



REQUEST FOR QUOTATIONS

To be used for Professional Services less than \$350,000.
Advertisement is not required

**REQUEST FOR QUOTATIONS
FOR
PROFESSIONAL
HOUSING INSPECTION SERVICES
ASSOCIATED WITH COMMUNITY
DEVELOPMENT BLOCK GRANT
ACTIVITIES DURING CALENDAR YEARS
2026 THROUGH 2030**

**CITY OF WILLIAMSPORT
OWNER-OCCUPIED SINGLE-FAMILY REHABILITATION
CITY-WIDE
LYCOMING COUNTY, PENNSYLVANIA**



Quotations Solicited by:

SEDA-COG
On Behalf of the City of Williamsport
201 Furnace Road
Lewisburg, PA 17837

Dates of Publication: JANUARY 16, 2026
Contact: Jamie Shrawder, (570)524-4491

**REQUEST FOR QUOTATIONS
OWNER-OCCUPIED SINGLE-FAMILY HOUSING REHABILITATION
CITY OF WILLIAMSPORT
LYCOMING COUNTY, PENNSYLVANIA
HOUSING INSPECTION SERVICES**

Williamsport City Council, proposes to use a recently approved Community Development Block Grant to undertake a residential housing rehabilitation program. The following narrative outlines the major responsibilities of the Housing Inspector proposers, from initial to final inspection for projects initiated with the city's annual Community Development Block Grant allocations from January 2026 through December 2030. Any housing inspection services contracts awarded during this period of performance are expected to be fulfilled through individual project completion regardless of if an individual project's timeline extends beyond December 2030. It should be recognized by all proposers that the Scope of Services included herewith might exclude some minor, incidental housing inspection and construction management responsibilities that are not currently identifiable. The Housing Inspector must provide a list of sub consultants, if applicable, for approval by City Council with their Standard Housing Inspection Estimate form submission.

Quotations shall include the attached "Standard Housing Inspection Estimate" and be submitted to:

Jamie Shrawder, Program Manager
SEDA-COG
201 Furnace Road
Lewisburg, PA 17837

All quotations shall be sealed and clearly marked on the outside, "Housing Inspection Services Quotation," and must be received by 10:00 AM, prevailing time, February 3, 2026, at which time they will be publicly opened at the SEDA-COG office.

Questions regarding this quotation should be directed to:

Jamie Shrawder, Program Manager
SEDA-COG
201 Furnace Road
Lewisburg, PA 17837
570-524-4491
jshrawder@seda-cog.org

PROJECT DESCRIPTION

The city anticipates using an estimated \$350,000 in Community Development Grant allocations during the period from January 2026 through December 2030 to undertake emergency housing rehabilitation projects. Any project initiated and funded under these CDBG allocations during this period will utilize the housing inspection services contract awarded through this RFQ. As projects are selected and funded, the firm will be expected to provide the services outlined in this request. All proposers should note that any project initiated during the contract term must be completed, even if its timeline extends beyond December 2030.

Currently there are three homes identified as eligible to receive financial assistance and in need of emergency repairs: 324 Brandon Avenue, 41 Eldred Street, and 428 Glenwood Avenue. Other properties will be added as identified. Only emergency repairs are being addressed with this funding. Eligible rehabilitation/modifications include Electrical systems, Plumbing, Heating, Structural issues, and Roofing as well as immediate needs which if not addressed will result in a health and/or safety threat to the occupants of the property, confined to the problem creating the health and safety threats.

All final plans and specifications must be submitted by the Housing Inspector for approval by the city. It is the intention of the city council to solicit individual construction bids for the three currently identified homes on or before April 3, 2026. It is understood that changes in the Project scope or nature may affect this schedule. As other properties are identified and homeowners qualified for assistance, additional rounds of bidding will be scheduled within the term of this contract.

PROGRAM QUALIFICATION

Residents/Applicant of the City of Williamsport seeking assistance through the CDBG-funded rehabilitation program must meet specific income eligibility criteria based on HUD's Section 8 Income Limits. Applicants must prove home ownership and that the property is their primary residence, supported by a deed and recent documentation of property taxes, municipal fees, utility bills, or mortgage payments. These documents help ensure the property is not at risk of tax sale, condemnation, or foreclosure. SEDA-COG and the city shall facilitate verification of the program's various qualification criteria and provide notice to proceed to the Housing Inspector for individual property assignments, upon award of this Professional Housing Inspection Services contract.

INITIAL PROPERTY INSPECTION AND COMPLIANCE

Upon receipt of notice to proceed, the Housing Inspector shall be responsible for conducting a property inspection using the most recently available DCED Housing Rehabilitation Guidebook (reference [Exhibit A](#)) and relevant city building and property maintenance codes (including the Pennsylvania Uniform Construction Code) to identify any deficiencies and necessary corrections. Current HUD Uniform Physical Condition Standards (UPCS), the National Fire Protection Association Life Safety Code, and the Manufactured Home Construction and Safety Standards shall all be evaluated as conditions warrant. The following is a non-exhaustive list of hazards to be reviewed by the Housing Inspector: Asbestos, wood-destroying insects, septic, well/water quality, mold/air quality, and mine subsidence.

Lead paint and radon testing shall be components of the inspection. The Housing Inspector shall contact the property owners to accompany the inspector during this process. All systems within the property shall be evaluated to determine if repairs or replacements are needed. Any necessary third-party inspection or

testing services shall be the contractual responsibility of the Home Inspector. All results shall be provided to city and SEDA-COG. ***Lead and Radon testing and abatement are not required under this emergency housing rehabilitation.***

Based on the inspection findings, a detailed Work Write-Up shall then be developed. A Work Write-Up shall be defined as all final drawings, plans and specifications prepared by the Home Inspector and, which describe the labor, materials, equipment, fixtures and furnishings necessary for the completion of the Project, including methods of application and standards for materials. This Work Write-Up shall also include a list of required permits, what party is responsible for obtaining them (e.g., property owner or contractor) and include before-photos of the areas to be rehabilitated. All materials used for housing rehabilitation must be of a minimum mid-grade quality. Changes in materials including roofing, gutters, windows, etc. require consultation with the HUD/DCED Historic Preservation Specialist if the building is determined to be 50 or more years old. Construction cost control shall be considered by the Housing Inspector during the Work Write Up Development Process.

Upon development of the Work Write Up, a preliminary cost estimate and a Project development and construction schedule indicating key milestones and dates of completion shall be developed. All aforementioned documents shall be submitted to the property owner, SEDA-COG and the city for approval.

Survey work required for easements/rights-of-way is not a part of this quotation. Federal Environmental Reviews, State Historic Preservation Office Review, and Archaeological Reviews are not a part of this quotation. The city has contracted with SEDA-COG to facilitate compliance with said state and federal requirements. SEDA-COG shall notify the Housing Inspector of Environmental Review related considerations necessary for inclusion in the Work Write-Up.

LEAD PAINT TESTING AND ABATEMENT

As part of the property inspection process, lead paint testing and a risk assessment must be conducted in accordance with HUD's Guidelines for the Evaluation and Control of Lead-Based Paint Hazards in Housing. If the home was built before 1978, the Housing Inspector is required to provide the property owner with the EPA pamphlet "*Protect Your Family from Lead in the Home*" and obtain a dated acknowledgment of receipt from the homeowner.

When an individual property's rehabilitation cost exceeds \$25,000, additional lead safety requirements apply. The Home Inspector shall ensure that abatement or interim controls on undisturbed exterior surfaces, the use of lead-safe work practices, and clearance testing of the work site to ensure it meets safety standards are included in the detailed Work Write Up. The Home Inspector shall provide SEDA-COG and the city with all necessary abatement records. The Home Inspector shall ensure the construction contractor is in compliance with these requirements. ***PLEASE NOTE LEAD PAINT TESTING AND ABATEMENT ARE NOT REQUIRED FOR THIS EMERGENCY HOUSING REHABILITATION.***

PREPARATION OF DOCUMENTS AND COORDINATION OF CONSTRUCTION BIDDING

The Housing Inspector shall prepare all construction contract documents, construction specifications and agreements, compliance forms, etc. The Housing Inspector shall be responsible for coordinating the bidding process, including printing, and distributing up to ten (10) sets of bid documents, soliciting a minimum of three construction bids per property, and management of any required deposits or

payments. Costs for this portion of the work shall be borne by the Housing Inspector. Insofar as federal CDBG monies are being used in the Project, forms and procedures meeting the requirements of the PA Department of Community and Economic Development Housing Rehabilitation Guidebook shall be used in the contracting documents.

SEDA-COG shall finalize the development of model bidding documents including contract documents, agreements, compliance forms, etc. for use by the Housing Inspector. Federal Labor Standards and Pennsylvania Prevailing Wage are applicable to individual property rehabilitation Projects and shall be monitored by SEDA-COG. Bid, performance, and payment bonds are not required from construction contractors. Construction contractors must be registered with the Pennsylvania Office of the Attorney General, which shall be verified by the Home Inspector.

The Housing Inspector shall mail a bid notification to local residential construction contractors informing them of a Project opportunity. This notice shall include the property location and date/time of a construction contractor mandatory property walk-through. The Housing Inspector shall conduct a walk-through at each home for which rehab bids are solicited. The walk-through shall be conducted after the specifications have been distributed, but before the bids are received and opened. The purpose of the walk-through is to ensure that all parties understand the work to be done and to answer any questions or concerns.

Within five (5) working days of the bid opening by the Housing Inspector, the Housing Inspector shall review and evaluate the bids on a per-unit basis. The Housing Inspector shall then provide the SEDA-COG with a written recommendation including a bid tabulation. SEDA-COG shall evaluate the Federal Labor Standards compliance requirements of the bids. If the Housing Inspector or SEDA-COG recommendation is for any bid other than the lowest, coordination shall occur to document justification for said recommendation. The Housing Inspector shall take necessary steps for the owner to review and make the final decision regarding contract award. The Housing Inspector shall be responsible to manage the construction contract award process, including issuance of the Notice of Award, execution of the agreements, Notice to Proceed for construction, and oversight of execution and filing of a waiver of liens with the Lycoming County Prothonotary's Office.

SITE MEETINGS

Assistance from the Housing Inspector is necessary for the property owner, SEDA-COG, and the city to fully understand the Project, and therefore, meeting attendance is of high importance. Accordingly, meetings shall be conducted during the pre-construction and construction phases of individual housing rehabilitation projects at the mutual convenience of the parties and shall be included within the various line items which are tabulated into the Total Lump Sum included on the Standard Housing Inspectors Estimate form. However, the property owner may request, and the Housing Inspector may suggest, additional meetings. Any cost associated with additional meetings shall be included on the Standard Housing Inspectors Estimate form as a cost in addition to the Total Lump Sum.

CONSTRUCTION SUPERVISION

Prior to issuance of Notice to Proceed, the Housing inspector shall conduct a pre-construction meeting with the property owner, SEDA-COG, contractor, and the city to address the extent of the work to be performed, the schedule, special conditions and any specific concerns or questions any of the parties might have. The Housing Inspector is expected to furnish customary Housing Inspection advice and

assistance necessary to enable the property owner, SEDA-COG and the city to readily understand the Project.

During construction, the Housing Inspector shall visit the site to observe progress and quality of work, to determine if work is proceeding in accordance with contract documents, to keep the parties informed of progress, to guard against defects and deficiencies, and to disapprove work not in conformance with contract documents. It may occasionally be necessary to implement a stop order during construction. These orders may be a result of improper work or work quality, an obvious need for significant change orders, or other unforeseen problems. The Housing Inspector shall have the authority to issue stop-work orders to any contractors. The Housing Inspector shall serve as the city's representative at the Project site, issuing all instructions to the contractor and reviewing any change orders. Cost control must be a consideration of all change order reviews.

The Housing Inspector will check and approve samples, schedules, shop drawings, catalogue data, materials and equipment, and other data which contractors are required to submit to ensure conformity with contract document requirements. The Housing Inspector, in accordance with accepted professional standards and practice, shall review contractors' payment requests and approve, in writing, payment to the contractors in such amounts. The Housing Inspector will also conduct, in the company of the owner and the contractor, a final inspection of the Project for conformity with the contract document.

These services, to be provided by the Housing Inspector, do not infer resident inspection services. The Housing Inspector is expected to visit the Project site during construction, at 25%, 50%, and 75% completion to conduct an inspection as well as conduct a final inspection at Project completion. The Housing Inspector shall issue written inspection reports and obtain posted inspection photos of completed work. Comprehensive design, inspection of work and compliance with specifications is of utmost importance to a successful and timely Project completion. In the event of any complaints or disputes that may arise before, during, or after construction between the construction contractor and property owner, the Housing Inspector shall be responsible to attempt resolution of the complaint or dispute. In the event of unresolved disputes, the Home Inspector shall respond to designated legal representatives, if necessary.

ADDITIONAL SERVICES OF HOUSING INSPECTOR

Where participating state and/or federal agencies require reports relating to construction, the Housing Inspector shall prepare and submit such reports and shall assist in any negotiations with these or other agencies as is necessary for final approval.

TERMS OF PAYMENT

The Housing Inspector will be required to enter into a written Professional Services Agreement with the city, which will incorporate the information contained in this Request for Quotations. The Housing Inspector will agree to a per unit lump sum fee, which shall include all costs associated with the services outlined herein. Costs sometimes separately billed as reimbursable costs shall be declared and included in the lump sum amount of this quotation. Payment shall be made to the Housing Inspector on a monthly basis.

Invoices shall be provided setting forth the percentage of work completed to date, establishing the amount due based on the percentage completed, less any previous amounts. Payment shall be expressly contingent upon receipt of funds from the Department of Community and Economic Development.

MBE/WBE GOALS

It is the public policy of the City of Williamsport, to promote the opportunity for full participation by Minority and Women's Business Enterprises ("MBE's" and "WBE's") in all projects receiving federal funds from the United States Department of Housing and Urban Development which are administered by the Pennsylvania Department of Community and Economic Development.

The city has established a Minimum Participation Level (MPL) of five percent (5%) for Minority Business Enterprises and three percent (3%) for Women Business Enterprises participation on projects with CDBG, ESG, and/or HOME funding.

SECTION 3 GOALS

24 CFR Part 135 has been updated to the New Rule, 24 CFR Part 75. The New Rule for Section 3, 24 CFR Part 75, is applicable for projects for which the total amount of federal assistance is greater than \$200,000. Section 3 does not apply to professional services; however, you are still encouraged to follow the City of Williamsport's Section 3 Action Plan for Section 3 and Targeted Section 3 Labor Hours. The new 24 CFR Part 75 rule does apply to construction contracts, and the professional service provider is expected to assist with facilitation of these efforts for compliance. Professional Service firms who hire Section 3 or Targeted Section 3 workers can count those labor hours as Section 3, or Targeted Section 3, but should be excluded from the total number of labor hours. Benchmarks are only qualified as being met if Section 3 Laborer Hours = 25%, *and* Targeted Section 3 Labor Hours = 5% of the total number of labor hours.

QUOTATION SUBMISSION AND EVALUATION

Three (3) copies of the quotation must be submitted to:

Jamie Shrawder, Program Manager
SEDA-COG
201 Furnace Road
Lewisburg, PA 17837

Quotations must be received no later than February 3, 2026. **Quotations that are faxed or e-mailed to SEDA-COG cannot be accepted.**

Quotations will be reviewed and evaluated by the City and SEDA-COG. The evaluation will include the following areas in order of relative importance:

- Membership in a National Home Inspection Association.
- Adequacy of quotation in the terms of addressing the needs that are set forth in the Request for Quotations.
- Relevant experience and past performance.
- Adequacy of resources/record of completing projects on time.
- Cost.
- Proposer's commitment to the obligations of the City's Minority Owned Business Enterprises and Women Owned Business Enterprises Action Plan.

Note: Cost is only one of several criteria to be considered in evaluating quotations. Accordingly, SEDA-COG will not publish quotation cost summaries. Proposers are, however, invited to attend the opening.

REQUIRED INFORMATION

Each proposer shall provide all information herein required. Further, no quotation will be considered unless the attached Standard Housing Inspection Estimate Form is completed in its entirety. Proposers are encouraged to provide any professional credentials relevant to experience and performance capabilities.

Each proposer shall provide a minimum of two references where similar Housing Inspection services have been performed during the past three years. These projects should be similar in design and scope. If the proposer is an MBE/WBE business concern, a certification form shall be submitted with the bid attesting to the firm's status as such. Firms may be requested to sit for interviews and/or negotiation of contract terms and fees prior to contract award.

If any part of the project is subcontracted, requires purchases for services, or requires hiring of additional employees, the proposers must submit documentary evidence of MBE/WBE business concerns who have been contacted and/or to whom commitments have been made. If no solicitation was made to MBE/WBE's business concerns or residents, please indicate the reason(s). If there is no need for additional employees or trainees, or no need to contract for work, then the MBE/WBE requirements are not triggered.

The city reserves the right to accept or reject any and all quotations or to waive any irregularities.

Professional Liability Insurance is required for this Project. Please indicate the level of coverage provided.

STANDARD HOUSING INSPECTION ESTIMATE

FIRM NAME: _____

ADDRESS: _____

TELEPHONE: _____

REPRESENTATIVE: _____

REPRESENTATIVE E-MAIL: _____

I. INITIAL PROPERTY INSPECTION AND COMPLIANCE \$ _____ per unit

II. LEAD PAINT TESTING AND ABATEMENT ----- \$ __NA_ per unit

III. PREPARATION OF DOCUMENTS AND
COORDINATION OF CONSTRUCTION BIDDING \$ _____ per unit

IV. CONSTRUCTION SUPERVISION \$ _____ per unit

V. TOTAL LUMP SUM \$ _____ per unit

Additional Meetings:

Lump sum cost for additional meetings
if requested by a property owner \$ _____

I, _____, am an authorized representative of the above-
indicated firm, have reviewed and understand the _____ Request for Quotations,
and I/we am/are prepared to provide the required services for the above costs.

