amp; Profit</b>			<b>% of Direct</b>	<b>Total Amount</b>
	<b>Total Overhead</b>		<b>Incl</b>	
	<b>Total Profit</b>		<b>Incl</b>	
<b>ReimbursableS</b>				
<b>Item:</b>	<b>Description</b>	<b># of Units</b>	<b>Unit Price</b>	<b>Total Amount</b>
1				
2				
<b>GRAND TOTALS</b>				

Total Cost: \$ \_\_\_\_\_

Total Cost: \$ \_\_\_\_\_  
(in words)

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

Address: \_\_\_\_\_  
(of company)

Signature: \_\_\_\_\_

Print Name: \_\_\_\_\_  
(of person signing)

Phone Number: \_\_\_\_\_ Fax: \_\_\_\_\_

Email: \_\_\_\_\_

**Request for Proposals**

**RFP #2019-28**

**Phase I Environmental Site Assessment and Update for the  
Manchester Neighborhood**

**ATTACHMENT L**

**Schedule of Properties**

ATTACHMENT K						
Schedule of Properties						
	Address	Block/Lot	Year Built	Square Feet	Acreage	Owner
1	1104 W. North Ave	0022-R-00287-0000-00	1999	4,215	0.0967	HACP
2	1106 W. North Ave	0022-R-00286-0000-00	1999	2,480	0.0569	HACP
3	1108 W. North Ave	0022-R-00285-0000-00	1999	2,325	0.0534	HACP
4	1406 W. North Ave	0007-B-00344-0000-00	1998	2,914	0.067	HACP
5	1412 W. North Ave	0007-B-00341-0000-00	1996	2,483	0.057	HACP
6	1331 Adams St	0022-F-00134-0000-00	1998	4,008	0.092	HACP
7	1337 Adams St	0022-F-00131-0000-00	1996	3,267	0.075	HACP
8	1341 Adams St	0022-F-00129-0000-00	1996	2,570	0.059	HACP
9	1402 Adams St	0022-F-00090-0000-00	1995	2,744	0.0629	HACP
10	1404 Adams St	0022-F-00092-0000-00	1995	2,918	0.067	HACP
11	1406 Adams St	0022-F-00098-0000-00	1995	4,181	0.096	HACP
12	1422 Nixon St	0022-E-00338-0000-00	1997	1,400	0.032	HACP
13	1424 Nixon St	0022-E-00337-0000-00	1997	5,160	0.118	HACP
14	1429 Nixon St	0022-E-00305-0000-00	1997	2,838	0.065	HACP
15	1431 Nixon St	0022-E-00307-0000-00	1997	3,600	0.0826	HACP
16	1439 Adams St	0022-E-00262-0000-00	1997	2,400	0.055	HACP
17	1441 Adams St	0022-E-00263-0000-00	1997	3,006	0.069	HACP
18	1443 Adams St	0022-E-00264-0000-00	1997	6,300	0.145	HACP
19	1205 Juniata St	0022-L-00018-0000-00	1996	2,385	0.0547	HACP
20	1207 Juniata St	0022-L-00015-0000-00	1996	2,437	0.056	HACP
21	1017 Pennsylvania Ave	0022-R-00067-0000-00	1995	2,760	0.063	HACP
22	1019 Pennsylvania Ave	0022-R-00068-0000-00	1995	3,174	0.073	HACP
23	1101 Pennsylvania Ave	0022-R-00074-0000-00	1995	3,228	0.074	HACP
24	1103 Pennsylvania Ave	0022-R-00075-0000-00	1995	2,760	0.063	HACP
25	1105 Pennsylvania Ave	0022-R-00076-0000-00	1995	3,441	0.079	HACP
26	1107 Sheffield St	0022-R-00198-0000-00	1998	2,852	0.065	HACP
27	1109 Sheffield St	0022-R-00199-0000-00	1998	3,267	0.075	HACP
28	1131 Sheffield St	0022-R-00214-0000-00	1997	2,480	0.057	HACP
29	1133 Sheffield St	0022-R-00215-0000-00	1997	2,713	0.062	HACP
30	1223 Sheffield St	0022-R-00319-0000-00	2000	3,100	0.071	HACP
31	1225 Sheffield St	0022-R-00317-0000-00	2000	2,852	0.065	HACP
32	1227 Sheffield St	0022-R-00315-0000-00	2000	2,852	0.065	HACP
33	1229 Sheffield St	0022-R-00313-0000-00	2000	2,480	0.057	HACP
34	1241 Sheffield St	0022-R-00305-0000-00	2000	2,976	0.068	HACP
35	1242 W. North Ave	0022-R-00251-0000-00	1995	4,168	0.095	HACP
36	1303 Fulton St	0022-P-00152-0000-00	1998	1,263	0.029	HACP
37	1305 Fulton St	0022-P-00153-0000-00	1998	784	0.018	HACP