ATTACH A MINIMUM OF TWO (2) PROJECT REFERENCES, SIMILAR IN DESIGN AND SCOPE.
ATTACH LIMITS OF COVERAGE FOR PROFESSIONAL LIABILITY INSURANCE.

**MBE/WBE CONTRACT SOLICITATION AND COMMITMENT STATEMENT
TO BE SUBMITTED WITH THE BID**

Goals of **5%** for minority business enterprise and **3%** for women business enterprise participation have been established.

Name of Bidder:	Project Name: Owner-Occupied Single-Family Rehabilitation
Address:	Bid Opening Date: February 3, 2026
Email Address:	
Telephone Number:	Contact Person:

List those minority/women owned businesses from which you solicited quotes and/or received quotes in regard to this invitation for bid.

Company Name & Telephone Number	MBE* (enter code from below)	WBE (X)	Type of Construction, Equipment, Services, and/or Supplies to be provided to the Project	Total Dollar Amount of Quote Received (Please mark NR If no response was received)	Total Dollar Amount Awarded (If not awarded indicate reason)
Prepared By:			Title:		

*Ethnic Code: A- Asian-Pacific Americans; B-African Americans; H-Hispanic Americans; N- Native Americans

MINORITY AND WOMEN BUSINESS ENTERPRISE BIDDER CERTIFICATION

The submittals of each bidder are subject to review to determine whether the bidder has discriminated in the selection of manufacturers, subcontractors and suppliers. If a bidder has met the goals for MBE/WBE participation, the bidder will be presumed not to have discriminated in their selections.

Where the goals are not met, the below statements, if accurate, shall be certified by the bidder:

1. The limited number or no commitment to MBEs/WBEs was not motivated by consideration of race or gender.
2. MBEs/WBEs were not treated less favorably than other businesses in the contract solicitation and commitment process.
3. Solicitation and commitment decisions were not based upon policies which disparately affect MBEs/WBEs.

By signing below, I certify that the above statements are true and accurate.

Company Name

Signature

Date

EXHIBIT A

(ATTACH MOST RECENT DCED HOUSING REHABILITATION GUIDEBOOK)

The 2025 DCED Housing Rehabilitation Guidebook is located at the link below:

https://dced.pa.gov/download/housing-rehabilitation-guidebook/?ind=1761058571305&filename=HousingRehabilitation_Guidebook_2025.pdf&wpdmdl=87103&refresh=69272692a3e3e1764173458



Pennsylvania
Department of Community
& Economic Development

Housing Rehabilitation Guidebook

July 2025



Commonwealth of Pennsylvania
Josh Shapiro, Governor

PA Department of Community & Economic Development
dced.pa.gov



Table of Contents

Introduction	1	Make Final Inspection and Payment	18
Administration Standards	2	Obtain Work Completion Warranty	18
Design the Rehab Program	2	Complaint Resolution Procedures	18
Establish Recordkeeping System	3	Rehabilitation Standards	19
Establish Minimum Property Standards	3	Applicable Codes and Regulations	19
Establish Contractor Qualification Criteria	4	Materials	19
Develop a Pool of Contractors	4	Inspections	19
Develop Income Eligibility Criteria	5	Permit Requirements and Exemptions	20
Develop a Policy Regarding Public Documents	5	Repair/Replacement Standards	21
Follow Procedures Designed to Protect Program Integrity	5	Walkthrough/Homeowner Instructions	34
Publicize the Rehab Program	6	Emergency Rehabilitation	35
Take the Application	6	Manufactured Housing, Including Mobile Homes, Habitability Standards and Installation Guide	36
Verify Ownership	7	Appendix	
Verify Income	7	Rehabilitation Standards Inspection Form	
Verify Property Taxes / Municipal Fees	8	Job File Index	
Determine Income Eligibility	9	Environmental Review Housing Rehab	
Inspect Property and Develop Preliminary Cost Estimate	9	State Historic Preservation Office (SHPO)	
Determine Estimated 95% Post Rehabilitation Value (HOME Funded Projects Only)	9	Review Process	
Determine Max Per Unit Subsidy (HOME Funded Projects Only)	10	Individual Property Information Form	
Comply with Lead Based Paint Requirements	10	Contractor's Handbook	
Consult with State Historic Preservation Office (SHPO)	11	Rehabilitation Program Client Manual	
Determine Flood Plain Management Requirements	11	Certification of Cost Reasonableness of the Bid/Proposal	
Verify Matching Share	12	Non-Collusion Affidavit	
Broadband Infrastructure	12	HUD CPD Green Building Retrofit Checklist	
Write Specifications	13	Notice to Proceed	
Comply with Federal Labor Standards	13	Contractor General Warranty	
Comply with PA State Prevailing Wage	13		
Have Owner Approve Specifications	14		
Have Owner Select Contractor(s) to Bid on the Work	14		
Send Bidding Documents to Selected Contractors	14		
Hold Bid Opening	14		
Review Bid(s)	15		
Notify Bidder(s)	15		
Have the Contractor/Owner Execute the Construction Contract	15		
Contractor Execute and File a Waiver of Liens	15		
Finalize Matching Share	16		
Hold Grant/Loan Closing	16		
Issue the Proceed Order and Hold a Pre-rehab Conference	17		
Make Progress Inspections and Payments	17		
Issue Change Orders	17		

Introduction

The mission of providing safe and affordable housing continues to be a priority for many local governmental entities throughout Pennsylvania, as well as the Department of Community and Economic Development (DCED). Taking into consideration that Pennsylvania has one of the oldest housing stocks in the nation (4th only to New York, Massachusetts and the District of Columbia respectively), with some of the most diverse demographics, the challenges faced by those developing and administering programs to address these housing needs becomes seemingly more insurmountable.

Elements such as funding limits, expanded or enhanced program requirements, increases in material costs and the requirements of complying with additional labor standards only exacerbate these efforts. In addition, we are continually made aware of the special needs of our physically or mentally challenged, homeless, elderly and low-income individuals and the demands on all levels of government to react, requiring more resourceful and creative solutions.

To ensure that existing housing throughout Pennsylvania is structurally sound and provides the elements needed to make a home habitable by today's standards, rehabilitation of current owner occupied or tenant-occupied housing remains instrumental in addressing the needs of households with low incomes or those with other unique requirements.

The recommendations which follow within this document were prepared to serve as a guideline for local housing rehabilitation programs that receive funding through state-administered Community Development Block Grant (CDBG) and/or HOME Program funding provided by HUD. In the final preparation of these standards, consideration was given not only to the advancement of construction materials that may provide overall cost savings in the long term serviceability of the project, but also listing components and equipment that is applicable, cost effective and readily available in Pennsylvania and the northeast region of the country.

More importantly, the information contained herein would not have been possible without the valued input, comments and suggestions provided by grantees and program administrators throughout the commonwealth. Your knowledge and expertise remains instrumental in the success of any established rehabilitation program, and to that extent the Department would like to thank you for your assistance.

Administration Standards

The following administrative standards provide a general review of the rehabilitation process and establish a foundation upon which grantees may build their own programs designed to meet local needs. For each step we have identified the objective of that step, requirements which must be met by all CDBG and / or HOME grantees and will serve as the basis for monitoring. In addition, we have provided suggestions/comments for local consideration.

Design the Rehab Program

OBJECTIVE

To design a rehab program that achieves local goals, maximizes the impact of limited funds, targets the program to the neediest and makes the program easy to administer.

REQUIREMENTS

All grantees must develop and maintain a written program guide which, at a minimum, describes the types and amounts of assistance available.

SUGGESTIONS/COMMENTS

When designing the rehab program, keep simplicity in mind. Generally, the more complex the design of the program, the more difficult it is to administer. In addition, low and moderate income residents may be reluctant to participate in rehab programs they don't understand. The program design should not create an undue burden or impediment to families seeking assistance.

In designing a good rehab program, the grantee should determine the needs of identifiable segments of its population, inventory all of the types of assistance that are available (grants, loans, loan subsidies, etc.) and match specific types of assistance with particular segments of the population.

As example, the grantee should determine whether very low income (defined as 50% or less of county median income) and low-income (50%-80% of county median income) persons can afford to borrow any amount of funds for rehabilitation. If the answer is "no", then the grantee should design a grant component for very low and low income households.

The majority of HOME-funded rehabilitation programs are designed as conditional grants. DCED strongly encourages implementing a conditional grant design for existing owner-occupied housing rehabilitation projects. These conditional grants are similar to loans, with the stipulation that if the conditions of the grant are not met, the owner is required to repay all or part of the grant. Most conditional grants take the form of a requirement that the owner not sell his/her rehabilitated property within a specific period of time. For every year that the owner maintains ownership of the rehabilitated property, a pro-rated percentage of the grant is forgiven. This approach is less cumbersome than a direct loan. However, in order to be legally effective, a conditional grant requires that some type of agreement between the grantee and the owner be developed, executed and recorded. The grantee is responsible to ensure the recorded agreement is removed after the specified period of time has been satisfied.

Grantees have also designed rehab programs that provide at least partial grant assistance to low and moderate income persons. The grant typically is based upon a percentage of the total rehab cost. The low and moderate income applicant is then required to provide the remaining cost of rehab, either with personal funds and/or through some type of financing.

Some communities prefer not to administer grants-only programs, so loans or conditional grants funded directly with CDBG and/or HOME funds are provided. The grantee then uses loan repayments for additional rehab. Before the grantee adopts this approach, he/she should be aware of the additional administrative time required to undertake a direct loan component (taking and verifying credit histories, making detailed income verifications, undertaking title and lien searches, doing property appraisals, preparing separate loan agreements, recording mortgages, monitoring and collecting loan repayments, etc.) Grantees may elect to subsidize interest

rates on bank loans, effectively reducing the monthly payment and providing greater affordability for low and moderate income homeowners. Rehab assistance provided as a HOME-funded amortizing loan requires an underwriting analysis and compliance with HUD HOME regulation 24 CFR 92.250(a)(3). Grantees should review DCED's Program Income policy to understand the restrictions for local use of funds received from a loan based HOME or CDBG Program.

If the grantee's rehab program is not thoughtfully designed to meet the needs of its low and moderate income residents, the program may not draw sufficient participation to be successful. If the grantee spends an inordinate amount of staff time trying to sell and administer the rehab program, odds are that the program is poorly designed. Although not required, Grantees may want to review the HUD publication for A Healthy HOME in designing their rehabilitation program.

Establish Recordkeeping System

OBJECTIVE

To ensure documentation of program guidelines, performance and compliance.

REQUIREMENTS

Recipients of CDBG or HOME funds must establish and maintain a record keeping system documenting compliance to federal program regulations. The recordkeeping systems must cover all areas of the CDBG or HOME program administration as well as project records. It is the grantee's responsibility to keep records in a central location, which is accessible to the public. DCED has developed a recordkeeping system published on the department website. Grantees are encouraged to adopt this system.

Establish Minimum Property Standards

OBJECTIVE

To ensure that when the rehabilitation is completed, the property meets an acceptable standard and will remain in a safe, sanitary and decent condition for a reasonable period of time.

REQUIREMENTS

April 9, 2004 marked the effective date of Act 45 (of 1999) the Pennsylvania Uniform Construction Code (UCC), which established construction standards for the entire commonwealth. The UCC applies to the construction, alteration, repair, movement, equipment, removal, demolition, maintenance, occupancy or change of occupancy of every building or structure which occurred or occurs on or after April 9, 2004 and all existing structures that may have not been legally occupied by that date. Under the UCC, alterations to residential building which *do not make structural changes, or changes to means of egress*, except as might be required by ordinances in effect pursuant to section 303(b)(1) or adopted pursuant to section 503, may not require a construction permit.

Every municipality which makes the decision to administer the UCC within their municipality, either utilizing their own employees or through agreement or contract with individuals or entities (or a combination thereof) who have obtained the necessary certifications, must have adopted the "PA Uniform Construction Code" (UCC) by ordinance. The UCC incorporates version(s) of the ICC code series which have been most recently amended by the PA Department of Labor and Industry. Municipalities also may want to consider the adoption of the International Property Maintenance Code (IPMC) which is not included as part of the UCC. The adoption of the Property Maintenance Code may provide additional enforcement measures primarily drafted to address rehab and maintenance issues.

Although the UCC and additional adoption of the IPMC provide comprehensive compliance measures, the standards contained in the guidebook may appear more general, but do provide benchmarks for the administration of the CDBG and HOME programs.

SUGGESTIONS/COMMENTS

Grantees that may have enacted, or provide services in a municipality which has adopted the IPMC or other property maintenance and/or rehabilitation provisions, should verify that the compliance measures in the current codes are equal to or exceed requirements set forth in the *DCED Housing Rehabilitation Guidebook*. Grantees are advised to check with DCED if questions arise regarding adoption and administration of the Department's latest guidebook.

As always, it is encouraged to secure advice and recommendations from local solicitors to verify that any version of codes, or combination of codes and standards administered by the grantee, provides the necessary criteria to insure full compliance with those published by DCED. In addition to property standards, grantees may also have written technical specifications which define repair methods and materials to be used by grantee's when administering the various programs.

Establish Contractor Qualification Criteria

OBJECTIVE

To ensure that contractors working in the rehab program are able to complete the assigned work in a professional and timely manner.

REQUIREMENTS

Grantees must develop and maintain written procedures which specify how contractors are to be selected. Home improvement contractors must be registered with the Pennsylvania Office of Attorney General under the Home Improvement Consumer Protection Act. More information can be found at www.attorneygeneral.gov

SUGGESTIONS/COMMENTS

The quality and timeliness of past work should be criteria for determining contractor qualifications. The grantee may want to ask new contractors for a list of references.

Grantees should require contractors to submit evidence of adequate comprehensive general liability insurance, property damage coverage and workmen's compensation, when applicable. Grantees should review minimum coverage limits with their local solicitor.

The grantee may want to restrict the number of properties any one contractor may have under contract at one time. A contractor who is working on several jobs at the same time may slow the overall program.

Some grantees may want contractors to be bonded. However, this requirement may reduce the number of contractors available to the grantee's program because small contractors may not be able to afford bonding.

Debarment searches must be performed for every contractor. Debarment searches must be performed using federal and state databases.

Develop a Pool of Contractors

OBJECTIVE

To ensure that the grantee has a sufficient number of reliable contractors to carry out the work in a timely and cost-effective manner.

REQUIREMENTS - RENOVATION, REPAIR AND PAINTING (RRP)

A contractor or employee of a contractor working on any rehabilitation project must have lead safe work practice certification. For any lead-based paint mitigation or abatement, contractors and any employee of the contractor working on lead base paint mitigation or abatement, must have certification in lead-safe work practices or be a certified lead abatement contractor, depending on the work being performed. The contractor and/or employee certificates of completion must be maintained in the grantee's files.

SUGGESTIONS/COMMENTS

When starting a new rehab program, the grantee might want to invite area contractors to a meeting to explain the program, rehab standards, contractor qualifications, contracting, payments, etc.

The grantee should develop a list of contractors for property owners to utilize when selecting contractors to bid on their rehabilitation project. This list may assist an applicant who is unfamiliar with area contractors in making a timely selection.

In no way should the contractors list be construed as a list of bidders being recommended, or others excluded, or that the list provides some guarantee of the quality of work performed. Grantees should also maintain a list of contractors whose prior work has been unsatisfactory.

The grantee/homeowner should deal with only one contractor on each job, letting that general contractor sub-contract as necessary with other trades needed to complete the job. This approach saves considerable administrative time by requiring the development of only one set of specifications and bidding and contracting documents, reducing the number and complexity of payments and supporting documentation.

Grantees should have the owner select a minimum of three contractors to submit bids for the job in an attempt to maintain a level of competitive pricing.

Grantees should refer to the locally adopted MBE/WBE plan when developing a pool of contractors.

Develop Income Eligibility Criteria

OBJECTIVE

To ensure that if the grantee's rehab program is designed to meet the LMI National Objective for housing activities, income eligibility criteria are developed to determine which households qualify as low and moderate income.

REQUIREMENTS

If the grantee's rehab program is designed to meet the LMI National Objective for housing activities, and the structure contains only one dwelling unit, that unit must be occupied by a low and moderate income household. For CDBG funded rehab If the structure contains two dwelling units, at least one must be occupied by a low and moderate income household. For CDBG if the structure contains more than two dwelling units, at least 51% of the units must be occupied by low and moderate income households. For HOME funded rehab all units assisted with HOME must be low to moderate income. For rental housing occupied by low and moderate income households rents must be at affordable rents. CDBG (24 CFR 570.483(b)(3)) HOME (24 CFR 92.252).

Grantees should reference the DCED *Income Eligibility Technical Assistance Manual* as the method for determining income eligibility.

Develop a Policy Regarding Public Documents

OBJECTIVE

To comply with applicable statutes regarding access to public information, while at the same time protecting the rights of individuals under applicable privacy laws.

REQUIREMENTS

Grantees must provide citizens with reasonable access to records regarding the past use of CDBG and HOME funds, consistent with applicable Federal, State and local laws regarding privacy and obligations of confidentiality. (24 CFR 570.508) and (24 CFR 92.508(d))

SUGGESTIONS/COMMENTS

The grantee should determine at the outset which documents are subject to public inspection and which documents (including tax returns, etc.) may be protected by privacy laws. The grantee's solicitor should be consulted in making such determinations.

Follow Procedures Designed to Protect Program Integrity

OBJECTIVE

To protect the rehab program from fraudulent abuse.

REQUIREMENTS

Grantees must establish safeguards to prohibit employees, agents, consultants, officers or elected or appointed officials of the grantee from using positions for a purpose that is, or gives the appearance of being, motivated by a desire for private gain. (24 CFR. 570.611)

CONFLICTS PROHIBITED - 24 CFR 570.611 (b) AND 24 CFR 92.356 (b)

Except for the use of CDBG and HOME funds to pay salaries and other related administrative or personnel costs the general rule is that no persons (as described below) who exercise or have exercised any functions under this part or who are in a position to participate in a decision making process or gain inside information with regard to

such activities, may obtain a personal or financial interest or benefit from a CDDG or HOME assisted activity; or have an interest in any contract, subcontract or agreement with respect thereto, or the proceeds thereunder, either for themselves or those with whom they have family or business ties during their tenure or for one year thereafter.