38	1307 Fulton St	0022-P-00154-0000-00	1998	915	0.021	HACP
39	1315 Pennsylvania Ave	0022-P-00161-0000-00	2008	3,378	0.077	HACP
40	1329 N. Franklin St	0022-K-00327-0000-00	1996	3,093	0.071	HACP
41	1331 N. Franklin St	0022-K-00326-0000-00	1996	2,614	0.06	HACP
42	1333 N. Franklin St	0022-K-00325-0000-00	1996	2,614	0.06	HACP
43	1335 N. Franklin St	0022-K-00324-0000-00	1996	2,614	0.06	HACP
44	1403 Page St	0007-B-00157-0000-00	1995	4,530	0.104	HACP
45	1405 Page St	0007-B-00158-0000-00	1995	8,880	0.204	HACP
46	1323 Columbus Ave	0022-K-00031-0000-00	1900	1,248	0.0286	HACP
47	1325 Columbus Ave	0022-K-00030-0000-00	1900	1,233	0.028	HACP
48	1327 Columbus St	0022-K-00029-0000-00	1900	2,616	0.06	HACP
49	1100 Sheffield St	0022-R-00167-0000-00	1872	8,280	0.36	HACP
50	1111 Sheffield St	0022-R-00200-0000-00	1900	3,348	0.083	HACP
51	1130 Sheffield St	0022-R-00150-0000-00	1965	2,760	0.076	HACP
52	1132 Sheffield St	0022-R-00149-0000-00	1965	2,760	0.076	HACP
53	1134 Sheffield St	0022-R-00148-0000-00	1965	2,760	0.076	HACP
54	1315 Liverpool St	0022-P-00052-0000-00	1900	8,700	0.202	HACP
55	1529 Sedgwick St	0022-L-00141-0000-00	1874	1,392	0.057	HACP
56	1208 Liverpool St	0022-L-00242-0000-00	1915	1,560	0.046	HACP
57	1815 Fulton Street	22-F-156	1900	990	0.023	URA
58	1001 N Franklin Street	22-L-187	Vacant Land	2,380	0.055	URA
59	1607 Sedgwick Street	22-L-92	Vacant Land	960	0.022	URA
60	1609 Sedgwick Street	22-L-91-A	Vacant Land	624	0.014	URA
61	1611 Sedgwick Street	22-L-91	Vacant Land	672	0.015	URA
62	1613 Sedgwick Street	22-L-90	Vacant Land	960	0.022	URA
63	1208 N Franklin Street	22-L-96	Vacant Land	4,680	0.107	URA
64	1103 Liverpool Street	22-L-299	Vacant Land	1,560	0.036	URA
65	1304 Lake Street	22-K-37	Vacant Land	814	0.019	URA
66	1306 Lake Street	22-F-283-A	Vacant Land	908	0.021	URA
67	1421 Juniata Street	22-K-134	Vacant Land	1,584	0.036	URA
68	1501 Allegheny Ave	22-L-199	1882	1,152	0.026	MCC
69	1503 Allegheny Ave	22-L-198	Vacant Land	1,152	0.026	MCC
70	1012 Liverpool Street	22-L-202	Vacant Land	3,120	0.072	MCC
71	1105 Liverpool Street	22-L-298	1900	1,920	0.044	MCC
72	1301 Columbus Ave	22-F-285	Vacant Land	1,748	0.04	MCC
73	1214 N Franklin St	22-L-101	Vacant Land	3,113	0.071	MCC
74	1218 N Franklin St	22-L-103	Vacant Land	2,465	0.057	MCC
75	1513 Allegheny Ave	22-L-193	1896	1,562	0.036	City
76	1206 W North Avenue	22-R-267	Vacant Land	2,976	0.068	City
77	1817 Fulton Street	22-F-155	1900	900	0.021	City
78	N/A N Franklin Street	22-L-98	Vacant Land	1,170	0.027	City

79	1305 Columbus Ave	22-F-284	1890	1,000	0.023	City
80	1307 Columbus Ave	22-F-283	1890	910	0.021	City
81	1321 N Franklin St	22-K-333	Vacant Land	1,600	0.037	City
82	1020 Liverpool St	22-L-207	1910	2,070	0.048	City

**Request for Proposals**

**RFP #2019-28**

**Phase I Environmental Site Assessment and Update for the  
Manchester Neighborhood**

**ATTACHMENT M**

**Site Map**





# Manchester Revitalization

- To-Be-Acquired - City/URA Owned Parcels
- Manchester Hope VI - Single Family Properties
- Manchester Hope VI - Multifamily Properties
- Historic\_boundary



**Request for Proposals**

**RFP #2019-28**

**Phase I Environmental Site Assessment and Update for the Manchester  
Neighborhood**

**ATTACHMENT N**

**HUD Form 4128**

# Environmental Assessment and Compliance Findings for the Related Laws

U.S. Department of Housing  
and Urban Development

1. Project Number

HUD Program

2. Date Received

RMS: HI-00487R

**Findings and Recommendations** are to be prepared **after** the environmental analysis is completed. Complete items 1 through 15 as appropriate for all projects. For projects requiring an environmental assessment, also complete Parts A and B. For projects categorically excluded under 24 CFR 50.20, complete Part A. Attach notes and source documentation that support the findings.

3. Project Name and Location (Street, City, County, State)

4. Applicant Name and Address (Street, City, State, Zip Code), and Phone

5. ☐ Multifamily ☐ Elderly ☐ Other  
If Other, explain.

6. Number of  
\_\_\_\_\_ Dwelling Units \_\_\_\_\_ Buildings  
\_\_\_\_\_ Stories \_\_\_\_\_ Acres

7. Displacement ☐ No ☐ Yes  
If Yes, explain.

8. ☐ New Construction ☐ Rehabilitation ☐ Other  
(if Other, explain)

9. Has an environmental report (Federal, State,  
or local) been used in completing this form? ☐ No ☐ Yes

If Yes, identify: \_\_\_\_\_

11. Environmental Finding (check one)

- ☐ Categorical exclusion is made in accordance with § 50.20 or  
☐ Environmental Assessment and a **Finding of No Significant Impact** (FONSI) is made in accordance with § 50.33 or  
☐ Environmental Assessment and a **Finding of Significant Impact** is made, and an Environmental Impact Statement is required in accordance with §§ 50.33(d) and 50.41.

10. Planning Findings. Is the project in compliance or conformance with the following plans?

Local Zoning ☐ Yes ☐ No ☐ Not Applicable  
 Coastal Zone ☐ Yes ☐ No ☐ Not Applicable  
 Air Quality (SIP) ☐ Yes ☐ No ☐ Not Applicable

Explain any "No" answer: \_\_\_\_\_

Are there any unresolved conflicts concerning  
the use of the site?

☐ No ☐ Yes (explain): \_\_\_\_\_

☐ Project is recommended for approval (List any conditions and requirements) ☐ Project is recommended for rejection (State reasons)

12. Preparer (signature)

Date

13. Supervisor (signature)

Date

14. Comments by Environmental Clearance Officer (ECO)  
(required for projects over 200 lots/units)

ECO (signature)

X

Date

15. Comments (if any) by HUD Approving Official

HUD Approving Official (signature)

X

Date

**Part A. Compliance Findings for §50.4 Related Laws and Authorities**

§ 50.4 Laws and Authorities	Project is in Compliance		Source Documentation and Requirements for Approval
	Yes	No	
16. Coastal Barrier Resources			
17. Floodplain Management (24 CFR Part 55)			
18. Historic Preservation (36 CFR Part 800)			
19. Noise Abatement (24 CFR Part 51 Subpart B)			
20. Hazardous Operations (24 CFR Part 51 Subpart C)			
21. Airport Hazards (24 CFR Part 51 Subpart D)			
22. Protection of Wetlands (E. O. 11990)			
23. Toxic Chemicals & Radioactive Materials (§ 50.3(i))			
24. Other § 50.4 authorities (e.g., endangered species, sole source aquifers, farmlands protection, flood, insurance, environmental justice)			

**Part B. Environmental/Program Factors**

Factors	Anticipated Impact/Deficiencies			Source Documentation and Requirements for Approval
	None	Minor	Major	
25. Unique Natural Features and Areas				
26. Site Suitability, Access, and Compatibility with Surrounding Development				
27. Soil Stability, Erosion, and Drainage				
28. Nuisances and Hazards (natural and built)				
29. Water Supply / Sanitary Sewers				
30. Solid Waste Disposal				
31. Schools, Parks, Recreation, and Social Services				
32. Emergency Health Care, Fire and Police Services				
33. Commercial / Retail and Transportation				
34. Other				

Public reporting burden for this collection of information is estimated to average 1 hour. This includes the time for collecting, reviewing, and reporting the data. Response to this request for information is required in order to receive the benefits to be derived. Section 232 of the National Housing Act authorizes mortgage insurance for the development of nursing homes and intermediate care facilities. This agency may not collect this information, and you are not required to complete this form unless it displays a currently valid OMB control number. While no assurance of confidentiality is pledged to respondents, HUD generally discloses this data only in response to a Freedom of Information Act request.

# Sample Field Notes Checklist

Project Number	HUD Program
----------------	-------------

Project Name:

Location (street, city, county/State, & zip code)

Number of Dwelling Units	Project site is in a location described as
<input type="checkbox"/> New construction <input type="checkbox"/> Rehabilitation	<input type="checkbox"/> Central city <input type="checkbox"/> Suburban <input type="checkbox"/> Infill urban development <input type="checkbox"/> In developing rural area <input type="checkbox"/> In undeveloped area

**Note to Reader:** An Environmental Assessment (EA) is a concise public document that a Federal agency must prepare in order to comply with the National Environmental Policy Act (NEPA) and the related Federal environmental laws and authorities. The EA must support decision making process and provide a clear rationale, justification, and documentation for ratings assigned.

## Instructions

It is recommended that this checklist be used by HUD staff who prepare the Environmental Assessment (EA; form HUD-4128). It will constitute full documentation for many factors on the EA, and partial documentation for others. It will avoid narrative reports and expedite the environmental review process. This checklist, which is a slightly revised version of Appendix C of Handbook 1390.2, should be used pending revision of Handbook 1390.2.

The number for each checksheet topic is the number that appears on form HUD-4128. Also, each checklist title/heading is followed by a reference to where the topic appears in the current Handbook 1390.2.

Before the site visit, review the Phase I and all background information submitted with the application (if applicable). During the site visit, the preparers of form HUD-4128 are to: (i) answer all relevant questions on this checklist; (ii) use the spaces provided for comments to include supplemental information as well as to record any recommended mitigation measures or requirements for project approval; (iii) key your answers to the relevant questions (using additional sheets of paper to provide more detailed information); and (iv) use the spaces provided for source documentation to cite the information source used (e.g., title of

a technical report, map, or special study; site inspection/field observation; name and location of the qualified data source(s) that provided the information, for example, the local planning agency, the local housing and/or community development agency, the State environmental protection agency, the State Historic Preservation Officer, or other qualified data source.)

Preparers are to obtain and use, as appropriate, any environmental report (Federal, State, or local) that may have already been prepared for the property or area in which the property is located.

Several different types of maps will be useful in completing the review, such as the project plan or plot map, a location map showing major features and facilities in the vicinity, the USGS topographic map and FEMA flood map for the site area, and zoning/land use maps. **Many of the conditions can and should be recorded directly on the project plan.** Distances to major features and facilities (e.g., schools and fire stations) and a description of the surrounding area are examples. The plan can then be referenced as "source documentation" on form HUD-4128.

## 9. Environmental Report

List the Federal, State, or local agencies contacted to obtain their existing environmental reports and other data for the HUD environmental review for the proposed project.

List the major reports obtained. (attach the report(s) or otherwise list the title, author, publication date)

## 10. Planning Findings

Is the project in compliance or conformance with the local zoning?

☐ Yes    ☐ No    ☐ Not Applicable    If No or Not Applicable, explain.

Is the project located within a coastal management zone (CZM)?

☐ Yes    ☐ No    ☐ Not Applicable

If your answer is Yes, the State Coastal Zone Management (CZM) Agency must make a finding that the project is consistent with the approved State CZM program.

Is the State's finding attached to this checksheet?

☐ Yes    ☐ No

Is the project in compliance with the air quality State Implementation Plan (SIP)?

☐ Yes    ☐ No    ☐ Not Applicable

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Comments:

Source documentation:

Are there any unresolved conflicts concerning the use of the site?

☐ Yes ☐ No If your answer is Yes, briefly explain:

**16. Coastal Barrier Resources**

Is the project located within a coastal barrier designated on a current FEMA flood map or Department of Interior coastal barrier resources map?

☐ Yes ☐ No If your answer is Yes, the law prohibits Federal funding of projects in designated coastal barriers.

**17. Flood Management** (24 CFR Part 55) (see CF 3 and 4 of Handbook 1390.2)

Is the project located within a floodplain designated on a current FEMA flood map?

☐ Yes ☐ No Identify FEMA flood map used to make this finding:

Community Name and Number: \_\_\_\_\_

Map Panel Number and Date of Map Panel: \_\_\_\_\_

If your answer is Yes, use § 55.12 and the floodplain management decisionmaking process (§ 55.20) to comply with 24 CFR Part 55.

Comments:

Source documentation: (attach § 55.20 analysis)

**18. Historic Preservation** (see CF 2 of Handbook 1390.2)

Has the SHPO been notified of the project and requested to provide comments?

☐ Yes ☐ No

Is the property listed on or eligible for listing on the National Register of Historic Places?

☐ Yes ☐ No

Is the property located within or directly adjacent to an historic district?

☐ Yes ☐ No

Does the property's area of potential effects include an historic district or property?

☐ Yes ☐ No

If your answer is Yes to any of the above questions, consult with the State Historic Preservation Officer (SHPO) and comply with 36 CFR part 800.

Has the SHPO been or is being advised of HUD's finding?

☐ Yes ☐ No

Comments:

Source documentation:

**19. Noise Abatement** (see CF 1 of Handbook 1390.2)

Is the project located near a major noise source, i.e., civil airports (within 5 miles), military airfields (15 miles), major highways or busy roads (within 1000 feet), or railroads (within 3000 feet)?