PERSONS COVERED - 24 CFR 570.611 (c) AND 24 CFR 92.356 (c)

Provisions apply to any person who is an employee, agent, consultant, officer, elected official or appointed official of the grantee, or of any designated public agencies, or sub-recipients which are receiving CDBG or HOME funds.

SUGGESTIONS/COMMENTS

Grantees must develop and implement administrative guidelines to identify and determine potential conflict of interest.

When grantees identify potential conflict of interest situations, they must request DCED consideration for an exception. Such requests must be submitted in writing and include: (1) documentation showing that public disclosure of the potential conflict was made; and, (2) include an opinion from the grantee's attorney stating that granting an exception would not violate any state or local law. DCED evaluates granting an exception in light of factors spelled out in 570.611(d) and 92.356 (d), and with the advice and consent of the Department's Legal staff.

Publicize the Rehab Program

OBJECTIVE

To ensure that those people for whom the rehab program is designed are aware of the assistance that is available.

REQUIREMENTS

Grantees should follow the locally adopted Fair Housing and Equal Opportunity annual plan as needed in publishing a HOME/CDBG funded rehab program.

SUGGESTIONS/COMMENTS

At the beginning of the rehab program, the grantee should hold a meeting to explain the program to interested residents. The grantee should also consider:

- periodic press releases to show the progress of the program and encourage more participation;
- involving social service agencies that may be able to refer applicants; and
- distributing guidelines to interested applicants and organizations.

Take the Application

OBJECTIVE

To ensure the grantee has the information necessary to properly process the case.

REQUIREMENTS

For each activity carried out for the purpose of providing or improving housing, determined to benefit low and moderate income persons, the grantee must document the total cost of the activity, including both CDBG and HOME and non-CDBG and non-HOME funds, and the size and income of the household. In addition, for rental housing only, the grantee must:

- Maintain a copy of a written agreement with each landlord or developer receiving CDBG or HOME assistance indicating the total number of dwelling units in each multifamily structure assisted and the number of those units which will be occupied by low and moderate income households after assistance;
- Document the rent charged (or to be charged) after assistance for each dwelling unit in each structure assisted; and
- Provide such information as necessary to show affordability of units occupied (or to be occupied) by low and moderate income households pursuant to criteria established and made public by the grantee. 24 CFR 570.506(b) (4) and 24 CFR 92.252

For equal opportunity reporting purposes, the grantee must document the extent to which each racial and ethnic group, single-headed households (by gender of household head), and handicapped persons have applied for, participated in, or benefited from, any program or activity funded in whole or in part with CDBG or HOME funds. 24 CFR 570.506(g) (2) and 24 CFR 92.508(a) (7) (i)

SUGGESTIONS/COMMENTS

Prior to taking the application the grantee should provide each applicant with a copy of its Rehab Program and Guidelines. This could save time during application intake sessions and help filter out those potential applicants who are not income-eligible.

The grantee should ask the applicant to bring to the application intake session all the information needed to determine eligibility (copy of deed, financial information, etc.). This should speed up the determination of eligibility.

The grantee should use an application form that provides sufficient household data. The application form should be as clear and concise as possible and should not ask for information that is not needed to process the application. The application form should contain appropriate certifications regarding ownership, income, etc., and contain a statement of Title 18 penalties for making false statements. The grantee may also want to include in the application form, an additional statement that if the applicant knowingly and willfully makes any false statements in the application or other supporting documentation, the grantee may require the applicant to reimburse the grantee the full amount of any rehab assistance provided. The applicant must sign and date the application form.

Verify Ownership

OBJECTIVE

To ensure that the applicant is the current owner of the property to be rehabilitated and that the property is the principal resident of the applicant.

REQUIREMENTS

The grantee must verify that the applicant is the owner and occupant of the property to be rehabilitated. Ownership verification must include but not limited to a title search at the Recorder of Deeds Office to verify that the applicant is the current owner of the property to be rehabilitated.

SUGGESTIONS/COMMENTS

The grantee should have the applicant provide: a written certification, under penalty, of current ownership of the property and proof of ownership, such as a copy of his current deed, a will, etc.

If the grantee is administering a direct loan program, the grantee should also conduct a certified title search of the property to verify ownership.

Verify Income

OBJECTIVE

To ensure that the household of the assisted dwelling meets the HOME income limits.

REQUIREMENTS

The grantee must seek as much verification of information as it deems necessary to strike a reasonable balance between making rehab more efficient and timelier, and providing assurance of program integrity. The grantee must use the DCED *Income Eligibility Technical Assistance Manual* for income verification. The manual should also be used to determine household membership.

Income must be projected over the 12 months following the date of application intake. It must be remembered that projected income is always an "estimate", as unforeseeable changes may occur at any time.

This estimated projected income can be verified by evidence provided by the occupant. In order to make the verification process as efficient and timely as possible, it is suggested that the grantee attempt to complete its verification process using as much material supplied by the occupant as it deems necessary before going to third-party sources.

The grantee must require the occupant to provide income documentation for all household members consisting of at least two months of source documents evidencing annual income (ie: pay roll stubs, wage statements, interest statement, unemployment compensation.) A copy of the latest signed Federal or State income tax return, W-2 Wage and Tax Statement, and/or any nontaxable benefit check or statement of benefits is required. Some individuals are not required to file a federal income tax return due to the limited amount of income received. In these cases, the grantee must verify all sources of income from benefit statements, third party verification or copies of the benefit checks.

The grantee must then ask the occupant whether his household income has changed or will change since the filing of the latest verification documents. If the occupant indicates income has changed, the grantee must inquire about the details of those changes, and include those changes in the estimated projection of household income. If the grantee believes that the changes are significant, it must verify those changes with additional documentation (recent pay stubs, etc.) from the occupant.

Often it is uncertain if a current income source will continue for a full year (e.g. unemployment compensation). None the less, if the current source has some reasonable period of duration and no other source can be identified as a likely substitute, annualizing the current source is an acceptable means of estimating projected income.

If the grantee has reason to believe that the occupant's documentation of income may be incomplete, the grantee should do more extensive third-party verification, including contacts with employers, banks, etc.

The grantee must require the occupant to provide a written certification that the household income is as stated. The certification must indicate that all income information provided by the occupant is subject to verification by the grantee and DCED. The certification must also include the Federal Title 18 language, as well as language that would require the occupant to reimburse the grantee the full amount of any rehab assistance that was advanced if it is later found that any information provided by the occupant was materially misstated. It must be remembered that all information regarding income comes from the occupant initially, thus leaving open the possibility of intentional or unintentional omission of income which should be included in the calculation of household income. The occupant's certification, made with the knowledge that verification may take place and fraud will be prosecuted, is basic to the verification process.

Where information on income by family size is required, the grantee may substitute evidence establishing that the person assisted qualifies under another program having income qualification criteria at least as restrictive as that used in the definition of "low and moderate income person". The grantee may substitute a notice that the assisted person is a referral from a state, county or local employment agency or other entity that agrees to refer individuals it determines to be low and moderate income persons based on DCED's criteria and agrees to maintain documentation supporting these determinations.

The above substitution does not apply to HOME-funded owner-occupied housing rehabilitation assistance.

Once an applicant is determined to be income eligible for a rehab grant, the income certification is valid for a six (6) month period. If the applicant does not enter into a signed construction contract with a contractor for rehabilitation assistance within 6 months of their eligibility determination, the applicant's income must be re-certified by the grantee.

SUGGESTIONS/COMMENTS

The grantee must verify all forms of income using source documentation - (employer, bank, etc.). The grantee must administer the program according to the guidelines in the *DCED Income Eligibility Technical Assistance Manual*.

Verify Property Taxes / Municipal Fees

OBJECTIVE

Some grantees verify the payment of property taxes to ensure that the property is not lost at tax sale during rehabilitation. Other grantees verify the payment of property taxes merely as a means to promote compliance with local tax laws.

REQUIREMENTS

None

SUGGESTIONS/COMMENTS

The grantee should have the applicant provide copies of the latest property tax receipts and municipal bills. Some grantees obtain certified tax searches at the county courthouse. However, if the objective of such a tax search is to insure against an eminent loss of the property, a tax search may be false security since the property could be lost for any number of reasons including non-payment of a mortgage, a fact which would not be disclosed through a tax search. Grantees often use the mailing address on tax bills for confirmation of an occupancy requirement.

Determine Income Eligibility

OBJECTIVE

To verify that each applicant for rehab meets the income eligibility requirements of the program.

REQUIREMENTS

For each activity determined to benefit low and moderate income persons, the grantee must maintain records indicating the applied income limits and record of when the benefit was determined, per 24 CFR 570.506(b) (1) and 24 CFR 92.203

SUGGESTIONS/COMMENTS

The grantee must make a written determination of income eligibility for each dwelling unit to be rehabilitated. That determination should include the applicable income limit for the applicant's household and a summary of the household income. For HOME-funded rehabilitation activity, the HUD published annual HOME Program Income limit in effect at the determination date must be used to determine eligibility. The determination should be signed and dated by the local staff. Grantees administering CDBG or HOME assisted housing programs are encouraged to use the HUD CPD Income Eligibility Calculator to determine applicant eligibility. The calculator can be found on the HUDEXCHANGE.INFO website. The grantee must follow the income eligibility guidelines in DCED's *Income Eligibility Technical Assistance Manual*. HOME funded income determination must include a determination of imputed asset.

Inspect Property and Develop Preliminary Cost Estimate

OBJECTIVE

To determine the extent of work required and develop preliminary cost estimates of repairs needed to bring the property into compliance.

REQUIREMENTS

Using the adopted rehab and applicable building or property maintenance codes, the grantee must facilitate an inspection of the property and obtain a report identifying deficiencies and corrections that may be required for compliance. A preliminary estimate of the required work and materials must then be developed to provide a basis for determining the reasonableness of contractor bids. (If the grantee is using the streamlining approach, the timing of this requirement will vary.)

SUGGESTIONS/COMMENTS

The rehab inspector should encourage the owner to accompany him on the inspection. The rehab inspector should analyze all systems to determine if repair, rather than replacement, will bring those systems up to standard. For example, furnaces can often be retrofitted to provide efficient and energy saving operation cheaper than they can be replaced. In many cases, old windows can be repaired, weather stripped and storm windows added, cheaper than installing replacement windows. Labor costs should be analyzed in making repair-replacement decisions.

Determine Estimated 95% Post Rehabilitation Value (HOME Funded Projects Only)

OBJECTIVE

To ensure HOME funding is expended only for modest housing.

REQUIREMENTS

Prior to expending HOME Funds for housing rehabilitation, grantees must determine that the estimated post-rehab value of a property will not exceed the definition of "modest housing" established by HUD. HUD's determination of "modest housing" is established by the annual publication of HOME Homeownership Value Limits (95% limits). If the estimated post-rehab value exceeds the HUD limit, the property is not eligible for rehabilitation. DCED recommends use of a tax-based methodology using the PA Department of Revenue's Common Level Ratio. Additional information for this determination method can be obtained from the DCED HOME Program staff.

Determine Max Per Unit Subsidy (HOME Funded Projects Only)

OBJECTIVE

To ensure HOME funds expended for housing rehabilitation does not exceed the maximum funding limit established by HUD.

REQUIREMENTS

Prior to expending HOME Funds for housing rehabilitation, grantees must determine that the amount of assistance to be provided will not exceed the maximum per unit HOME subsidy limit established by HUD. On an annual basis, HUD publishes the Maximum Per-Unit Subsidy Amounts for the HOME Program identifying the maximum threshold for HOME assistance for a unit. If the estimated rehabilitation costs exceed the HUD maximum limit, the property is not eligible for rehabilitation.

Comply with Lead Based Paint Requirements

OBJECTIVE

To comply with the regulations controlling lead hazards in housing receiving federal assistance per 24 CFR Part 35 Subpart J.

The regulations implement sections 1012 and 1013 of the Residential Lead-Based Paint Hazard Reduction Act of 1992, Title X of the Housing and Community Development Act of 1992. The Act applies to all homes constructed prior to 1978.

REQUIREMENTS

For the CDBG and HOME Program rehab programs, all contracts entered into after January 10, 2002 must comply with the Lead Based Paint Regulations dated September 15, 1999 for housing rehabilitation. These regulations include the requirement that all work performed on lead-containing surfaces must conform to lead-safe practices, and be completed by workers who are either supervised by an EPA-certified abatement supervisor, or workers trained in lead-safe work practices. If abatement options are specified in the work write-up, then the contractor must hire an EPA-certified and state-licensed abatement contractor and submit proof of the current state license.

Only those HOME properties that had a binding commitment for funds prior to the January 10, 2002 deadline were exempt from complying with the lead base paint requirements.

The following requirements apply to federally funded rehabilitation:

Rehab where the costs range from \$1,000 to \$4,999

- provisions of the Protect Your Family From Lead in Your Home Pamphlet found at www.epa.gov/lead
- paint testing
- repair surfaces disturbed during rehabilitation
- use lead safe work practices
- clearance of the work site

Rehab where the costs range from \$5,000 to \$24,999

- provisions of the Protect Your Family From Lead in Your Home Pamphlet found at www.epa.gov/lead
- paint testing and risk assessment
- interim controls
- use lead safe work practices
- clearance of the unit

Rehab where the work exceeds \$25,000

- provisions of the Protect Your Family From Lead in Your Home Pamphlet found at www.epa.gov/lead
- paint testing and risk assessment
- abatement (interim controls on exterior surfaces not disturbed by rehab)
- use lead safe work practices
- clearance of the unit

SUGGESTIONS/COMMENTS

Grantees should provide a copy of the notice — which is available on the EPA website at www.epa.gov/lead — to owners and tenants of properties that were constructed prior to 1978 and will be rehabilitated. The grantee should keep a receipt acknowledging the property owner received the pamphlet. The receipt should identify the pamphlet and the printing date. The owner or tenant should keep a copy of the Notice and the grantee should include the signed and dated receipt for the Notice in the applicable case file.

Consult with State Historic Preservation Office (SHPO)

OBJECTIVE

To ensure that historic properties are protected in accordance with the National Historic Preservation Act of 1966 (16 U.S.C. 469)

REQUIREMENTS

Consultation with SHPO is required for housing rehabilitation.

SUGGESTIONS/COMMENTS

The grantee may want to have the rehab inspector take the necessary photographs of the property and the streetscape during the initial inspection. In any event the required photographs should be submitted to the SHPO as early in the rehab process as possible in order to give the SHPO sufficient time to respond prior to starting the rehab job.

Determine Flood Plain Management Requirements

OBJECTIVE

To comply with the management requirements of the Federal Flood Disaster Protection Act of 1973 (42 U.S.C.) and the Pennsylvania Flood Plain Management Act (32 P.S. 679.101)

REQUIREMENTS

A flood-prone community is required by the Pennsylvania Flood Plain Management Act to gain eligibility to participate in the National Flood Insurance Program (16 Pa. Code 38.3(a).

A flood-prone community is also required by the Pennsylvania Flood Plain Management Act to adopt flood plain management regulations which, at a minimum, comply with requirements of the National Flood Insurance Program and the Pennsylvania Flood Plain Management Act (16 Pa. Code 38.4 (a)

These flood plain management requirements compel flood-prone communities to adopt local ordinances requiring that all new construction and "substantial improvements" of residential structures within identified flood plains be flood-proofed or elevated above the base flood level, depending upon the level of flood plain mapping available to the community. (44 CFR 60.3)

The term "substantial improvements" is defined as any repair, reconstruction, or improvement of a structure, the cost of which equals or exceeds 50% of the market value of the structure before the improvement or repair is started. (16 Pa. Code 38.1)

HUD regulations at 24 CFR 570.605 and the Flood Disaster Protection Act of 1973 provide as follows:

- CDBG funds shall not be expended for acquisition or construction purposes in an area that has been identified by the Federal Emergency Management Agency (FEMA) as having special flood hazards unless flood insurance is obtained in accordance with section 102(a) of the Federal Flood Disaster Protection Act of 1973 (42 U.S.C. 4001) (24 CFR 570.605)
- The building or home and any personal property to which such financial assistance relates, must during the anticipated economic or useful life of the project, be covered by flood insurance in an amount at least equal to its development or project cost, provided that if the financial assistance is in the form of a loan or insurance or guaranty of a loan, the amount of flood insurance required need not exceed the outstanding principal balance of the loan and need not be required beyond the term of the loan. (42 U.S.C. 4012a)
- The grantee must first determine whether the property proposed for rehabilitation is located within any identified flood zones.

- If the property is located in a flood zone, the grantee must then require the owner to provide evidence of flood insurance. The grantee should then use the rehab inspector's preliminary cost estimate to determine whether the estimated rehab cost equals or exceeds 50% of the market value of the structure.
- If the estimated rehab cost equals or exceeds 50% of the fair market value of the structure, and the grantee decides to undertake the rehab job, the rehab work must include appropriate flood-proofing or elevation measures.

SUGGESTIONS/COMMENTS

Because of the high costs associated with flood insurance premiums, flood-proofing or elevating flood-prone structures, many grantees decline to use CDBG or HOME funds to rehabilitate such structures.

Verify Matching Share

OBJECTIVE

To ensure early in the rehab process that if the applicant is required to provide a matching share, that he/she has sufficient financial resources to provide such a share.

REQUIREMENTS

For HOME funded housing rehabilitation assistance, DCED does not require an applicant fund a portion of the rehabilitation cost.

SUGGESTIONS/COMMENTS

In an effort to preserve staff time and resources, the grantee should determine as soon as possible in the rehab process, whether or not the applicant is able to meet any matching requirements.