☐ Yes ☐ No If your answer is Yes, comply with 24 CFR 51, Subpart B which requires a noise assessment for proposed new construction. Use adopted DNL contours if the noise source is an airport.

Comments:

Source documentation: (attach NAG worksheets)

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**20. Hazardous Industrial Operations** (see CF 5 of Handbook 1390.2)

Are industrial facilities handling explosive or fire-prone materials such as liquid propane, gasoline or other storage tanks adjacent to or visible from the project site?

☐ Yes ☐ No If your answer is Yes, use HUD Hazards Guide and comply with 24 CFR Part 51, Subpart C.

Comments:

Source documentation: (attach ASD worksheets)

**21. Airport Hazards** (see CF 5 of Handbook 1390.2)

Is the project within 3,000 feet from the end of a runway at a civil airport?

☐ Yes ☐ No

Is the project within 2-1/2 miles from the end of a runway at a military airfield?

☐ Yes ☐ No If your answer is Yes to either of the above questions, comply with 24 CFR Part 51, Subpart D.

Comments:

Source documentation:

**22. Protection of Wetlands** (E.O. 11990) (see CF 3 and 4 of Handbook 1390.2)

Are there drainage ways, streams, rivers, or coastlines on or near the site?

☐ Yes ☐ No

Are there ponds, marshes, bogs, swamps or other wetlands on or near the site?

☐ Yes ☐ No

For projects proposing new construction and/or filling, the following applies:

Is the project located within a wetland designated on a National Wetlands Inventory map of the Department of the Interior (DOI)?

☐ Yes ☐ No If your answer is Yes, E.O. 11990, Protection of Wetlands, discourages Federal funding of new construction or filling in wetlands and compliance is required with the wetlands decisionmaking process (§ 55.20 of 24 CFR Part 55. Use proposed Part 55 published in the Federal Register on January 1, 1990 for wetland procedures).

Comments:

Source documentation: (attach § 55.20 analysis for new construction and/or filling)

**23. Toxic Chemicals and Radioactive Materials** (see CF 5 of Handbook 1390.2)

Has a Phase I (ASTM) Report been submitted and reviewed?

☐ Yes ☐ No If your answer is No, is a Phase I (ASTM) report needed?

☐ Yes ☐ No

Are there issues that require a special/specific Phase II report before completing the environmental assessment?

☐ Yes ☐ No

Is the project site near an industry disposing of chemicals or hazardous wastes?

☐ Yes ☐ No

Is the site listed on an EPA Superfund National Priorities or CERCLA, or equivalent State list?

☐ Yes ☐ No

Is the site located within 3,000 feet of a toxic or solid waste landfill site?

☐ Yes ☐ No

Does the site have an underground storage tank?

☐ Yes ☐ No

If your answer is Yes to any of the above questions, use current techniques by qualified professionals to undertake investigations determined necessary and comply with § 50.3(i).

Are there any unresolved concerns that could lead to HUD being determined to be a Potential Responsible Party (PRP)?

☐ Yes ☐ No

Comments:

Source documentation: (attach Phase I (ASTM) Report)

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## 24. Other

### a. Endangered Species (see EF 3.4 of Handbook 1390.2)

Has the Department of Interior list of Endangered Species and Critical Habitats been reviewed?

☐ Yes ☐ No

Is the project likely to affect any listed or proposed endangered or threatened species or critical habitats?

☐ Yes ☐ No If your answer is Yes, compliance is required with Section 7 of the Endangered Species Act, which mandates consultation with the Fish and Wildlife Service in order to preserve the species.

Comments:

Source documentation

### b. Sole Source aquifers

Will the proposed project affect a sole source or other aquifer?

☐ Yes ☐ No

Comments

Source documentation

### c. Farmlands Protection (see EF 3.3 of Handbook 1390.2)

If the site or area is presently being farmed, does the project conform with the Farmland Protection Policy Act and HUD policy memo?  
☐ Yes ☐ No If your answer is Yes, compliance is required with 7 CFR Part 658, Department of Agriculture regulations implementing the Act.

Comments:

Source documentation:

### d. Flood Insurance

Is the building located or to be located within a Special Flood Hazard Area identified on a current Flood Insurance Rate Map (FIRM)?

☐ Yes ☐ No If your answer is Yes, flood insurance protection is required for buildings located or to be located within a Special Flood Hazard Area as a condition of approval of the project. In addition, compliance with § 55.12 and the floodplain management decisionmaking process (§ 55.20) is required (refer to item #17 above). Document the map used to determine Special Flood Hazard Area in above item #17 pertaining to community name and number, map panel number and date of map panel.

### e. Environmental Justice

Is the project located in a predominantly minority and low-income neighborhood?

☐ Yes ☐ No

Does the project site or neighborhood suffer from disproportionately adverse environmental effects on minority and low-income populations relative to the community-at-large?

☐ Yes ☐ No If your answer is Yes, compliance is required with E.O. 12898, Federal Actions to Address Environmental Justice.

Comments:

Source documentation:

## 25. Unique Natural Features and Areas (see EF 3.2 of Handbook 1390.2)

Is the site near natural features (i.e., bluffs or cliffs) or near public or private scenic areas?

☐ Yes ☐ No

Are other natural resources visible on site or in vicinity? Will any such resources be adversely affected or will they adversely affect the project?

☐ Yes ☐ No

Comments:



**26. Site Suitability, Access, and Compatibility with Surrounding Development** (see EF 1.1 and 1.3 of Handbook 1390.2)

Has the site has been used as a dump, sanitary landfill or mine waste disposal area? ☐ Yes ☐ No  
Is there paved access to the site? ☐ Yes ☐ No  
Are there other unusual conditions on site? ☐ Yes ☐ No

Is there indication of:	Yes	No		Yes	No
distressed vegetation	<input type="checkbox"/>	<input type="checkbox"/>	oil/chemical spills	<input type="checkbox"/>	<input type="checkbox"/>
waste material/containers	<input type="checkbox"/>	<input type="checkbox"/>	abandoned machinery, cars, refrigerators, etc.	<input type="checkbox"/>	<input type="checkbox"/>
soil staining, pools of liquid	<input type="checkbox"/>	<input type="checkbox"/>	transformers, fill/vent pipes, pipelines, drainage structures	<input type="checkbox"/>	<input type="checkbox"/>
loose/empty drums, barrels	<input type="checkbox"/>	<input type="checkbox"/>			