Using the rehab inspector's preliminary cost estimate, the grantee should calculate the approximate amount of the applicant's matching share, if any.

If the applicant indicates they will use their own private funds to provide the required matching share, the grantee should ask the applicant to provide evidence of sufficient funds (copy of savings account bank statement, etc.) for the match.

If the grantee's rehab program is designed with a loan or loan subsidy component, the grantee should direct the applicant to the grantee's bank to obtain a credit approval and preliminary loan reservation. The grantee should insist that the bank make a firm commitment regarding the interest rate and term of the loan.

Broadband Infrastructure

OBJECTIVE

Broadband infrastructure is an eligible expense for HOME funded housing rehabilitation activity.

REQUIREMENTS

HOME funds for allocated rehabilitating single family or multifamily housing may include the costs to wire the property for broadband internet. The costs to make utility connections including off-site connections from the property line to the adjacent street are eligible. HUD defines broadband infrastructure as cables, fiber optics, wiring, or other permanent (integral to the structure) infrastructure—including wireless infrastructure—as long as the installation results in broadband infrastructure in each dwelling unit meeting the Federal Communications Commission's (FCC's) definition. The FCC definition for Broadband Infrastructure is located at <https://www.fcc.gov/general/types-broadband-connections>.

HOME funded substantial rehabilitation projects for a building with 5 or more rental units must provide for installation of broadband infrastructure. Limited exceptions are provided but require DCED authorization and documentation. Exceptions are outlined in HUD HOME Program regulation 92.251(b) (x) Property Standards Rental Rehabilitation.

SUGGESTIONS/COMMENTS

Broadband Infrastructure is identified as an eligible but optional expense for HOME funded existing owner occupied housing rehabilitation projects as well as for HOME funded rental housing projects with less than 5 units.

Write Specifications

OBJECTIVE

To develop a written description of the rehab work so that there are no misunderstandings between the owner and contractor regarding the scope of work.

REQUIREMENTS

Written specifications for each property to be rehabilitated must be contained in the grantee's files.

SUGGESTIONS/COMMENTS

The grantee's rehab specialist or designated person prepares written specifications.

Regardless of who writes the specifications, they should be clearly written, well organized and precisely define the work to be undertaken to correct deficiencies and bring the property up to the program's prescribed standards. The programs technical specifications should be a part of the work write-up. The key to a good work write-up is that it can be readily understood by all parties to the rehabilitation process, as well as by neutral parties.

A key element in making rehabilitation affordable is to repair systems that can be repaired as opposed to replacement. Housing rehabilitation can generally be achieved at a reduced cost when only unrepairable items are replaced.

Comply with Federal Labor Standards

OBJECTIVE

To comply with the Davis-Bacon Act (40 U.S.C. 276a – 276a-5) and the Contract Work Hours and Safety Standards Act (40 U.S.C. 327, et seq.) as administered by the U.S. Department of Labor.

REQUIREMENTS

The labor standards provisions of the Davis-Bacon Act and the Contract Work Hours and Safety Standards Act apply to the rehabilitation of residential property with CDBG funds is used, only if such property contains 8 or more dwelling units (24 CFR 570.603). A property containing eight or more dwelling units is defined as one or more contiguous structures on a single property which contain eight or more dwelling units. These same regulations apply for HOME funded projects, only if the construction contract covers 12 or more dwelling units assisted with HOME funds. (24C FR 92.354)

To ensure contractor compliance with these labor standards provisions, the grantee must conduct on-site employee interviews of workers, and review weekly payrolls.

SUGGESTIONS/COMMENTS

None

Comply with PA State Prevailing Wage

Projects assisted with Federal funds that are exempt from Federal Davis-Bacon Wage provisions may require compliance with the PA Prevailing Wage Act. Please contact the Department of Labor and Industry, Bureau of Labor Law Compliance for guidance. www.dli.pa.gov

Where a grantee is conducting construction, reconstruction or rehabilitation with federal funds in excess of \$25,000 and the project does not trigger Davis Bacon as a result of a program exemption for residential property (i.e., rehabilitation of residential property containing 8 or more units in the CDBG program or 12 or more units in the HOME program), it is the position of the Pennsylvania Department of Labor and Industry that the Pennsylvania Prevailing Wage Act DOES apply. The project is subject to state prevailing wage rates. Grantees must request residential rates from Pennsylvania Department of Labor and Industry.

REQUIREMENTS

Grantees must ensure proper documentation that prevailing wages were applied, if applicable.

SUGGESTIONS/COMMENTS

None

Have Owner Approve Specifications

OBJECTIVE

To ensure that the owner is aware of the rehabilitation work to be done on the property.

REQUIREMENTS

None

SUGGESTIONS/COMMENTS

The grantee should review the specifications and scope of work with the owner so that the owner is aware of work to be performed on the property. The grantee should then have the owner sign a statement approving the specifications and scope of work.

This step may help to reduce wasted staff time mediating owner-contractor misunderstandings during construction.

Have Owner Select Contractor(s) to Bid on the Work

OBJECTIVE

To have the owner select the contractor(s) to bid on the work.

REQUIREMENTS

If the grantee selects the contractor, HUD requirements for recipients of Federal financial assistance, 2 CFR Part 200, are applicable even though the grantee is not a party to the actual signed contract for rehabilitation services.

SUGGESTIONS/COMMENTS

The rehab construction contract should be a two party contract between the owner and the contractor, and the grantee's role should be limited to that of escrow of the funds, performing inspections and making payments to the contractor. This contractual agreement limits the chances of the grantee being drawn into legal disputes between the owner and the contractor.

The owner's selection of contractor(s) to bid on the rehab work should be in writing and signed and dated by the owner.

Grantees should require the owner to select more than one contractor to bid on the work in order to obtain more competitive prices.

Send Bidding Documents to Selected Contractors

OBJECTIVE

To send the necessary bidding documents to the contractor(s) selected by the owner.

REQUIREMENTS

None

SUGGESTIONS/COMMENTS

Upon selection of potential bidders by the owner, the grantee will forward all information needed to submit a bid, including a copy of the specifications, the form of the contract, a bid form, and the date and time of bid opening to the selected contractors. A non-collusion affidavit should be included with the bid documents.

The bidding documents should be as clear and concise as possible, without being overly wordy or cumbersome.

Hold Bid Opening

OBJECTIVE

To tabulate and review the bid(s) submitted for the rehabilitation work.

REQUIREMENTS

None

SUGGESTIONS/COMMENTS

If the grantee opens and tabulates the bids, owners should be invited to bid openings and consideration should be given to inviting those contractors that submitted bids.

Review Bid(s)

OBJECTIVE

To ensure that the low bid is reasonable and that the owner is aware of the scope of the rehabilitation work and the cost of that work.

REQUIREMENTS

To be allowable, costs must be necessary and reasonable for proper and efficient administration of the program. (Please review regulations found at 2 CFR Part 200)

SUGGESTIONS/COMMENTS

The grantee should establish some objective criteria for determining whether the low bid is responsible and reasonable. A methodology for accepting bids is they should be within 80% to 120% of the rehab inspector's cost estimate. If the bids are outside of this range, the rehab inspector should further examine the cost estimate. If modifications are necessary, the project should be rebid. If the original cost estimate is determined to be reasonable, discussion should take place with the contractors to gain perspective on their bids and understanding of the project.

The grantee should review the bids with the owner to ensure that the owner is aware of the scope and of the rehabilitation work.

Notify Bidder(s)

OBJECTIVE

To notify the bidders of the result of the bidding process.

REQUIREMENTS

None

SUGGESTIONS/COMMENTS

The grantee should notify the bidders in writing of the results of the bidding process and make the low bidder aware of his impending contractual obligations, including the submission of required insurance certificates, etc.

Have the Contractor/Owner Execute the Construction Contract

OBJECTIVE

To have the contractor execute the construction contract prior to grant closing with the owner.

REQUIREMENTS

A copy of the executed construction contract must be contained in the grantee's files.

SUGGESTIONS/COMMENTS

A reasonable construction time period should be set forth in the construction contract.

Contractor Execute and File a Waiver of Liens

OBJECTIVE

To protect the owner from mechanics liens filed by the contractor, subcontractor, and labor and material suppliers.

REQUIREMENTS

None

SUGGESTIONS/COMMENTS

A Waiver of Liens, properly recorded and indexed with the County Prothonotary pursuant to Mechanics' Lien Law of 1963 (49 P.S. 1401, et seq), will prevent the contractor and any subcontractor or labor or material supplier from filing a mechanics' lien against the property to be rehabilitated.

To be effective, the Waiver of Liens must be properly recorded in the Prothonotary Office within 10 days of the owner's execution of a construction contract.

Once the Waiver of Liens is signed by the contractor and properly recorded and indexed in the Prothonotary Office, all subcontractors and labor and material suppliers are thereby given constructive notice that they are prohibited from filing mechanics' liens against the property to be rehabilitated.

Because of the very precise way in which the Waiver of Liens must be recorded and indexed in the Prothonotary Office, many grantees prefer to have the owner record the Waiver.

Some grantees have the contractor sign a Release of Liens after the job has been completed. These releases typically also require the signatures of other subcontractors and labor and material suppliers. These releases do not protect the owner against mechanics liens during construction, but merely certify that all the signing contractors, subcontractors, and material suppliers agree to release all liens which they currently have or may thereafter have against the property that was rehabilitated. A release of liens requires the grantee to rely on the contractor to faithfully disclose the names of all subcontractors and labor and material suppliers that were involved in the rehab job. On the other hand, when a Waiver of Liens is signed and properly indexed in the Prothonotary Office prior to the start of construction, the contractor and all subcontractors and material suppliers are prevented from filing any mechanics liens against the property, thus making a Release of Liens after the job unnecessary.

Finalize Matching Share

OBJECTIVE

To notify the applicant that if matching funds are required, final preparations to provide matching share must be completed.

REQUIREMENTS

None. For HOME-funded housing rehabilitation assistance, DCED does not require an applicant for housing assistance fund a portion of the rehabilitation cost.

SUGGESTIONS/COMMENTS

Once the bids are received for the rehab work, the grantee is able to determine the exact amount of any matching share required of the applicant.

If the applicant is taking advantage of any loan or loan subsidy offered by the grantee, the applicant should be directed to the grantee's bank to finalize the loan process.

Because the applicant has already received a preliminary loan reservation from the bank, this stage of the process should proceed rather quickly.

Hold Grant/Loan Closing

OBJECTIVE

To have the owner complete all the necessary paperwork to begin the rehab job.

REQUIREMENTS

None

SUGGESTIONS/COMMENTS

At the closing, the owner should deposit with the grantee any required matching funds. The grantee should then approve the owner's rehab application, and sign and date the form. The owner should sign the construction contract, and a copy of the completely executed contract should be given to the contractor for his records.

The owner should also provide evidence of hazard insurance on the property, if rehabilitation assistance is in the form of a loan.

The grantee should give the owner the executed Waiver of Liens so that the owner (if the responsible party) can record same in the Prothonotary Office.

Issue the Proceed Order and Hold a Pre-rehab Conference

OBJECTIVE

To notify the contractor that work may begin and to ensure that all parties understand what is to be done and when

REQUIREMENTS

None

SUGGESTIONS/COMMENTS

The order to proceed shall be signed by the owner and should indicate the time frame within which the owner expects the contractor to complete the work.

A pre-rehab conference should be held at the property with the contractor, property owner and the grantee. This meeting should address the extent of the work to be performed, the schedule, special conditions and any specific concerns or questions any of the parties might have.

Make Progress Inspections and Payments

OBJECTIVE

To inspect the rehab work at various stages of the job so that payments for completed work can be made in a timely manner.

REQUIREMENTS

For HOME funded housing rehabilitation, progress and final inspections must be performed to ensure work is performed in accordance with the applicable codes, construction contract and construction documents as per HUD HOME Regulation 24 CFR 92.251 Property Standards.

SUGGESTIONS/COMMENTS

The grantee should schedule progress payments in such a manner that the contractor is provided with sufficient cash flow to pay employees, subcontractors, labor and material suppliers within appropriate time frames.

Progress payments should not be made to the contractor until the inspections have been satisfactorily completed and the owner is satisfied with the work performed. The grantee must verify that all work, for which payment is requested, has been completed in accordance with the specifications and other contract documents. Inspections of any work for which a building was required and issued should be conducted by a licensed inspector hired or contracted by the authority having jurisdiction (AHJ) for the municipality in which the project is located.

Many grantees withhold a percentage of the requested progress payment (typically 10%) until the job is completed.

If the owner has signed a separate payment authorization form, the grantee may make all checks payable to the contractor. Otherwise, all checks for the payment of rehab work should be made co-payable to the owner and the contractor.

Every person who is a party to the construction contract must sign off on all payments issued for work completed and approved.

Issue Change Orders

OBJECTIVE

To provide a legal mechanism for amending the contract between the owner and the contractor

REQUIREMENTS

All change orders must be reviewed and authorized by the grantee ensuring change orders are necessary, costs are reasonable and determining a potential action for requiring separate bid. A copy must be maintained in the grantee's files.

SUGGESTIONS/COMMENTS

As the rehab work progresses, changes to the construction contract may be required. For example, the contracted completion date extended due to adverse weather conditions or, amendments made to the scope of work because of unanticipated conditions or circumstances.

As with any amendment to the construction contract, every entity party to the original contract must be involved with all subsequent change orders or contract revisions.

Make Final Inspection and Payment

OBJECTIVE

To make a final inspection of the work and make final payment to the contractor.

REQUIREMENTS

For HOME funded housing rehabilitation, as required by HUD HOME Regulation 92.251 Property standards, a final inspection must be performed to ensure completed work was performed in accordance with the applicable codes, construction contract and construction documents and that all deficiencies were corrected.

SUGGESTIONS/COMMENTS

Final payment should not be made to the contractor until the rehab inspector and the owner are satisfied that all the work has been completed in accordance with the specifications and other contract documents.

Obtain Work Completion Warranty

OBJECTIVE

To ensure that the contractor provides the owner with a reasonable guarantee of the quality of work performed.

REQUIREMENTS

None

SUGGESTIONS/COMMENTS

The grantee should establish a warranty duration period within which it would be reasonable to expect defects in materials or workmanship to become apparent to the owner. Most grantees agree that such defects can reasonably be expected to become apparent within one year. All manufacturers' warranties should be supplied to the homeowner prior to final payment.

Complaint Resolution Procedures

OBJECTIVE

To provide a process for resolution of complaints or disputes.

REQUIREMENTS

None

SUGGESTIONS/COMMENTS

Grantees should establish an equitable process for the resolution of any complaints or disputes that may arise during the rehabilitation process. Where feasible, it is recommended that a neutral third party, possibly an arbitration service, be used to resolve disputes between property owners and contractors.

Rehabilitation Standards

The following section will detail the Department of Community and Economic Development's standards for existing owner-occupied housing rehabilitation. Grantees, at a minimum, must ensure all rehabilitation meets the department's standards. A local building code, which is more stringent than the department's standards, must be adhered to.

Applicable Codes and Regulations

The intent of the program is to ensure all rehabilitations are completed in full compliance with the following statutory and regulatory requirements:

- PA Uniform Construction Code (UCC)
- Locally adopted Municipal Zoning and/or Property Maintenance Codes
- HUD Uniform Physical Condition Standards (UPCS)
- National Fire Protection Association Life Safety Code
- HAZMAT: HUD Guidelines for the Evaluation and Control of Lead-Based Paint Hazards in Housing
- HUD requirements for specific programs
- HUD Environmental Review
- Section 106 Historic Review by State Historic Preservation Office Review (SHPO) if required by SHPO guidelines
- Manufactured Home Construction and Safety Standards

The following codes, while not required, shall be complied with, if financial resources are available for a specific project:

- Energy: International Energy Conservation Code
- Accessibility: American National Standards Institute A117.1 (per Uniform Construction Code)

Materials

All materials used for housing rehabilitation will be at minimum, mid-grade quality. If a material is prescribed within the housing rehabilitation standards, grantees are permitted to use a comparable material, as long as it meets code requirements and the housing rehabilitation standard.

Changes in materials (i.e. roofing, gutters, windows, etc.) require consultation with the State Historic Preservation Office (SHPO) if building is determined to be 50 or more years in age.

Inspections

Inspections will be required at the following intervals:

- 25 percent of work completed
- 50 percent of work completed
- 75 percent of work completed
- 100 percent of work completed

In addition, if, in the opinion of the inspector, an inspection is warranted due to the nature of the work, then the inspection will take place. Evidence of all inspections will include, but is not limited to, inspection reports and time-stamped photographs.

Permit Requirements and Exemptions

The following requirements are located in the Uniform Construction Code (UCC) §403.62:

- a. An owner or authorized agent, who intends to construct, enlarge, alter, repair, move, demolish or change the occupancy of a residential building or erect, install, enlarge, alter, repair, remove, convert or replace an electrical, gas, mechanical, or plumbing system regulated by the Uniform Construction Code shall first apply to the building code official and obtain the required permit under §403.62a (relating to permit application).
- b. An emergency repair or replacement of equipment may be made without first applying for a permit if a permit application is submitted to the building code official within 3 business days of the repair or replacement.
- c. A permit is not required for the exceptions listed in §403.1(b) (relating to scope) and the following, if the work does not violate a law or ordinance:
 - 1. Fences that are not more than 6 feet high.
 - 2. Retaining walls that are not over 4 feet in height measured from the lowest level of grade to the top of the wall unless the wall supports a surcharge.
 - 3. Water tanks supported directly upon grade if the capacity does not exceed 5,000 gallons and the ratio of height to diameter or width does not exceed 2 to 1.
 - 4. Sidewalks and driveways that are 30 inches or less above adjacent grade and not placed over a basement or story below it.
 - 5. Prefabricated swimming pools that are less than 24 inches deep.
 - 6. Swings and other playground equipment accessory to a one-or two-family dwelling.
 - 7. Window awnings supported by an exterior wall which do not project more than 54 inches from the exterior wall and do not require additional support.
 - 8. Installation of an uncovered deck where the floor of the deck is no more than 30 inches above grade.
 - 9. Installation or rearrangement of communications wiring.
- d. An ordinary repair does not require a permit. The following are not ordinary repairs:
 - 1. Cutting away of a load-bearing wall, partition, or portion of a wall.
 - 2. The removal or cutting of any structural beam or load-bearing support, this includes the chassis under a manufactured home.
 - 3. The removal or change of any required means of egress, or rearrangement of parts of a structure affecting the egress requirements.
 - 4. The addition to or relocation of any standpipe, water supply, sewer, drainage, drain leader, gas, soil, waste, vent or similar piping, electric wiring or mechanical.
- e. A permit is not required for the installation, alteration or repair of generation, transmission, distribution, metering or other related equipment that is, by established right, under the ownership and control of public service agencies.

Repair/Replacement Standards

HEALTH AND SAFETY	
Contaminants	
Repair Standard	Minimum Life: 5 years
N/A	
Replacement Standard	
<p>In an ongoing effort to maintain safe and healthy indoor air quality, the use of products and components that contain low levels of VOC's (volatile organic compounds) will be required. Materials utilized in the construction process that generally contain moderate levels of VOCs may include; sealants, paints, caulking, adhesives, plywood, pressed wood products and carpets.</p> <p>Manufacturers typically label or provide information regarding low VOC compliance with the distribution of their products. Several entities that maintain information regarding VOCs and product testing (including respective links) are listed below for reference.</p> <ul style="list-style-type: none"> • VOC Green Program; provides third-party verification services to wood industry and consumer. www.vocgren.com • Green Seal; provides environmental certification standards to assist manufacturers, purchasers and consumers. www.greenseal.org • US Environmental Protection Agency (EPA); Federal agency regulating and providing oversight to protect human health and the environment. www.epa.gov 	

Lead-Based Paint (LBP)	
Repair Standard	Minimum Life: 5 years
<p>For all houses constructed prior to 1978—four (4) floors, two (2) window sills and two (2) window troughs (all randomly selected) plus a blank sample must be submitted to an EPA-accredited lead analytical laboratory and the dust samples must pass a dust wipe test for lead content as per the protocol in the HUD Guidelines. Lead-safe work practices must be followed. In situations where abatement is required, only contractors certified in remediation and abatement will be authorized to perform the work. For more information, please view HUD's website.</p>	
Replacement Standard	Minimum Life: 20 years
<p>When stabilization of surfaces containing Lead-Based Paint is impractical, the most affordable solution for abatement of the component will be chosen. Walls containing Lead-Based Paint may be covered with drywall or gutted and replaced with drywall. Trim and other wood or metal components containing Lead-Based Paint may be removed and replaced with similar materials. Lead-safe work practices must be followed. In situations where abatement is required, only contractors certified in remediation and abatement will be authorized to perform the work. For more information, please view HUD's website.</p>	

Asbestos	
Repair Standard	Minimum Life: N/A
<p>Asbestos materials that are not brittle or crumbling to the extent of creating a hazard such as exterior siding consisting of Portland cement and asbestos fibers, may be left intact and painted, if appropriate. Vinyl-asbestos-tile (VAT) flooring tiles, installed in many U.S. homes from approximately 1930 until 1980, may remain if deemed to be sound and intact. If new flooring is to be installed in areas of the home where sound and intact VAT flooring tile exists, the subject area may be covered with new flooring material and applicable underlayment.</p>	
Replacement Standard	Minimum Life: N/A
<p>Deteriorating asbestos components such as boiler or pipe insulation, cement asbestos siding or vinyl-asbestos-tile (VAT) flooring will be removed and properly disposed of replaced and with suitable non-hazardous materials.</p>	

Radon	
Repair Standard	Minimum Life: 5 years
All housing in this program will be subject to radon testing, laboratory certification and, if required, mitigation requirements as regulated by the PA Department of Environmental Protection (DEP). All testing services, laboratory certification and mitigation activities performed under this program must be conducted by individuals or entities having the appropriate certification(s) as administered by DEP.	
Replacement Standard	Minimum Life: 20 Years
If, as a result of the testing above, there is a presence of Radon at or above the 4 pCi/L level, remediation and mitigation will be performed by an individual or entity with the appropriate certification and constructed in compliance with the PA Department of Environmental Protection regulations.	

Mold	
Repair Standard	Minimum Life: N/A
Visual inspections for mold will be performed and, if detected, steps taken to reduce exposure by preventing and controlling excessive moisture. When repairs or corrections are required for remediation, reference should be made to “Steps to Remove Mold” found in the NCHH (National Center for Healthy Housing) Healthy Housing Solutions found by accessing their on-line publications. www.nchh.org	
Replacement Standard	Minimum Life: N/A
Upon identification of a mold problem, remediation of the moisture source must be managed. Mold may be cleaned in areas of non-porous and semi-porous materials (i.e.; metals, glass, hard plastics, wood and concrete) where determined possible to do so. In areas where mold has been found in porous materials (i.e; fabrics, ceiling tiles, insulation and wallboard), removal and appropriate cleanup will be conducted. The NCHH (National Center for Healthy Housing) provides information outlining potential impact and criteria to help identify, test, reduce exposure and remove/remediate mold hazards.	

Fire Safety-Egress	
Repair Standard	Minimum Life: N/A
N/A	
Replacement Standard	Minimum Life: N/A
Egress windows are required in all new sleeping areas unless other secondary means of escape requirements are met. The minimum dimensions for egress window clear openings are 20” wide by 24” high, and have a clear opening of 5.7 square feet. No bedrooms should be created in attics or basements unless compliance with the PA Uniform Construction Code is met.	

Smoke and Carbon Monoxide Alarms	
Repair Standard	Minimum Life: 5 years
Existing smoke and carbon monoxide alarms must be maintained in operating condition. Installation of additional detectors may be required to meet standards for location and placement. www.nfpa.org	
Replacement Standard	
When walls are open and wiring is exposed, hardwired smoke alarms are required on each dwelling floor and in all bedrooms. Carbon monoxide detectors are required in homes that contain fuel burning equipment and appliances or have an attached garage. In lieu of hardwired alarms, units with wireless interconnect capability may be installed.	

SITE	
Grading	
Repair Standard	Minimum Life: 5 years
When required construction activity results in necessary repairs or modifications to grading adjacent to the building foundation, it should have a minimum 1/2" per foot slope away from the perimeter to direct all drainage from the structure and alleviate moisture infiltration. All bare and disturbed areas will be restored or reseeded as necessary.	
Replacement Standard	
Same as Repair	

Outbuildings	
Repair Standard	Minimum Life: 5 years
If an accessory building has deteriorated to the point where it is deemed to be a potential threat to health, safety and welfare, the structure will be removed. If the outbuilding is structurally sound but requires repairs to correct potential hazards, the grantee may invest funds to repair if deemed financially feasible.	
Replacement Standard	
No outbuilding replacement is permitted in this program.	

Fencing	
Repair Standard	Minimum Life: 5 years
If repairs are needed, replacing sections in-kind is permissible, if deemed financially feasible.	
Replacement Standard	
Same as Repair.	

Paving and Walks	
Repair Standard	Minimum Life: 5 years
Paving required to facilitate access to the residence, such as front sidewalks and driveways where defects or unsafe conditions exist, will be repaired as necessary. Highly deteriorated paving, such as sidewalks that are unnecessary, will be removed and appropriately landscaped.	
Replacement Standard	
Unrepairable essential walks and driveways will be replaced with permeable paving or concrete per local ordinance, when financially feasible. Pressure treated wood and/or wood composite handicapped accessible ramps are an eligible expense.	

Trees and Shrubbery	
Repair Standard	Minimum Life: 5 years
Plant material, that due to location or condition has become unsafe or detrimental to the structure, shall be trimmed, cut or removed as required to mitigate the hazard.	
Replacement Standard	
N/A	

Lawn (DR Only)	
Repair Standard	Minimum Life: 1 year
Bare sections of lawn or areas damaged due to storm event, or disturbed due to construction activity, will be restored and planted with seed varieties conducive to the geographic area and current property conditions. http://pubs.cas.psu.edu	
Replacement Standard	
Same as Repair	

EXTERIOR BUILDING SURFACES	
Exterior Cladding*	
Repair Standard	Minimum Life: 5 years
Siding and trim must be structurally intact and weatherproof. All exterior wood components where deteriorating paint is present will be scraped and primed as necessary and have a minimum of one continuous coat of paint. Buildings designated as historic will have existing wood siding and trim repaired in-kind. New exterior wood will blend with existing and will be primed and painted. Alternate siding materials may be permitted in some instances for historic buildings. "Section 106" consultation is required whenever a new material exterior cladding is proposed for buildings over fifty (50) years of age. Use of a water resistive barrier is required under all newly installed siding and where feasible in areas of repair or replacement	
Replacement Standard	
Buildings not designated as historic may have exterior components replaced or repaired with alternate siding materials to match or blend with the structure's existing style and configuration. If replacing soffit, selected materials should be complimentary to other exterior elements and will be of design to support home air ventilation.	

Exterior Porches**	
Repair Standard	Minimum Life: 5 years
Deteriorated concrete porches will be repaired when possible. Unsafe wood porch components will be repaired with readily available materials to conform closely to historically accurate porches in the neighborhood. Porch repairs will be structurally sound, with smooth and even decking surfaces. Deteriorated wood structural components will be replaced with preservative-treated wood or exterior grade wood composite materials	
Replacement Standard	
Porches on buildings, designated as historic, will be rebuilt to conform closely to historically accurate structures in the neighborhood. Replaced wood structural components will be pressure-treated. The use of exterior grade wood composite or like materials will be permitted for decking, support columns, railing and trim elements if not cost prohibitive. All work performed or elements added to existing porch structures will comply with the PA Uniform Construction Code.	

*When financially-feasible and materials are available, grantees are encouraged to use composite material and/or mold-resistant material, especially in high moisture areas.

**Caution should be exercised when replacing decking over a crawl space or basement. Need to ensure water does not enter into property after completion.

Exterior Railings	
Repair Standard	Minimum Life: 5 years
Existing handrails will be structurally sound. Guide rails are required on any accessible area with a walking surface over 30" above finished grade. Structurally sound and compliant railings may be repaired as necessary. On historic structures, railing repairs will be historically-sensitive.	
Replacement Standard	
Handrails will be present on at least one side of all exterior steps or stairs with more than two risers and on the exterior perimeter of porches or platforms when finished floor level exceeds 30" above finished grade. Style and aesthetics of newly constructed handrails and guide rails will conform to the style of similar components of the homes in surrounding neighborhood. On historic designated structures, new railings will be constructed of materials and in design - sensitive to this designation and any applicable architectural guidelines.	

Exterior Steps and Decks	
Repair Standard	Minimum Life: 5 years
Steps, stairs, landings and porch decks will be structurally sound, reasonably level, with smooth and even surfaces required to maintain safe pedestrian use. Any necessary repairs will match and/or complement existing design and materials.	
Replacement Standard	
In non-historic structures, wood decking may be replaced with 5/4" x 6" pressure-treated wood and steps will be constructed from nominal 2" pressure-treated lumber. The use of exterior grade wood composite materials is permitted when not cost prohibitive. On historic structures, new wood decking will be 3/4" clear tongue and groove fir, primed on all 6 sides before installation.	

Exterior House Numbers and Mailboxes	
Repair & Replacement Standard	Minimum Life: 5 years
All properties will have street address numbers installed on the house near front entry or on the mailbox in rural delivery areas. In all cases, address numbers should be of size and location where they easily are visible.	

FOUNDATIONS AND STRUCTURES	
Fire Separation	
Repair Standard	Minimum Life: 5 years
Fire separation or common walls will be maintained without cracks and plaster or wallboard deterioration.	
Replacement Standard	
When frame walls and floors, adjoining other dwellings are gutted, new wall finish installations will conform to the PA Uniform Construction Code requirements for fire ratings where applicable.	

Foundations	
Repair Standard	Minimum Life: 15 years
Foundations will be repaired to be structurally sound, reasonably level, and free from movement.	
Replacement Standard	
Foundation work beyond the repair standard, must comply with the PA Uniform Construction Code.	

Structural Walls	
Repair Standard	Minimum Life: 15 years
Structural framing and masonry will be free from visible deterioration, rot, or serious termite damage, and be adequately sized for current loads. Prior to rehab, all sagging floor joists or rafters will be visually inspected, and significant structural damage and its cause will be corrected.	
Replacement Standard	
New structural walls will be designed and constructed to integrate with existing, but all structural elements must be of size and design to meet load and bearing requirements in compliance with the PA Uniform Construction Code. Newly constructed exterior structural walls must be also be sheathed and insulated per UCC requirements.	

WINDOWS AND DOORS	
Interior Doors	
Repair Standard	Minimum Life: 5 years
Baths and occupied bedrooms will have operating doors and lock sets.	
Replacement Standard	
Interior doors will be hollow-core, medium density fiberboard (MDF), of design and style to coordinate with existing. Interior doors serving bedroom and bathrooms shall include a minimum ANSI/BHMA Grade 2 lockset.	

Exterior Doors	
Repair Standard	Minimum Life: 5 years
Exterior doors* will be solid core and weather tight. The door and hardware must function properly. If the existing entry door does not have a deadbolt, one must be installed having a minimum ANSI/BHMA Grade 2 rating.	
Replacement Standard	
Replacement doors (4) will be solid core with weather stripping and air seal at perimeter and sill. Any glazing must be insulated, double pane glass. Installation must include an exterior lockset and deadbolt, keyed alike, having a minimum ANSI/BHMA Grade 2 rating.	

Windows	
Repair Standard	Minimum Life: 5 Years
All existing windows will open and operate in the manner for which they were originally intended and able to be locked and secured.	
Replacement Standard*	
Windows deemed to be inoperable or unable to be repaired may be replaced with units constructed of vinyl or other alternate material and have and insulated glass. Replacement windows will meet ENERGY STAR certification requirements for the North climate regions. Windows on key facades of historically-sensitive properties will be replaced with units constructed of wood or other like material when locally approved.	

*When the replacement of exterior doors or windows is proposed of alternate material (such as fiberglass door to replace wood or vinyl replacement windows) on structures over 50 years old, Section 106 review is required. For historic structures, the repair of original wood doors and windows is encouraged. In the event exterior door or window replacement is unavoidable on historic buildings, the new units should be of matching design, appearance, placement and material if possible.

Alternate material units may be utilized for some historic buildings upon consultation with the DCED Historic Preservation Specialist.

Basement Windows	
Repair Standard	Minimum Life: 5 years
Existing basement windows left intact must be operable and able to be secured. When possible, it is desirable to have at least 2 operable basement windows to provide adequate ventilation.	
Replacement Standard (see ** on previous page)	Minimum Life: 5 years
Basement windows below grade that are deemed inoperable or unable to be repaired, may be replaced with hopper or sliding glass units manufactured of vinyl or other alternate material. If windows are in a conditioned basement area, the glass must be of insulated type and meet ENERGY STAR certification requirements for the North climate regions.	

ROOFING	
Flat and Low-Slope Roofing	
Repair Standard	Minimum Life: 5 years
Built-up roofing where no leaks are evident will be re-coated and any flashing, built-in gutters and/or roof penetrations (such as plumbing vents) will be repaired if their minimum life is questionable.	
Replacement Standard	
Installation of an EPDM or functionally equivalent roofing membrane and underlayment as specified by the roofing material manufacturer shall be required	

Pitched Roofs (2/12 or greater)	
Repair Standard	Minimum Life: 5 years
Flashing or shingles in disrepair or in areas where leaks are detected may be repaired when roof is otherwise sound and functional. Slate, metal and tile roofs will be repaired when possible. Roof penetrations no longer being utilized or the presence of rooftop mounted equipment (such as antennas) will be removed at the owner's discretion.	
Replacement Standard	
Roofing shingles shall be of fiberglass -asphalt composition with a Class A (UL790) fire rating and include a minimum 25-year ltd. transferrable warranty issued by the manufacturer. Shingle underlayment of a minimum #15 roofing felt (water repellant breather type cellulose fiber) must be installed over a clean and structurally sound roof decking. The utilization of starter strips, leak barriers, flashing and drip edging, as well as, the means of attachment of the roofing shingles and all other applicable materials must comply with the manufacturer's specifications necessary to validate the warranty and insure overall integrity and durability of the complete roofing system. Ridge ventilation will be installed at all ridge locations after proper modifications are made to the ridge board and/or roof sheathing so that the ridge vent will function as designed. In situations where it is deemed unfeasible to install, or the roof design will not allow for a sufficient amount of ridge venting, the installation of other vent types will be required (i.e.; gable louvers, mechanical or power vents)	

Gutters and Downspouts	
Repair Standard	Minimum Life: 5 years
Gutters and downspouts must be in good repair, leak-free, and collect storm water from all lower roof levels. Storm water must be directed away from the building perimeter to prevent water from entering the structure and alleviate the potential for damage to the foundation.	
Replacement Standard	
Gutters and downspouts will be installed and collect storm water from all lower roof levels. Splash blocks and/or downspout extensions will be installed to move water away from the foundation. The system must move all storm water away from the building and prevent water from entering the structure.	

INSULATION AND VENTILATION

Infiltration (CDBG-DR Only)

Repair Standard	Minimum Life: N/A
Seal all accessible gaps and penetrations in the building envelope. If applicable, use low VOC caulk or foam. In buildings with ducted forced-air heating and cooling systems, seal all penetrations of the air distribution system to reduce leakage in order to meet or exceed ENERGY STAR for Homes' duct leakage standard. Ensure continuous unbroken air barrier surrounding all conditioned space and align insulation completely and continuously with the air barrier.	
Replacement Standard	
As stated in Repair Standard.	