Is the project compatible with surrounding area in terms of:

	Yes	No		Yes	No
Land use	<input type="checkbox"/>	<input type="checkbox"/>	Building type (low/high-rise)	<input type="checkbox"/>	<input type="checkbox"/>
Height, bulk, mass	<input type="checkbox"/>	<input type="checkbox"/>	Building density	<input type="checkbox"/>	<input type="checkbox"/>

Will the project be unduly influenced by:

	Yes	No		Yes	No
Building deterioration	<input type="checkbox"/>	<input type="checkbox"/>	Transition of land uses	<input type="checkbox"/>	<input type="checkbox"/>
Postponed maintenance	<input type="checkbox"/>	<input type="checkbox"/>	Incompatible land uses	<input type="checkbox"/>	<input type="checkbox"/>
Obsolete public facilities	<input type="checkbox"/>	<input type="checkbox"/>	Inadequate off-street parking	<input type="checkbox"/>	<input type="checkbox"/>

Are there air pollution generators nearby which would adversely affect the site:

	Yes	No		Yes	No
Heavy industry	<input type="checkbox"/>	<input type="checkbox"/>	Large parking facilities (1000 or more cars)	<input type="checkbox"/>	<input type="checkbox"/>
Incinerators	<input type="checkbox"/>	<input type="checkbox"/>	Heavy travelled highway (6 or more lanes)	<input type="checkbox"/>	<input type="checkbox"/>
Power generating plants	<input type="checkbox"/>	<input type="checkbox"/>	Oil refineries	<input type="checkbox"/>	<input type="checkbox"/>
Cement plants	<input type="checkbox"/>	<input type="checkbox"/>	Other(specify)	<input type="checkbox"/>	<input type="checkbox"/>

Comments:

Source documentation:

**27. Soil Stability, Erosion, and Drainage** (see EF 1.2 of Handbook 1390.2)

Slopes: ☐ Not Applicable ☐ Steep ☐ Moderate ☐ Slight

Is there evidence of slope erosion or unstable slope conditions on or near the site? ☐ Yes ☐ No

Is there evidence of ground subsidence, high water table, or other unusual conditions on the site? ☐ Yes ☐ No

Is there any visible evidence of soil problems (foundations cracking or settling, basement flooding, etc.) in the neighborhood of the site? ☐ Yes ☐ No

Have soil studies or borings been made for the project site or the area? ☐ Yes ☐ No ☐ Unknown

Do the soil studies or borings indicate marginal or unsatisfactory soil conditions? ☐ Yes ☐ No

Is there indication of cross-lot runoff, swales, drainage flows on the property? ☐ Yes ☐ No

Are there visual indications of filled ground? ☐ Yes ☐ No

If your answer is Yes, was a 79(g) report/analysis submitted? ☐ Yes ☐ No

Are there active rills and gullies on site? ☐ Yes ☐ No

If the site is not to be served by a municipal waste water disposal system, has a report of the soil conditions suitable for on-site septic systems been submitted? ☐ Yes ☐ No ☐ N.A.

Is a soils report (other than structural) needed? ☐ Yes ☐ No

Are structural borings or a dynamic soil analysis/geological study needed? ☐ Yes ☐ No

Comments:

Source documentation:

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**28. Nuisances and Hazards** (see EF 1.3 and 1.4 of Handbook 1390.2)

Will the project be affected by natural hazards:

	Yes	No		Yes	No
Faults, fracture	<input type="checkbox"/>	<input type="checkbox"/>	Fire hazard materials	<input type="checkbox"/>	<input type="checkbox"/>
Cliffs, bluffs, crevices	<input type="checkbox"/>	<input type="checkbox"/>	Wind/sand storm concerns	<input type="checkbox"/>	<input type="checkbox"/>
Slope-failures from rains	<input type="checkbox"/>	<input type="checkbox"/>	Poisonous plants, insects, animals	<input type="checkbox"/>	<input type="checkbox"/>
Unprotected water bodies	<input type="checkbox"/>	<input type="checkbox"/>	Hazardous terrain features	<input type="checkbox"/>	<input type="checkbox"/>

Will the project be affected by built hazards and nuisances:

	Yes	No		Yes	No
Hazardous street	<input type="checkbox"/>	<input type="checkbox"/>	Inadequate screened drainage catchments	<input type="checkbox"/>	<input type="checkbox"/>
Dangerous intersection	<input type="checkbox"/>	<input type="checkbox"/>	Hazards in vacant lots	<input type="checkbox"/>	<input type="checkbox"/>
Through traffic	<input type="checkbox"/>	<input type="checkbox"/>	Chemical tank-car terminals	<input type="checkbox"/>	<input type="checkbox"/>
Inadequate separation of pedestrian/vehicle traffic	<input type="checkbox"/>	<input type="checkbox"/>	Other hazardous chemical storage	<input type="checkbox"/>	<input type="checkbox"/>
Children's play areas located next to freeway or other high traffic way	<input type="checkbox"/>	<input type="checkbox"/>	High-pressure gas or liquid petroleum transmission lines on site	<input type="checkbox"/>	<input type="checkbox"/>
Inadequate street lighting	<input type="checkbox"/>	<input type="checkbox"/>	Overhead transmission lines	<input type="checkbox"/>	<input type="checkbox"/>
Quarries or other excavations	<input type="checkbox"/>	<input type="checkbox"/>	Hazardous cargo transportation routes	<input type="checkbox"/>	<input type="checkbox"/>
Dumps/sanitary landfills or mining	<input type="checkbox"/>	<input type="checkbox"/>	Oil or gas wells	<input type="checkbox"/>	<input type="checkbox"/>
Railroad crossing	<input type="checkbox"/>	<input type="checkbox"/>	Industrial operations	<input type="checkbox"/>	<input type="checkbox"/>

Will the project be affected by nuisances:

	Yes	No	Yes	No
Gas, smoke, fumes	<input type="checkbox"/>	<input type="checkbox"/>	Unightly land uses	<input type="checkbox"/>
Odors	<input type="checkbox"/>	<input type="checkbox"/>	Front-lawn parking	<input type="checkbox"/>
Vibration	<input type="checkbox"/>	<input type="checkbox"/>	Abandoned vehicle	<input type="checkbox"/>
Glare from parking area	<input type="checkbox"/>	<input type="checkbox"/>	Vermin infestation	<input type="checkbox"/>
Vacant/boarded-up buildings	<input type="checkbox"/>	<input type="checkbox"/>	Industrial nuisances	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	Other (specify)	<input type="checkbox"/>

Comments:

Source documentation:

**29. Water, Supply, Sanitary Sewers, and Solid Waste Disposal** (see EF 2.1, 2.2, and 2.4 of Handbook 1390.2)

Is the site served by an adequate and acceptable:

water supply

☐ Yes ☐ No ☐ Municipal ☐ Private

sanitary sewers and waste water disposal systems

☐ Yes ☐ No ☐ Municipal ☐ Private

trash collection and solid waste disposal

☐ Yes ☐ No ☐ Municipal ☐ Private

If the water supply is non-municipal, has an acceptable "system" been approved by appropriate authorities and agencies?