Whole House Ventilation (CDBG-DR Only)

Repair Standard	Minimum Life: 5 years
Install an in-unit ventilation system capable of providing adequate fresh air per ASHRAE 62.2 requirements.	
Replacement Standard	
As stated in the Repair Standard.	

Insulation (CDBG-DR Only)

Repair Standard*	Minimum Life: N/A
<p>Attics: For attics with closed floor cavities directly above the conditioned space, blow in insulation per manufacturer's specifications to a minimum density of 3.5 lbs. per cubic foot (CF). For attics with open floor cavities directly above the conditioned space, install insulation to meet or exceed IECC levels.</p> <p>Floors: Install minimum R-19 insulation in contact with the subfloor in buildings with floor systems over vented crawl spaces. Install a 6-mil vapor barrier in contact with 100% of the floor of the crawl space (the ground), overlapping seams and piers at least 6 inches.</p>	
Replacement Standard	Minimum Life: 20 Years
As stated in Repair Standard.	

Bath Ventilation

Repair Standard	Minimum Life: N/A
N/A	
Replacement Standard	Minimum Life: 10 Years
Bathrooms which include a shower and/or bathtub must incorporate the use of a bathroom ventilation fan capable of exhausting a minimum of 80 cfm to the exterior of the home. Fan to be controlled by a wall mounted switch/timer control.	

*As designated in HUD CPD Green Building Retrofit Checklist, a complete copy of which is included in entirety as an addendum. Checklist refers to the mandatory replacement with specified green improvements, products, and fixtures only when replacing those systems during the normal course of the retrofit.

Kitchen Ventilation	
Repair Standard	Minimum Life: 5 years
All kitchens must have functioning mechanical ventilation above or adjacent to the range/cooking surface. The fan must be capable of producing air movement no less than 160 cfm.	
Replacement Standard	
All kitchens will have mechanical ventilation producing a minimum of 160 cfm and must exhaust to exterior of the home. All venting duct will be constructed of heavy gauge galvanized metal, air tight with mastic-sealed seams (no duct tape) and terminated with an exterior vent cap appropriate for selected location. If deemed unfeasible to provide ventilation to exterior of home, a non-vented range hood with ventilation fan capable of providing 160 cfm may be utilized. If a non-vented kitchen fan/range hood is determined to be the viable alternative, the unit must incorporate a ductless venting filter to aid in the removal of smoke and odors created as a byproduct of cooking.	

Roof Ventilation	
Repair Standard	Minimum Life: 5 years
1 square foot of free venting must be supplied for every 300 SF of area directly under the roof.	
Replacement Standard	
The venting requirement is the same as with the Repair Standard above with a strong preference for a combination of ridge vents, soffit vents and the one perm-rated ceiling required for the 1 to 300 ratio.	

INTERIOR STANDARDS	
Interior Walls and Ceilings	
Repair Standard	Minimum Life: 5 years
Holes, cracks and deteriorated or damaged areas of wallboard or plaster will be repaired as necessary. All visual surfaces will be stabilized to minimize lead paint hazards using premium vinyl acrylic paint.	
Replacement Standard	
When necessary, plaster will be replaced by 1/2" gypsum board. Fire-rated assemblies will be specified on a project-by-project basis as required by the PA Uniform Construction Code.	

Flooring	
Repair Standard	Minimum Life: 5 years
Bathroom, kitchen and other moisture-prone floor areas will have moisture -resistant flooring intact and in sound condition. Damaged areas, or where hazards may exist, will be repaired. Existing wood floors in rooms other than kitchens or baths, may be repaired and refinished when determined to be viable and in sound condition. *Basement floors will be continuous concrete at least 3-1/2" thick. (*CDBG-DR Only).	
Replacement Standard	
Baths and kitchens will have installed resilient sheet goods or tile over plywood or other appropriate underlayment. Floors in rooms, other than kitchens or baths, may be finished with carpet and associated products that are Carpet and Rug Institute's Green Label certified or laminate materials that are identified as containing low levels of VOCs (volatile organic compounds). Existing wood floors, in rooms other than kitchens or baths, may be refinished when determined to be viable and in sound condition. *New basement slabs will be at least 3-1/2" thick and have a 6-mil vapor barrier. (*CDBG-DR Only)	

Closets	
Repair Standard	Minimum Life: 5 years
Existing closets will be maintained in good repair and have appropriate shelf and clothes rod.	
Replacement Standard	
New closets may be created if there is a significant lack of storage space and the budget permits. New closets will have a depth of 2 feet and include a shelf and clothes rod.	

Kitchen Cabinets and Countertops	
Repair Standard	Minimum Life: 5 years
Kitchens will have functional base and wall cabinets determined to be sound and cleanable. Countertop surfaces should be manufactured of a non-permeable material able to be cleaned and maintained to minimize bacterial growth from food borne contaminants. Existing cabinets with doors and face frames may be repaired if in good condition.	
Replacement Standard	
When new replacement kitchen cabinets are required, the installation will include coordinating base and wall cabinets with high pressure laminate (HPL) countertops including 4" high backsplash. Cabinet construction will include hardwood face frames, door and drawer fronts and meet ANSI/KCMA A161.1 performance and construction standards.	

ELECTRIC	
Ground Fault Circuit Interrupters	
Repair Standard	Minimum Life: 5 years
GFCI protection is required for all receptacles located in bathroom areas, receptacles that serve kitchen countertop surfaces and receptacles located within 6 ft. of the outside edge of a water supply fixture. If unprotected receptacles are in use at any of the aforementioned locations, installation of a GFCI-protected device is required. If the areas in question are served by existing 2-wire NM cable without ground, a GFCI –receptacle may still be installed if marked "NO EQUIPMENT GROUND".*	
Replacement Standard	
Electrical work which may incorporate the installation of new receptacles in areas of the home which include the following; any portion of bathrooms or kitchens as described in Repair Standard.	

Passage Lighting	
Repair Standard	Minimum Life: 5 years
All light fixtures and switches in hallways, stairs and other passageways will operate safely and be of size and design, to provide adequate illumination. Existing fixtures with incandescent lamp fittings will be replaced with LED units providing a minimum 800 lumens (60 watt equivalent).	
Replacement Standard	
In hallways, stairs or rooms where it is necessary to pass through in order to access other rooms and stairways, lighting fixtures of size and design to provide adequate illumination will be installed and controlled by 3-way wall switches located at each end of the travel path. Attics, basements and crawl spaces must have lamp fixtures. Properly installed wiremold (conduit) will be permitted where it may be cost prohibitive to install wiring in wall and ceiling cavities.	

*The equipment grounding conductor plays no part in the operation of a GFCI, so ground-fault protection will still be provided on a 2-wire circuit without an equipment-grounding conductor

Kitchen Electric Distribution	
Repair Standard	Minimum Life: 5 years
Existing receptacles, fixtures and switches will be safe and grounded.	
Replacement Standard	
Stoves, refrigerators, freezers, dishwashers and disposals, washers and dryers will have separate circuits sized to National Electric Code per the PA Uniform Construction Code. Two separate 20-amp counter circuits are required with each kitchen area.	

Interior Electric Distribution	
Repair Standard	Minimum Life: -5 years
Exposed knob and tube will be replaced. Every room will have a minimum of two duplex receptacles, placed on separate walls and one light fixture or receptacle switched at each room entrance. Where the source wiring circuit is accessible (e.g. first floor above basements, in gutted rooms, etc.), receptacles will be grounded. All switch, receptacle, and junction boxes will have appropriate cover plates. Wiring must be free from hazard, and all circuits will be properly protected at the panel. Floor receptacles will be removed and a metal cover plate installed or flooring/subfloor repaired as necessary. Exposed wire/mold (conduit) will be permitted where it is not feasible to install wiring in wall or joist cavity. Bedroom receptacles must have Arc Fault protection, either at outlet or thru circuit at service panel. There must be one electrical receptacle at the service panel location. Basements will have adequate keyless bare bulb fixtures switched at the top of the stairs and at any other point of entry or exit.	
Replacement Standard	
When a room's wall finishes are removed, it will be rewired to the latest version of the National Electric Code, per PA Uniform Construction Code.	

Service and Panel	
Repair Standard	Minimum Life: 10 years
Distribution panels will have a main disconnect, at least 10 circuit-breaker-protected circuits, a 100-amp minimum capacity and be adequate to safely supply existing and proposed devices. If a working central air conditioning system is present, the minimum service will be 200 amps.	
Replacement Standard	
200-amp service with a main disconnect panel containing at least 30 circuit breaker positions.	

PLUMBING SYSTEM	
Drain, Waste, and Vent Lines	
Repair Standard	Minimum Life: 5 years
Waste and vent lines must function without losing the trap seal.	
Replacement Standard	
When walls are removed exposing vent and waste lines those lines will be reworked to the current mechanical code per PA Uniform Construction Code	
Plumbing Fixtures*	
Repair Standard	Minimum Life: 5 years
All fixtures and faucets will have working, drip-free components. All plumbing fixtures must be properly connected to either a public sewer system or an approved private sewage disposal system.	
Replacement Standard	
Vitreous china bathroom lav/basin (or other non-pervious material designed for residential baths) having single lever, metal faucet with 5-year limited warranty and maximum 1.5 GPM flow. Vitreous china, comfort-height toilets with maximum 1.28 GPF. Double bowl stainless steel kitchen sink with single-lever metal faucet having 5-year limited warranty with maximum 2.0 GPM flow. Bathtubs, showers or combination bathtub/shower units and surrounds will be constructed of fiberglass or acrylic composites and have maximum 2.0 GPM showerhead.	
Plumbing Minimum Equipment	
Repair Standard	Minimum Life: 5 years
Existing equipment will be repaired to conform to the Housing Quality Standards.	
Replacement Standard	
Every dwelling unit will have a minimum of one stainless steel double bowl sink in the kitchen and at least one bathroom containing a lav/basin and shower and/or bathtub unit with required water flow devices, all with hot and cold running water and one water closet/toilet as described above.	
Water Heaters	
Repair Standard	Minimum Life: -5 years
Each housing unit will have working domestic water heating equipment installed and operating in a safe manner.	
Replacement Standard	
When the installation of a water heater is required, the units will be a minimum of 40-gallon with a 5-year limited warranty, installed in compliance with PA Uniform Construction Code.	
Water and Wastewater Distribution	
Repair Standard	Minimum Life: 10 years
The main shut off valve must be operable and completely stop the flow of water to the house. All fixtures must be leak-free and deliver sufficient cold water and, where applicable, hot water. Residences must be properly connected to either a public sewer system or an approved private sewage disposal system. If the property is served by a private, on-lot sewage disposal system a copy of the most recent pumping/inspection report must be obtained through the officiating Sewage Enforcement Officer, demonstrating the system is compliant with PA Department of Environmental Protection and any applicable local regulations. If any deficiencies are noted or if actions are required to bring the system into compliance, those issues must be addressed and approved by the Sewage Enforcement Officer.	
Replacement Standard	
The main shut off valve must be operable and completely stop the flow of water to the house, and should be replaced if it does not. Lead and galvanized pipe that is part of the water service or the distribution system will be replaced with supply piping, valves and accessories in compliance with the PA Uniform Construction Code. One freeze-protected exterior hose bib is required.	

*Recommend using water conservation measures (1.3 GPF toilets and 2.0 GPM showers), when available.

HEATING, VENTILATION, AND AIR CONDITIONING (HVAC)

Air Conditioning

Repair Standard	Minimum Life: N/A
Non-functioning, non-repairable air conditioners will be removed and drained of all CFCs, in accordance with DEP's approved disposal standards. Existing central air conditioning will be inspected, serviced and refurbished to operate properly.	
Replacement Standard	Minimum Life:
None	

Chimney Repair

Repair Standard	Minimum Life: N/A
Chimneys no longer utilized and in a state of disrepair or deterioration will be removed to below the roof decking when a new roof is being installed. (Removal of a chimney requires Section 106 review if the building is over 50 years of age). When chimneys must be used for combustion ventilation, they will be inspected and repaired or relined as necessary.	
Replacement Standard	Minimum Life: N/A
The creation of new flues is not recommended in this program. The use of high efficiency closed combustion appliances is recommended to avoid the need for new flues. When necessary, chimney flue liners may be utilized and will be of material and design required for the type of fuel burning appliance and configuration of the chimney.	

Distribution System

Repair Standard	Minimum Life: 5 years
Duct work and hot water or steam piping will be well supported and in sound operating condition to provide adequate heat supply in areas served. Defective duct work and hot water or steam piping will be repaired when possible.	
Replacement Standard	Minimum Life: 25 years
All duct work will be insulated to R-8, sealed at all seams with mastic (not tape).	

Heating System

Repair Standard	Minimum Life: 5 years
Workable existing heating systems will be inspected and maintained to operate in a safe and efficient manner. Repairs, including replacement of any applicable filters, will be conducted when necessary.	
Replacement Standard	Minimum Life: 25 years
Gas-fired heating plants will be rated at > 92% AFUE or better. Oil-fired furnaces will be rated at > 83% AFUE or better. Oil-fired boilers will be rated at > 85% AFUE or better. Heat pumps will be rated at > 15 SEER. Setback thermostats are required. Electric resistance heating units may be retained or installed in areas where it is not cost effective to heat via ductwork or hot water piping from primary heating source.	

APPLIANCES

Kitchen Appliances

Repair Standard	Minimum Life: 5 years
All units will have a range with properly operating cooktop and oven.	
Replacement Standard	Minimum Life: 15 years
All replaced kitchen ranges will have ENERGY STAR certified appliances, where applicable.	

Walkthrough/Homeowner Instructions

Final walkthrough conducted on _____ (DATE).

_____ (CONTRACTOR) provided an overview of all new systems, appliances, and GFCIs (when applicable) to _____ (OWNER). In addition, OWNER was given all instruction manuals for new systems and appliances.

Inspector's Signature

Date

Emergency Rehabilitation

OBJECTIVE

To establish strict controls and encourage minimum use of CDBG funds for emergency repairs. Emergency Rehabilitation is not permitted under the HOME Program.

REQUIREMENTS

Some grantees find it necessary to be able to respond to emergency repairs needed by low and moderate income owner occupants and tenants. The Department of Community and Economic Development appreciates grantees' desires to alleviate certain emergencies, but also recognizes that such repairs do not bring properties up to the locally adopted property standards.

Grantees must develop guidelines to minimize and control the use of CDBG funds for emergency repairs. The following minimum requirements apply to all CDBG funded emergency repair activities which grantees include as a component of their rehabilitation programs:

1. An emergency repair need is defined as an immediate need which, if not addressed, will result in a health and or safety threat to the owner occupant/tenant.
2. The emergency repair must be confined to the problem creating the health and/or safety threat.
3. Prior to undertaking an emergency repair, the chief elected official of the grantee, or his designated representative, must execute a certification that the emergency repair meets DCED's minimum requirements as well as any additional requirements locally established. This certification must be contained in the applicant's file.
4. Within twelve months of the completion of the emergency repair the grantee must return to the owner of the property receiving emergency assistance and endeavor to have the owner participate in the regular rehabilitation program in order to bring the property up to the locally adopted property standards. Documentation regarding this effort must be contained in the grantee's files.
5. A property receiving an emergency repair, and that is not subsequently brought up to the locally adopted property standard, may not be counted toward meeting the grantee's rehabilitation goal.

SUGGESTIONS / COMMENTS

The need for grantees to approach emergency repairs with caution cannot be overemphasized. The primary goal of CDBG and HOME funded rehabilitation programs must be to bring low/moderate income properties up to locally adopted property standards. Funds used for emergency repairs detract from this primary goal unless subsequent rehabilitation to standards is accomplished.

Grantees should consider restricting emergency repairs to those properties occupied by very low income households. If emergency repairs are made to properties occupied by low-moderate income households, the grantee should consider making the repairs only if the owner agrees, in writing, to subsequently participate in the regular rehab program thereby bringing the property up to the locally adopted standard.

Likewise, grantees should consider requiring the owner of a tenant occupied structure to agree in writing, to subsequently participate in the regular rehab program. If the owner of a tenant occupied structure does not agree to subsequent rehab, then a lien should be placed on the property in the amount of the emergency repair.

Manufactured Housing, Including Mobile Homes, Habitability Standards and Installation Guide

OBJECTIVE

To assure that all manufactured housing targeted for HOME and or CDBG rehabilitation assistance meets both the habitability and installation/foundation standards for Pennsylvania.

REQUIREMENTS

For information on Manufactured Housing and Installation go to: dced.pa.gov/mh.

APPENDIX



REHABILITATION STANDARDS INSPECTION FORM

1. HOMEOWNER:	2. FILE NUMBER:
3. PROPERTY ADDRESS:	

Systems	Date of Inspection	Pass / Fail
Health and Safety		<input type="checkbox"/> Pass <input type="checkbox"/> Fail
Site		<input type="checkbox"/> Pass <input type="checkbox"/> Fail
Exterior Building Surfaces		<input type="checkbox"/> Pass <input type="checkbox"/> Fail
Foundations and Structures		<input type="checkbox"/> Pass <input type="checkbox"/> Fail
Windows and Doors		<input type="checkbox"/> Pass <input type="checkbox"/> Fail
Roofing		<input type="checkbox"/> Pass <input type="checkbox"/> Fail
Insulation and Ventilation		<input type="checkbox"/> Pass <input type="checkbox"/> Fail
Interior Standards		<input type="checkbox"/> Pass <input type="checkbox"/> Fail
Electric		<input type="checkbox"/> Pass <input type="checkbox"/> Fail
Plumbing		<input type="checkbox"/> Pass <input type="checkbox"/> Fail
HVAC		<input type="checkbox"/> Pass <input type="checkbox"/> Fail
Appliances		<input type="checkbox"/> Pass <input type="checkbox"/> Fail

CERTIFICATION

I, _____ (INSPECTOR NAME, COMPANY) have inspected each of the systems, as listed above. Each of the systems has been inspected, in accordance with the Department of Community and Economic Development’s (DCED) Housing Rehabilitation Standards. In my professional opinion, each of the systems that have passed inspection will have, at a minimum, the applicable useful life, as listed in DCED’s Housing Rehabilitation Standards.

SIGNATURE OF HOUSING REHABILITATION INSPECTOR	DATE
---	------



JOB FILE INDEX

	DATE REQUESTED	DATE COMPLETED	INITIALS
CLIENT INTAKE			
Income Eligibility			
Request for Code Inspection			
EPA Pamphlet			
Owner/Agency Agreements			
FTHB Lead Disclaimer			
SPECIFICATIONS & FEASIBILITY			
Environmental Field Notes Checklist			
Environmental Review Record			
Historic Assessment/SHPO Submission			
Lead Requirement Worksheet			
Preconstruction Photo Set			
Specifications by Location and Trade			
Cost Estimate			
Special Procedures Request			
Lead Hazard Evaluation or Presumption Notice			
Waiver of Relocation Protections (elderly only)			
Work Write-Up Transmittal Letter			
Work Write-Up			
Owner's Approval of Work Write-Up			
BIDDING AND CONTRACTS			
Invitation to Bid			
No Bid Intention Received			
Pre-Bid Inspection			
Addenda to Work Write-Up (if applicable)			
Bid Comparison Results			
Certification of Bid/Proposal			
Debarment Verification			
Subcontractor and Supplier Listing			
Owner's Selection Worksheet			
Homeowner Relocation Plan (if required)			
Construction Loan Escrow Agreement			
Construction Loan Contingency Escrow Agreement			
Agreement between Homeowner and Contractor			
Preconstruction Conference Checklist			
Copy of Building Permit/HARB Review (if needed)			
Rehabilitation Schedule			

	DATE REQUESTED	DATE COMPLETED	INITIALS
CONSTRUCTION MONITORING			
Notice to Proceed			
Progress Meeting Checklists			
Safe Work Practices Checklist (if pre-1978)			
Request for Payment #1			
Request for Payment #2			
Request for Payment #3			
Request for Payment #4			
Waiver of Lien to Date and Contractor's Affidavit			
Change Order #1			
Change Order #2			
Change Order #3			
Final Inspection Checklist			
Safe Work Practices Certification (if pre-1978)			
Clearance Inspection Report (if lead exists)			
Contractor's Punch List			
Certificate of Completion			
Re-occupancy Authorization (if applicable)			
Homeowner's Final Approval of Work			
Final Photo Set			
General Warranty			
Termite Contract			
WARRANTY AND EVALUATION			
Project Evaluation by Rehabilitation Staff			
Project Evaluation by Homeowner			
Warranty Punch List			
Cleaning and Safe Maintenance			



ENVIRONMENTAL REVIEW HOUSING REHAB

Categorically Excluded Subject to Section 58.5

Pursuant to 24 CFR 58.35(a)

<u>Project Information – Tier Review</u>
Project Name:
Grant Recipient:
Responsible Entity: (if different than grant recipient)
State/Local Identifier:
Preparer:
Certifying Officer Name and Title:
Consultant: (if applicable)
Direct Comments to:
Project Location:
Proposed Project Description:
Maximum number of units addressed by this tiered review:
Level of Environmental Review Determination:

Funding Information

Grant Number	HUD Program	Funding Amount

Estimated Total HUD Funded Amount:
Estimated Total Project Cost:

Compliance with 24 CFR 50.4, 58.5 and 58.6 Laws and Authorities

Record below the compliance or conformance determination for each statute, executive order or regulation. Provide credible, traceable and supportive source documentation for each authority. Where applicable, complete the necessary reviews or consultations and obtain or note applicable permits of approval. Clearly note citations, dated/names/titles of contacts and page references. Attach additional documentations as appropriate.

Compliance Factors: Statutes, Executive Orders and Regulations listed at 24 CFR 58.5 and 58.6	Are Formal compliance steps or mitigation required?	Compliance Determinations
Statutes, Executive Orders, and Regulations listed at 24 CFR 50.4 & 58.6		
Airport Hazards 24 CFR Part 51 Subpart D	Yes No — —	
Coastal Barrier Resources Coastal Barrier Resources Act, as amended by the Coastal Barrier Improvement Act of 1990 [16 USC 3501}	Yes No — —	
Flood Insurance Flood Disaster Protection Act of 1973 and National Flood Insurance Reform Act of 1994 [42 USC 4001-4128 and 42 USC 5154a]	Yes No — —	Conducted in (Tier 2)

Statutes, Executive Orders and Regulations listed at 24 CFR 50.4 & 58.5

Tier 1

Clean Air <i>Clean Air Act, as amended, particularly section 176 (c) & (d); 40 CFR Parts 6, 51, 93</i>	Yes No — —	
Coastal Zone Management <i>Coastal Zone Management Act, sections 307 (c) & (d)</i>	Yes No — —	
Endangered Species <i>Endangered Species Act of 1973, particularly section 7; 50 CFR Part 402</i>	Yes No — —	
Farmlands Protection <i>Farmlands Protection Policy Act of 1981, particularly sections 1504(b) and 1541; 7 CFR Part 658</i>	Yes No — —	
Noise Abatement and Control <i>Noise Control Act of 1972, as amended by the Quiet Communities Act of 1978; 24 CFR Part 51 Subpart B</i>	Yes No — —	Conducted in Tier 2 <i>HUD encourages noise attenuation measures for rehabilitation when replacing windows, doors or siding.</i>
Sole Source Aquifers <i>Safe Drinking Water Act of 1974, as amended, particularly section 1424(e); 40 CFR Part 149</i>	Yes No — —	
Wetlands Protection <i>Executive Order 11990 particularly sections 2 and 5</i>	Yes No — —	
Environmental Justice <i>Executive Order 12898</i>	Yes No — —	

Tier 2		
<p align="center">Statutes, Executive Orders and Regulations listed at 24 CFR 50.4 & 58.5</p> <p align="center">Specific review must be completed once applications are received for each property.</p>		
Contamination and Toxic Substances <i>24 CFR Part 50.3(i) & 58.5 (i)(2)</i>	Yes No — —	
Explosive and Flammable Hazards <i>24 CFR part 51 Subpart C</i>	Yes No — —	
Floodplain Management <i>Executive Order 11988, particularly section 2(a); 24 CFR Part 55</i>	Yes No — —	
Historic Preservation National Historic Preservation Act of 1966, particularly sections 106 and 110; 36 CFR Part 800	Yes No — —	
Noise Abatement and Control <i>Noise Control Act of 1972, as amended by the Quiet Communities Act of 1978; 24 CFR Part 51 Subpart B</i>	Yes No — —	<i>HUD encourages noise attenuation measures for rehabilitation when replacing windows, doors or siding.</i>
Field Inspections: (date and completed by)		
Summary of Findings and Conclusions: 		

Mitigation Measures and Conditions [40 CFR 1505.2(e)]

Summarize below all Mitigation measures adopted by the Responsible Entity to reduce, avoid or eliminate adverse environmental impacts and to avoid non-compliance or non-conformance the above-listed authorities and factors. These measures/conditions must be incorporated into project contracts, development agreements and other relevant documents. The staff responsible for implementing and monitoring mitigation measures should be clearly identified in the mitigation Plan.

Law, Authority or Factor	Mitigation Measure
Flood Disaster Protection Act	Secure flood insurance on the property
Floodplain Protection	Elevate building or incorporate measures to reduce flood damage, as required.
Historic Preservation	Consult with the PA State Historic Preservation Officer on No Adverse and Adverse Effect actions.

Determination:

___ There are no extraordinary circumstances which would require completion of an Environmental Assessment, and this project may remain Categorically Excluded Subject to; or

___ Extraordinary circumstances exist and this project may result in significant environmental impact. This project requires preparation of an Environmental Assessment (EA)

Preparer Signature:	Date:
Name/Title/Organization:	
Responsible Entity/Agency Official Signature:	Date:
Name/Title:	

This original, signed document and related supporting material must be retained on file by the Responsible Entity in an Environmental Review Record (ERR) for the activity/project (ref: 24 CFR 58.38) and in accordance with recordkeeping requirements for the HUD program(s).

Tier 1 Review

During the Tier 1 review properties to be rehabilitated have not been identified, therefore you are not able to meet compliance with Flood Insurance, Historic Preservation, Floodplain Management, Explosive and Flammable Hazards, and Contamination and Toxic Substances. Instead, the Tier 1 for these compliance areas should establish the policy, standards, or processes to be followed in the Tier II and include a plan to address mitigation measures that will be undertaken.

1. You may now publish or post your Notice.
2. When comment period expires forward RROF with a copy of the notice to DCED for approval.

The Release of Funds

In a tiered environmental review, grantees publish a Finding of No Significant Impact (FONSI) and/or Notice of Intent to Request Release of Funds (NOI/RROF) following the completion of the Tier 1 review. Grantees do not republish these notices or submit additional Request for Release of Funds (RROF) following site-specific Tier 2 reviews. Tier 2 documentation remains in the grantee environmental review property file, and is subject to monitoring by DCED, failure to comply may result in the loss of project funding.

Tier 2 Review

When specific sites are selected for participation in a program, grantees must revisit the Tier 1 checklist(s) and conduct a focused evaluation of **all** compliance areas that were not adequately addressed during the Tier 1 review. For each site, create a “Tier 2 compliance checklist,” and compile all associated correspondence and documentation into a site environmental review record. **Final design, specifications or bidding may not begin for a site until all Tier 2 compliance areas for that site are complete.**

1. Properties are identified
2. Create individual files for each property
3. Copy the 58.5 checklist that was completed for Tier I, document compliance review conducted for Tier 2 and place in each individual property file, this process is completed for each property identified to be rehabilitated.

In cases where a particular site-specific activity does not conform to the limits established in the broad-level review, the broad-level review cannot be employed for that site. For example, sites that are outside the defined geographic boundaries, do not fit within the defined protocols for a particular law or authority, or involve activities that are not part of the project description for the broad-level review will require a new environmental review, separate from the tiered review

Tier 2 checklist is completed by achieving compliance with the regulations that were not satisfied during the Tier I review (Historic Preservation, Floodplain Management, Explosive and Flammable Hazards, Contamination/Toxic Substances, Flood Insurance and possibly Noise Attenuation).



STATE HISTORIC PRESERVATION OFFICE (SHPO) REVIEW PROCESS AND FORMS

State and federal laws require all projects receiving federal or state funds or permits that have the potential to effect historic or archaeological resources must be reviewed by the State Historic Preservation Office. The Pennsylvania Historic Preservation Office has a digital process for State Historic Preservation consultation.

Instructions for consultation and submission are provided at the following link:

- Directions on how to consult:
<https://pahistoricpreservation.com/shpo-environmental-reviewcontinuity-operations/>
- All submissions must include a project review form:
https://www.phmc.pa.gov/Preservation/About/Documents/SHPO%20Project%20Review%20Form_Digital%20Submission.

Contractor's Handbook

Foreword

Thank you for your interest in becoming one of our prequalified contractors. The successful operation and perceived value of this program reflects highly on the attitudes and skills of our partners and will always be a predominant factor for continued effectiveness.

The purpose of this document is to:

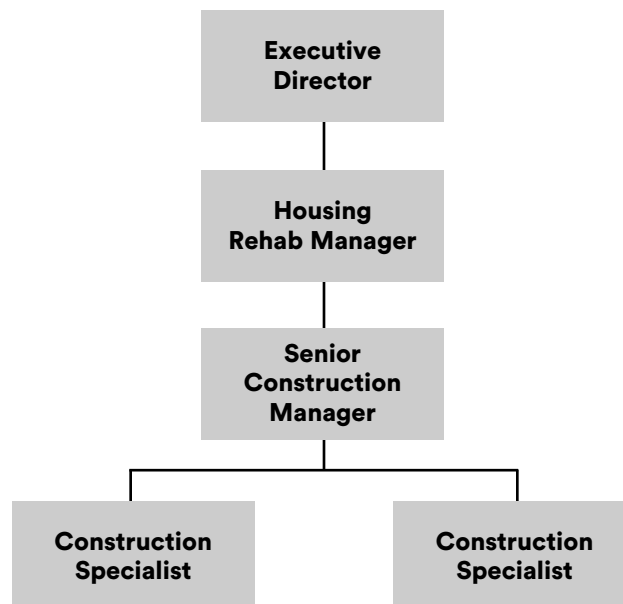
1. describe the procedures to be used while working on properties financed by our program
2. provide helpful information and familiarity with the forms used in the program

Recipients of this guidebook are expected to familiarize themselves with the criteria, procedures, and standards referenced herein. Becoming well versed on the information and documents within this guidebook, and gaining a true understanding (and appreciation) of how these materials are collectively used, will be of utmost value in facilitating a successful and valued program.

When new procedures are develop or changes are made to the current procedures, copies will be issued for inclusion in the handbook to all contractors on the bidder's list.

If you have any questions or concerns about our program, please contact:

Organization Chart/Contact Information



GENERAL INFORMATION AND CONTRACTOR REQUIREMENTS

Requirements to Enter Contractor Registry

Basic Requirements

To be eligible for participation in our program, a general contractor must provide:

- Contractor's Profile Form, providing information on company structure and financial ability to undertake projects
- Valid Pennsylvania Contractor's License
- Lead Contractor Certificate, if applicable (e.g. not required for properties built after 1978 or in de minimis cases)
- Federal Tax ID Number
- Necessary "tools of the trade" to include; contractor tools and equipment, a vehicle for work/job transportation with capacity to haul tools, equipment and possibly some construction materials and basic small office equipment including cell phone
- Basic communication/contact information consisting of phone numbers, fax numbers, and email address
- Evidence of acceptable past performance record on housing rehabilitation projects (if feasible)

Insurance Requirements

To participate in the program, general contractors must provide a certificate of insurance from the insurance carrier, which certifies the insured is the general contracting firm, having an absolute policy minimum cancellation of ten (10) days, and having insurance in force with at least the following types and amounts of coverage:

General Liability	Bodily Injury	Property Damage
Manufacturers and Contractors	\$300,000 ea. occurrence	\$100,000 ea. occurrence
Independent Contractors	\$300,000 ea. occurrence	\$100,000 ea. occurrence
Products, including Completed Ops	\$300,000 aggregate	\$100,000 aggregate
Auto-owned, hired, or leased	\$300,000 ea. person \$300,000 ea. occurrence	\$100,000 ea. occurrence
Workers' Compensation	As required	

The Certificate of Insurance must be presented to this office prior to contract award.

Lead Hazard Reduction

All work performed on lead-containing surfaces must conform to lead-safe practices, and be completed by workers who are either supervised by an EPA-certified abatement supervisor, or be performed by workers trained in lead-safe work practices. If abatement options are specified in the work write-up, then the contractor must hire an EPA-certified and state-licensed abatement contractor and submit proof of the current state license.

Contractor Selection Process

Project bids may be requested from a list of contractors maintained by the grantee who have expressed interest in bidding on local rehabilitation/renovation projects. Any contractor who would like to be added to this list or continue as potential contractor must provide a valid and acceptable certificate of insurance, proof of PA home improvement contractor registration and any other documents deemed necessary. The contractor must maintain an acceptable level of performance to remain on the list as a potential bidder/contractor. It is the homeowner's responsibility to select contractors from this list, so the necessary bid documents can be forwarded to them by the grantee or designated agent.

Contract Documents

1. **Work Write-Up:** This report will be prepared by the program's rehabilitation specialist, who performed the inspection. It identifies mandatory work items, which are included in the general contractor's proposal and other homeowner-requested improvements. The work is specified to the priority schedule below:
 - a. compliance with the International Residential Code (the most recently adopted edition)
 - b. energy conservation
 - c. general property improvements
2. **Bid Proposal Form:** Complete this form showing both the itemized and the total bid price for the work. The rehabilitation specialist will review the bid proposals.
3. **Program Rehabilitation Standards:** All work must conform to the PA UCC and any locally adopted codes in effect and our program rehabilitation standards. The contractor's workmanship and performance are subject to evaluation and acceptance by both the homeowner and construction specialist. Failure to maintain an acceptable performance level will result in debarment from future construction work.

Standard Procedures

Bidding

1. The general contractor is ultimately responsible for the bid and its content, which encompasses the entire project. Pre-bid site visits are required. This includes site familiarity, inspections, and review of the work write-up items, verification of measurements, and quantities, and further review of those items listed by a subcontractor within the bid document.
2. Return completed proposal to the program's rehabilitation specialist prior to the deadline established.
3. The homeowner reviews the proposal with the rehabilitation specialist for approval. Approval will be granted if all work items are included and the work proposed conforms to the program specifications and will properly address the deficiencies, and the cost is reasonable. The rehabilitation specialist may contact the general contractor on behalf of the homeowner to explain revisions to the proposal that should be worked out between the general contractor and the homeowner.
4. Should you need any assistance, please feel free to contact the rehabilitation specialist assigned to the project.

Construction Contract

When the loan is approved, the construction contract will be prepared. The contract is between the homeowner and the general contractor and will be executed in triplicate by both the homeowner and the general contractor at the pre-construction conference. The conference will permit the homeowner, general contractor, and rehabilitation specialist to review the work write-up and contract documents.

In addition to the construction contract, the following documents will be reviewed at the pre-construction conference:

Colors and Materials Selection

The homeowner's selection checklist supplements the contract documents. The purpose of the form is to list specific materials (colors, brand names, model numbers of fixtures, etc.) as chosen by the homeowner. The selection must be specified and forwarded to the rehabilitation specialist before the notice to proceed is issued.

Relocation and Site Protection

All contracts involving extensive interior lead hazard reduction will require relocation of the occupants and their belongings. When the structure is turned over to the control of the contractor, the contractor must remain fully responsible for all security on a twenty-four (24) hour basis and is encouraged to supplement the existing security as is prudent and reasonable. While working in vacant structures is more efficient, relocation carries significant daily cost. Therefore, the contractor must use their utmost effort to complete the lead hazard reduction activities as indicated by a successful clearance examination within the allocated time period. The contractor shall be responsible for all direct additional relocation costs.