☐ Yes ☐ No

If the sanitary sewers and waste water disposal systems are non-municipal, has an acceptable "system" been approved by appropriate authorities and agencies?

☐ Yes ☐ No

Comments:

Source documentation:

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**31. Schools, Parks, Recreation, and Social Services** (see U/EF 4, 5, and 6 of Handbook 1390.2)

Will the local school system have the capability to service the potential school age children from the project?

☐ Yes ☐ No

Are parks and play spaces available on site or nearby?

☐ Yes ☐ No

Will social services be available on site or nearby for residents of the proposed project?

☐ Yes ☐ No

Comments:

Source documentation:

**32. Emergency Health Care, Fire and Police Services** (see U/EF 7, 8, and 9 of Handbook 1390.2)

Are emergency health care providers located within reasonable proximity to the proposed project?

☐ Yes ☐ No Approximate response time: \_\_\_\_\_

Are police services located within reasonable proximity to the proposed project?

☐ Yes ☐ No Approximate response time: \_\_\_\_\_

Is fire fighting protection ☐ municipal ☐ volunteer adequate and equipped to service the project?

☐ Yes ☐ No Approximate/estimated response time: \_\_\_\_\_

Comments:

Source documentation:

**33. Commercial/Retail and Transportation** (see U/EF 10 and 11 of Handbook 1390.2)

Are commercial/retail shopping services nearby?

☐ Yes ☐ No

Is the project accessible to employment, shopping and services by

☐ public transportation or ☐ private vehicle?

Is adequate public transportation available from the project to these facilities?

☐ Yes ☐ No

Are the approaches to the project convenient, safe and attractive?

☐ Yes ☐ No

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**11. Conditions and Requirements for Approval**

Are mitigation measures required?

☐ Yes ☐ No

If your answer is Yes, list and describe:

Brief Description of the Project:

Field Inspection on (date) \_\_\_\_\_

By (signature) \_\_\_\_\_

**Request for Proposals**

**RFP #2019-28**

**Phase I Environmental Site Assessment and Update for the Manchester  
Neighborhood**

**ATTACHMENT O**

**PHFA Tab 17**

**Tab 17 Phase I Environmental Review / Environmental Test Results**

A Phase I Environmental Site Assessment prepared in accordance with ASTM E-1527-13 and the Agency requirements found in the Submission Guide for Architects (list of non-scope items to be investigated by the Environmental Consultant), is required for **ALL** developments. Existing buildings scheduled for rehabilitation or demolition shall be investigated for environmental hazards. For new Applications, the report cannot be more than **12 months** old at the time of submission. For a previously-submitted Application the applicant may choose to have an update report provided by the environmental consultant that performed the original Phase I ESA rather than having a completely new Phase I prepared. An update report is allowed only for a project whose Phase I ESA is between **12 and 24 months** old at time of submission. **If the previous report was prepared in accordance with the E-1527-05 standard, it must be updated to the E-1527-13 standard, regardless of its age.** An update report from the environmental consultant will not be acceptable for a report older than 30 months and a new report must be prepared. The update report from the environmental consultant must certify that the five (5) actions listed as items (i-v) under section *4.6 Continued Viability of Environmental Site Assessment* of the ASTM E 1527-13 Environmental Site Assessment Standard have been met. Only the executive summary of the report should be submitted in the Application, which shall indicate if remediation or further testing is required, and include a cost estimate for remediation. The report shall also be accompanied by a certification from the applicant stating that any issues raised in the environmental review have been reviewed and budgeted accordingly in the development budget. The applicant must provide a breakdown of related costs and identify where this cost is included in the development budget. If the executive summary indicates there are no environmental issues, a certification is not necessary.

For existing buildings scheduled for rehabilitation, the Phase I report must also include testing for the following hazards: lead in water, lead-based paint, asbestos and radon. For existing buildings scheduled to be demolished as part of the project, only testing for asbestos is required. For preservation developments, please refer to the testing requirements on the following page.

**Lead in Water:** At least one (1) test for lead in the domestic water shall be performed in each building within the development. In buildings larger than 10,000 total square feet, at least two (2) tests shall be performed. Each test shall consist of two samples; an initial draw sample taken after a period of no water use, and a second sample taken after thoroughly flushing the system. Samples shall be taken as far as possible from the water service entrance to the building. In a rehabilitation development, if all water lines within the building and all lines out to the public water main are scheduled for replacement as part of the project, testing for lead in the water is not required.

**Lead Based Paint:** Paint throughout any building(s) built prior to 1978 shall be analyzed for lead content using an x-ray fluorescence (XRF) spectrum analyzer performed in accordance with HUD's "Final Rule", 24 CFR Part 35, as amended June 21, 2004.

**Asbestos:** A survey of any building(s) constructed prior to 1978 shall be performed to identify suspect asbestos containing materials. All such materials shall be tested using polarized light microscopy (PLM).

**Radon:** Radon testing shall be performed on the lowest floor level of each building in the development, at a rate of one test for every 5,000 square feet of basement/ground floor area. In addition, a test shall be performed in each stair tower and elevator shaft that will remain in use after the rehabilitation.

All environmental sampling shall be performed by certified personnel and all testing shall be done by an accredited testing laboratory. All test results that are above the “action level” shall be clearly identified.

**Preservation development applicants should also refer to Tab 34 “Project Capital Needs Assessment” for testing requirements. Preservation developments are required to follow the Tab 34 testing requirements and not the Tab 17 requirements.**

All Agency loan applicants must follow the Environmental Remediation Monitoring Program found at Section 1.22.6 of the Submission Guide for Architects.

**Request for Proposals**

**RFP #2019-28**

**Phase I Environmental Site Assessment and Update for the Manchester  
Neighborhood**

**ATTACHMENT P**

**PHFA Tab 34**



### **Tab 34 Project Capital Needs Assessment & Energy Audit**

All Preservation developments must submit **both** of the following:

- A. Project Capital Needs Assessment** – A Project Capital Needs Assessment (PCNA) must be completed by an independent third party not involved in the design or preparation of drawings and specifications for the development. A minimum of \$20,000 per unit in construction costs on major systems and components is required to be considered for funding from the Preservation Preference. Refer to the PCNA Requirements for specific guidelines on completing this Assessment. The date of the Assessment must be less than **12 months** prior to the submission date of the Application.

To the greatest extent possible the design should include the scope of work to provide up to 5% of the units meeting current accessibility standards and up to 2% meeting current audible/visual standards. Further, VisitAbility features should be included in the design for as many units as economically feasible.

- B. Energy Audit** - A diagnostic and comprehensive energy audit prepared by a Building Performance Institute (BPI) Certified Multifamily Building Analyst must be conducted in accordance with the PHFA guidelines attached. The energy audit report must be included in the application. Measures to reduce both development-paid and tenant-paid utilities must be evaluated. The date of the Assessment must be less than **12 months** prior to the submission date of the Application.

For purposes of this Tab, a preservation development is any currently-occupied residential housing development and is not limited to applicants seeking Tax Credits through the Preservation Preference outlined in the Allocation Plan.

## A. PROJECT CAPITAL NEEDS ASSESSMENT GUIDELINES

Preservation applicants for rehabilitation must submit a PCNA and replacement reserve analysis. The PCNA must have been performed within **12 months** of the submission date of the Application.

The PCNA shall include the following five (5) major components:

1. Critical Repair Items. All health and safety deficiencies or violations of Section 8 housing quality standards, including any/all Federal Lead Based Paint requirements, and FHA's regulatory agreement standards that require immediate remediation.
2. Twelve-Month Physical Needs. An estimate of the repairs, replacements, and significant deferred and other maintenance items that will need to be addressed within 12 months. Includes the minimum market amenities needed to restore the property to the non-luxury standard adequate for the rental market for which the development was originally approved. If the standard has changed over time, the rehabilitation may include improvements to meet the current standards.
3. Long-Term Physical Needs. As estimate of the repairs and replacement items beyond the first year that are required to maintain the development's physical integrity over the next **twenty (20) years**, such as major structural systems that will need to be replaced during this period.
4. Analysis of Reserve for Replacement. An estimate of the initial and monthly deposit to the Reserve for Replacement account needed to fund the development's long-term physical needs for a minimum 20-year period, accounting for inflation, the existing Reserve for Replacement balance, and the Expected Useful Life (EUL) of major building systems. This analysis shall include the cost of twelve-month physical needs, but not any work items that would be treated as operating expenses.
5. Costing. A Cost Estimate must be part of this report. All items included in components #1 Critical Repair Items, #2 Twelve Month Physical Needs and the abatement of environmental hazards must be included in the scope of work proposed in the Application. The scope of work for the proposed rehabilitation should also include items shown for replacement within the first five (5) years of component #3 Long-Term Physical Needs.

### Statement of Work

1. The report shall be written with detailed narrative and accompanying color photographs and shall describe the property's exterior and interior physical condition, including architectural and structural components, and mechanical systems.
2. The report shall:
  - a) Identify in detail any repair items that represent an immediate threat to health and safety, and all other significant defects, deficiencies, items of deferred maintenance, and material building code violations (individual and collectively, "Physical Deficiencies") that would limit the expected useful life of major components or systems. Deficiencies regarding significant life safety issues must be identified;

- b) Provide estimated costs to remedy the detailed Physical Deficiencies (Critical Repair items, 12-month physical needs, and the first five years of long term physical needs); and
  - c) Prepare a Replacement Reserve Schedule, including an estimate of the initial and annual deposits (projected to increase at the operating cost adjustment factor) for a minimum period of 20 years.
3. The report shall identify any Physical Deficiencies as a result of:
- a) A visual survey;
  - b) A review of any pertinent documentation; and
  - c) Interviews with the property owner, management staff, tenants, interested local community groups and government officials.
4. The report shall provide a description of directly observed or potential on-site environmental hazards including but not limited to above and below ground tanks which are not in use. The report shall also include copies of laboratory testing results for the presence of radon, lead in domestic water, lead based paint, where applicable, and asbestos, where potential asbestos containing materials exist.

Radon must be tested in at least 25% of the units and community spaces on the ground floor, plus at least 10% of all units above the ground floor with a minimum of one test per floor.

Testing for lead in the water shall be performed at a minimum of two locations per building, and shall be based on two samples from each location; an initial draw sample taken after a period of no water use, and a sample taken after thoroughly flushing the system.

Lead based paint testing shall be performed using an X-ray Fluorescence spectrum analyzer (XRF) and in accordance with HUD's "Final Rule", 24 CFR Part 35, as amended June 21, 2004. (Lead based paint testing is not required for buildings constructed after 1978 or for those buildings with occupancy limited to individuals 62 years of age and older.)

A survey of all buildings shall be performed to identify suspect asbestos containing materials. All such material shall be tested using polarized light microscopy (PLM).

The test locations of each test mentioned above shall be identified.

If any of the results from the above tests are above the "action" level, remediation of the hazards must be included in the scope of work. Post-remediation testing, and additional remediation work if required, must be performed until satisfactory results are documented.

5. The report shall assess the twelve-month physical needs. The standard is a non-luxury standard adequate for the rental market. The physical needs identified should be those necessary for the development to retain its original market position as an affordable development in a decent, safe and sanitary condition (recognizing any evolution of standards appropriate for such a development). The twelve-month physical needs should include those improvements required for the development to compete in the market. Where a range of options exists, the most effective options for rehabilitation should be chosen, when both capital and operating costs are taken into consideration.

6. The report must be prepared by an independent third party consultant, who must be versed in all applicable codes currently in effect in the locality in which the development is located.
7. The report shall explain how the development will meet the requirements for accessibility/VisitAbility for persons with disabilities, to the extent applicable.
8. Prepare a PCNA report, which in addition to the five major aforementioned components and at a minimum shall include the following subcomponents.
  - a) Development Summary Sheet;
  - b) Executive Summary (discussion of the physical condition of the property and any major repair/rehab items observed);
  - c) Index;
  - d) Introduction to the Report;
  - e) Building Evaluation (property identification, including location, description, and age);
  - f) Site Improvement Evaluation/Analysis (utilities, parking, paving, sidewalks, sewer and drainage, landscaping, trash enclosures/compactors and general site improvements);
  - g) Building Architectural and Structural Systems Evaluation (foundations superstructure and floors, roof structures and roofing, exterior walls and stairs, siding, downspouts, and common areas energy efficiency, tenant amenities, playgrounds and playground equipment);
  - h) Building Mechanical and Electrical Systems Evaluation (building HVAC, plumbing, electrical, elevators, fire protection/security systems, smoke detection and carbon monoxide detection systems);
  - i) Interior Dwelling Units Evaluation (interior finishes, all floors, walls, ceilings, paint, kitchens and appliances, carpet, vinyl, interior doors, shelves, cabinets, vanities, closets, interior HVAC, plumbing, bathroom fixtures, electrical fire protection systems, security systems) A minimum of 20%, but not less than five, of the units must be inspected. This shall include every unit size and configuration. The inspected units must be identified in the report;
  - j) Evaluation/Analysis of all common areas and accessory spaces;
  - k) Estimated Useful Life Analysis (computation of Repairs and Replacement Reserves);
  - l) The basis for identifying any item for repair or replacement;
  - m) Unit cost breakdowns shall be provided for multiple items (i.e., stoves, refrigerators, cabinets, bathroom fixtures, etc.);
  - n) Acknowledgments (who prepared report, when report was prepared, who received report and when report was reviewed);
  - o) Appendices (photographs, site plans, maps, etc.);
  - p) Identification of any observed hazards, flammable or explosive facilities/operations in the immediate area of the development; and
  - q) State whether the development is located in a Flood Plain.

## B. ENERGY AUDIT GUIDELINES

A diagnostic and comprehensive energy audit performed by a Building Performance Institute (BPI) Certified Multifamily Building Analyst must be conducted in accordance with the following Agency guidelines. The energy audit report must be included in the Application. Measures to reduce both development-paid and tenant-paid utilities must be evaluated. The energy audit must have been performed within **12 months** of the submission date of the Application.

The audit is a detailed examination of how the multifamily facility uses energy and other controllable utilities, quantification of the building's energy and water consumption, the cost of energy, technical analysis of the building and associated systems, and in conclusion a set of recommendations to reduce the energy costs. The energy cost reduction will be categorized by building envelope, equipment (mechanical, electrical, plumbing) and operational changes.

The guidelines below and the scope of the audit may be simplified based on the Owner's proposed scope of work for the preservation project (i.e. if the furnaces are already scheduled for replacement due to age or condition, they do not need to be evaluated in the energy audit). Therefore the scope of services required of the auditor should be coordinated with the Owner. The goal of the audit is to identify energy and water saving measures that might otherwise be overlooked during the preservation work.

The audit should include:

- Analysis of existing energy (electric, natural gas, liquid propane, fuel oil and water) consumption. A minimum of one year's bills should be evaluated. Evaluate consumption levels and patterns. Audited financial statements are not acceptable.
- Review maintenance and repair records.
- Review Record Drawings (As-built).
- Fuel usage data should be normalized with local weather data.
- Discuss building with management. The discussions should include building performance, HVAC systems, electrical, and building envelope. Occupant comfort and complaints should be included in the discussions.
- Site visit should be conducted using acceptable techniques for building type and size (i.e. small building with independent entries may utilize blower testing, large building with common entrances and hallways may utilize visual inspection and measurements to calculate leakage).
  - Sampling should include 10% of total existing units.
  - All unit types (bedroom count, HVAC system type, location in building) shall be taken into account.
  - Field verify blue prints.
  - Inventory MEP equipment.
  - Identify moisture problems.
  - Identify ventilation system.
  - Field verify fan operation.
  - Assess building airflow.
  - Evaluate building envelope.
- Energy modeling should be conducted, according to the American Society of Heating, Refrigerating and Air-conditioning Engineers (ASHRAE) Fundamentals

Chapter 31. TREAT, EA-QUIP or other multifamily energy audit software approved by the U.S. Department of Energy (DOE) must be used for energy modeling. The energy model shall be calibrated against the previous 12 months actual usage to verify the accuracy of the model. Assumptions and calculation methods should be documented.

- Economic analysis
  - Account for inflation and discount rates utilizing the Savings-to-Investment Ratio formula.
  - Cost estimates for all energy efficiency measures. Provide back-up for cost estimates (RS Means is acceptable). Provide in spreadsheet format for local verification.
  - Calculate energy dollar savings (annual savings, life cycle savings, show payback period) per recommended efficiency measure.
  - Include benefits to end use bill payers.
  - Identify non-energy related benefits.
- Mechanical Systems
  - Provide a detailed list of HVAC equipment, include age, capacities, make and model numbers.
  - Identify equipment as either common area or tenant area, and if equipment is central or individual systems within tenant area.
  - State condition of equipment.
  - Provide combustion efficiencies for combustion equipment
  - Identify distribution systems and state condition of distribution systems and components.
- Electrical Systems
  - Provide a schedule of lighting, motors, and major appliances.
  - Identify savings, consumption and dollars for retrofits, in common space and units.

## Reporting and Review

- Deliverable - Report including:
  - Executive Summary including Detailed Table of All Measures with
    - Annual Savings in kilowatt-hours, MMBTU, and gallons
    - Annual Savings in dollars
    - Life of Measure
    - Life Cycle Savings of Measure
    - Estimated Cost (RS Means is acceptable)
    - Savings-to-Investment Ratio (SIR\*) based on Estimated Cost
  - Building Description - Include the following,
    - Building Envelope
    - Mechanical Equipment and appurtenances
    - Electrical Equipment and appurtenances
    - Plumbing Equipment and appurtenances
  - All Evaluated Measures
    - Description
    - Rational
  - Analysis of Fuel and Electricity Bills
  - A copy of the auditor's current BPI certification must be included

\* Savings-to-Investment Ratio (SIR): The present value of the lifetime dollar savings divided by the cost of the installed measure (a discount rate of 3% must be used). Energy efficiency recommendations will be prioritized based on the SIR. SIRs (and payback period) must be based on the total cost of the product and installation. SIRs cannot be based on incremental costs.