Notice to Proceed

The Notice to Proceed is issued by the homeowner (through the rehabilitation specialist) to authorize the general contractor to begin work. The form also indicates when work is to start and when it is to be completed. The Notice to Proceed shall only be issued in jobs requiring lead hazard reduction after all custom-ordered materials (e.g. windows, doors, replacement cabinetry) has been staged either at the contractor's place of business or the job site. This allows the offsite relocation period to be minimized and the construction time period to be accelerated.

Permits

The general contractor is responsible for obtaining all required permits prior to starting construction and all required building department inspection signoffs during the rehabilitation.

Required Progress Inspections

The homeowner is responsible for monitoring the day-to-day progress of the job. The rehabilitation specialist will require notification for foundation, roofing, and pre-close inspections. The additional notifications will be outlined on the required progress inspections. Failure to contact the rehabilitation specialist for such an inspection may result in the general contractor being debarred from the contractor registry.

Payment Procedures

All jobs require a minimum of four (4) inspections and/or requests for payment of which may include the final inspection for completion and release of payment. When the general contractor has progressed far enough on the job, in accordance with the payout schedule in the construction contract, the homeowner is to request payment be made to the general contractor. The rehab specialist and homeowner must review and approve all requests for payment prior to release and payment of any funds.

Prior to any payment authorization, lien waivers or paid receipts will be collected from the general contractor and all subcontractors and/or suppliers furnishing material for the items on the job of which payment is requested. No "advance" money or authorized payment can be made for items which are not completed or properly installed (with the exception of "rough-in" installations of plumbing, electrical, or mechanical systems).

Clearance Examinations

In all jobs with a lead clearance specification, the contractor is responsible for cleaning the work sites to a level below the thresholds of 10 µg/sf on floors, 100 µg/sf on interior window sills, and 400 µg/sf on exterior window wells or troughs. The contractor is responsible for all additional cleaning operations required to attain the mandated clearance thresholds, as well as any additional cost assessed by the clearance technician for reaped dust and laboratory fees.

Warranty

The warranty provides an outline of the general contractor's obligation (under a one-year warranty period) for both workmanship and materials completed under the contract.

Contracting Norms

Resolving Disputes

The construction contract is between the homeowner and the general contractor. The staff will clarify misunderstandings and negotiate disputes between the homeowner and the general contractor. If a problem cannot be resolved in the field, the contract requires mediation and then binding arbitration.

Authorized Sanctions

The following is a list of sanctions that may be imposed based on reasonable cause:

1. **Temporary Denial:** denial of participation or conditions for participation in specific program
2. **Suspension:** immediate exclusion from participation based on adequate evidence of wrongdoing
3. **Debarment:** exclusion from participation for a period of time commensurate with the seriousness of the infraction
4. **Voluntary Exclusion:** voluntary exclusion by agreement with the program staff

Disqualification

If the contractor fails to comply with the program requirements, or in the judgment of the program staff does not perform satisfactory work, the contractor will be disqualified from the program and unable to secure a rehabilitation contract. The reasons for disqualification include, but are not limited to:

1. failure to perform work in a workmanlike manner or to use safe work practices during lead hazard reduction
2. failure to complete a contract or failure to fulfill the contractual obligations
3. repeated failure to adhere to an established time schedule for work completion
4. failure to honor a bid
5. failure to maintain a professional working relationship with the client and program staff
6. failure to comply with all the requirements of the construction contract and related documents
7. discrimination against, or denial of employment to any individual in the performance of any construction contract on the grounds of race, color, national origin, age, sex, handicap, belief, or political affiliation, in violation of the Title V and VII of the Civil Rights Act (42 USC 2000d) and the Age Discrimination in Employment Act (29 USC §621)
8. collusion between the homeowner, contractor, or other party involving kickback or other mutual efforts to fix a bid in violation of the Copeland Anti-Kickback Act (18 USC 847, as supplemented by 29 CFR, Part 3)

Equal Opportunity

The contractor shall take affirmative action to ensure employees and applicants for employment are treated without regard to their race, color, religion, sex, national origin, age, or disability. Such action shall include but is not limited to the following: employment, promotion, demotion, or transfer; recruitment or recruiting advertisement; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeships. The contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices setting forth provisions of this non-discrimination clause.

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, national origin, age, or disability.

The contractor shall comply with the provisions of Federal Executive Order 11246 of 1965, as amended by Federal Executive Order 11375 of 1967, and the Equal Employment Opportunity Act of 1972. The contractor may be requested to furnish information and reports by program staff, the Pennsylvania Department of Community and Economic Development, or the United States Department of Housing and Urban Development to ascertain compliance with such rules, regulations, and requests, or with this non-discrimination clause.

Conflict of Interest

In order to avoid conflicts of interest in awarding contracts or making purchases of property or service under this program:

1. No contract or procurement will be made with any organization, in which any person in an administrative capacity may benefit unless authorized by the Pennsylvania Department of Community and Economic Development, in conformity with applicable federal, state, and local laws.
2. No contract or procurement will be made to any organization, in which an immediate family member of a person in an administrative capacity with program may benefit unless authorized by the Pennsylvania Department of Community and Economic Development.
3. No employee or board shall solicit or accept gratuities, favors, or anything of monetary value from contractors, providers, or potential subcontractors.

Officer Visits

During regular business hours as established by the administering agency/grantee.

Bidders List Standards

Inactive Bidders List

A contractor shall be placed on the Inactive Bidders List as a result of the following:

1. failure to maintain insurance coverage
2. failure to complete awarded jobs within the agreed time span as stated in the contract
3. failure to make satisfactory progress towards completion of any contract in construction
4. if the contractor fails to respond to three (3) consecutive Invitations to Bid by either not bidding or providing an explanation to program staff for why they cannot bid
5. by mutual agreement between the contractor and program staff

Removal from Bidders List

1. if the contractor is on the Inactive Bidders list for a period in excess of one-hundred and eighty (180) days
2. if the contractor fails to complete, in a workmanlike manner, any specified work under any contract
3. if the contractor violates any terms or conditions established by the program staff
4. if the contractor violates any terms or conditions of the owner/contractor contract
5. if the firm fails to conduct itself in an ethical, polite manner in their dealings with homeowners, program staff, or other contractors

Contractor Debarment Policy

Policy

The program guidelines require financing contractors who are responsible and responsive.

Purpose

To establish debarment procedures for corporations, partnerships, or other entities, which do not fulfill their responsibilities to the homeowners or the housing rehabilitation program.

Typical Causes for Action

- unapproved substitution of materials, unreasonable and unexplained delays, or professional conduct on the party of the contractor or the employees
- shoddy work, unsatisfied complaints, failure to follow program procedures, lack of liability insurance, and acts deemed unethical or unprofessional
- discrimination, racial, or sexist sentiments, offering bribes or kickbacks, drugs or alcohol use on the job site

CONTRACTOR'S ACKNOWLEDGMENT

The undersigned contracting firm agrees to be considered for placement on the housing rehabilitation program's contractor registry. The firm will comply with the following conditions on all rehabilitation work performed on properties financed by the program:

1. To use applicable contract forms and documents as approved by the rehab inspector or program staff and made available for use and reference.
2. If work performed by the contractor is found to be unsatisfactory by rehab specialist or program staff or evidenced in contract relations between the contractor, homeowner, and other parties are found to be unsatisfactory, program staff may remove the contracting firm's name from the contractor registry.
3. All work shall be performed in accordance with the program's housing rehabilitation standards, dated ____/____/_____, and shall be subject to regularly scheduled inspections or at intervals deemed appropriate by rehab specialist or program staff.
4. Insurance Policy Coverage
5. Workers' Compensation Compliance
6. PA Home Improvement Contractor Registration
7. The contractor will abide by the Equal Opportunity provisions of the Civil Rights Act.

Construction Company/Contractor (please print)

Date

Signature of Authorized Representative:

Title:

Rehabilitation Program Client Manual

Program Overview

The housing rehabilitation program was created as a result of a neighborhood study conducted by program staff. The field inspection identified a very real threat in the form of urban decay, housing deterioration, and community disintegration in various neighborhoods.

Throughout our neighborhoods, the preservation of housing stock has become one of the primary objectives of citizens, elected officials, and staff professionals, who believe quality of housing is a primary source of neighborhood stability. The decline of housing stock can be attributed to three factors: strict loan underwriting standards leading to deferred maintenance, the minimum extra income of recent purchasers, and the increasing age of the housing stock.

The cost of new home construction is prohibitive to most low- and moderate-income families. The aim of the program is to preserve existing housing stock. The effort will ensure more adequate housing to low- and moderate-income families because it will help to preserve and stabilize existing communities.

Objectives of the Program

- to prevent moderately declining neighborhoods from further deterioration by providing rehabilitation funding and technical assistance
- to provide safe and efficient housing within the financial reach of area residents
- to stimulate broad interest in neighborhood preservation
- to partner with other programs for maximum impact
- to create a revolving pool of funds by using loans and deferred payment advances

Applying for Funding

Homeowners who meet the following criteria may apply for assistance:

- A. The property to be improved is owner-occupied.
- B. The property to be improved is either a single-family or two-family structures with a value less than 95% of the median sales price.
- C. The household's total gross income (all members of record) does not exceed eighty percent (80%) of the area median income. For Community Development Block Grant-Disaster Recovery housing component, a household's total gross income may exceed the 80% area median income, but cannot exceed 120% of the area median income.

Type of Work to be Completed

The program's goal is to create homes that are in substantial compliance with local building codes, governing the condition, and maintenance of the dwelling.

1. **Code Violation Items**
Improvements which ensure the health and safety of the occupants or assist in preventing neighborhood blight.
2. **Lead Hazard Reduction (required if found)**
The treatment of lead-based paint hazards is a required repair. For pre-1978 housing, the rehabilitation specialist is required to ensure lead hazards are evaluated and eliminated as part of the repair loan.
3. **Healthy Homes Matrix**
Many homes contain components that can hurt or poison the occupants. Program staff will analyze the home and make suggestions to create a safe, nonpoisonous home.
4. **Conservation Techniques**
Program staff will explore and recommend cost-effective items to reduce utility costs.

Examples of Required, Optional, and Prohibited Work

Required (repairs include, but are not limited to, the following):

- A. replacement of faulty private water and sewage systems
- B. repair or replacement of inefficient or dangerous heating systems
- C. repair or upgrading of electrical systems and fixtures
- D. replacement of defective plumbing, including defective sinks, tubs, and toilet facilities
- E. elimination of all lead-based paint hazards in the interior, exterior, and soil
- F. elimination of all serious insect and rodent infestations
- G. creation of safe ingress and egress
- H. Attic insulation per established code standards
- I. hardwired smoke detectors and carbon monoxide detectors
- J. removal of all blighting exterior conditions

Optional (items if needed and sufficient funding is present):

- A. appliance (when the existing is deteriorated, hazardous, and beyond repairs)
- B. wrought iron security bars
- C. burglar alarms

Ineligible (items include, but are not limited to, the following):

- A. Reimbursement for homeowner's personal labor
- B. Room additions and extensions (unless family size demands it)
- C. purchase, installation, and repair of furnishings
- D. demolition that does not improve the existing structure
- E. free standing concrete block walls
- F. interior wood paneling

- G. bookcases
- H. barbeque pits/outdoor fireplaces
- I. bath house, swimming pools, saunas, and hot tubs
- J. dumbwaiters
- K. flower boxes, greenhouses, and greenhouse windows
- L. kennels
- M. photo murals
- N. steam cleaning of exterior
- O. TV antennas
- P. tennis courts
- Q. valances, cornice boards, and drapes
- R. materials, fixtures, or equipment of a type or quality, which exceed the customarily used on properties of the same general type as the property to be rehabilitated

Applying for Assistance

1. Fill in all blanks on the application form. Contact the rehabilitation specialist, if assistance is needed.
2. Attach proof of income:
 - a. Four (4) bi-weekly pay stubs or eight (8) weekly pay stubs from the previous sixty (60) days
 - b. Self-employed people attach three (3) years of federal and state tax returns
 - c. Persons receiving Social Security benefits or Civil Service benefits:
 - i. benefit adjustment letter from Social Security Administration for this year
 - ii. benefit adjustment letter from Civil Service for this year
 - d. Person receiving pensions should attach 1099 Form from pension providers for previous year.
 - e. Persons receiving alimony or child support should attach verification of the child support or alimony received, in the form of a separation agreement or court order.
3. Attach copies of most recent bank and savings statements in addition to all asset balances such as 401K, IRA, etc.
4. Fill out the permission form to verify deposits, mortgages, and request a credit report.
5. Complete the Homeowner's Pre-Inspection Checklist.
6. Send the entire package to the program office.

Program staff will contact you within five (5) days to review the application and set up an appointment.

Next Steps

Inspection and Work Write-Up

1. **Work Write-Up.** While income and other verifications are being completed, a rehabilitation specialist (and a Lead Hazard Risk Assessor, if needed) will inspect the property and prepare a write-up of the work to be completed. The write-up will fix any code violations, energy requirements, and exterior blight. The homeowner will approve the final list of work to be completed before asking contractors to bid on the job.
2. **Three (3) Bids.** The homeowner with the assistance of the rehabilitation specialist will solicit at least three contractor proposals.
3. **Loan Approval.** For programs which provide assistance in the form of a loan. The completed application and acceptable bid will be reviewed and a loan approved or denied.

4. **Loan Settlement.** After the loan and conditions are accepted, the loan will be referred to an attorney for a title examination and preparation of the mortgage and note. The cost of the legal services will be included as part of the loan.
5. **Relocation.** Because of the extreme danger from very fine lead particles generated during renovation and lead hazard reduction, all major interior jobs involving lead hazard reduction will require off-site relocation of the family, all furnishings, and belongings. Depending on the size and extent of the job, relocation can range from one (1) week to ninety (90) days. During this time period, the contractor will be reasonable for securing the property. Relocation expenses (furniture moving, furniture storage, packing materials, etc.) are all expenses eligible for both grant and loan financing.
6. **Payments and Inspections.** After a portion of the work has been completed and an invoice is received and approved by the homeowner, the rehab specialist will inspect the work completed. If satisfactory, the payment will be paid by a check issued in the name of the contractor.

Finding and Hiring Contractors

1. Review the work write-up after it is completed by the housing rehabilitation specialist.
2. Decide what materials will be used and for how long they will be guaranteed.
3. Ask friends, co-workers, and the rehabilitation specialist for rehabilitation contractors to contact.
4. Check the contractor's reputation and background before an estimate is accepted by asking for references.
5. Obtain three (3) bids from different contractors using the exact same work write-up. Be careful of a very low estimate—it may signal an inexperienced contractor.

Speeding Up the Process

1. Complete the application including all attachments.
2. Call contractors every other day until they inspect the home and provide a bid.
3. Respond quickly to all requests for more paperwork.
4. Call program staff two weeks after returning the loan acceptance form and every two weeks until settlement.

Surviving Renovation

1. Renovation creates dirt and noise. Remove what you want to protect.
2. Your household routine may be disrupted by relocation if it is necessary due to hazardous material mitigation. This cannot be helped due to the Federal Regulations that protect families during dangerous lead and asbestos hazard reduction.
3. Accidents can happen; things can break. Pack all valuable and store them in a safe place outside of the worksite.
4. While work on the electrical, plumbing, or HVAC system, the home may be without service for several hours or days.
5. Delays can often cause the work to take longer. Products may be out of stock and must be ordered. The weather may be too severe to permit the contractor to work.
6. In the event of any confusion or communication problems with the contractor, contact the rehabilitation specialist for the facts. The workers do not always know the whole story.



CERTIFICATION OF COST REASONABLENESS
OF THE BID/PROPOSAL

1. AGENCY:

2. CONTRACTOR OF RECORD:

3. ADDRESS: (STREET, CITY, STATE, ZIP):

4. PHONE NUMBER:

5. HOMEOWNER(S):

6. STREET ADDRESS:

7. SITE ADDRESS:

8. HOMEOWNER'S PHONE NUMBER:

In my review of the proposal, the costs are fair and reasonable. In addition, all the proposed improvements conform to the program's guidelines and regulations. Finally, I certify the contractor was not debarred from participating on this contract.

NAME OF REHABILITATION SPECIALIST (PLEASE PRINT):

SIGNATURE OF REHABILITATION SPECIALIST:

DATE:



PRECONSTRUCTION CONFERENCE CHECKLIST

HOMEOWNER INFORMATION

1. HOMEOWNER:	2. DATE:
3. ADDRESS: (STREET, CITY, STATE, ZIP):	
4. PHONE NUMBER:	

CONTRACTOR INFORMATION

5. CONTRACTOR:	
6. ADDRESS: (STREET, CITY, STATE, ZIP):	
7. PHONE NUMBER:	8. FAX NUMBER:
9. EMAIL:	10. CONTRACT AMOUNT:
11. REHABILITATION SPECIALIST:	12. PHONE NUMBER:
13. FAX NUMBER:	14. EMAIL:

PRECONSTRUCTION CONFERENCE ATTENDEES

15. LIST PRECONSTRUCTION CONFERENCE ATTENDEES:
--

ITEMS COVERED IN THE PRECONSTRUCTION CONFERENCE

<input type="checkbox"/> 1. Final review of Work Write-Up	13. Documents required under the contract:
<input type="checkbox"/> 2. Review and completion of Owner Selection Sheet	<input type="checkbox"/> 13a. Building permit
<input type="checkbox"/> 3. Construction roles agreement	<input type="checkbox"/> 13b. Warranties
<input type="checkbox"/> 4. Relocation schedule (if necessary)	<input type="checkbox"/> 13c. Liability insurance
<input type="checkbox"/> 5. EPA Pamphlet Distributed	<input type="checkbox"/> 13d. Worker compensation
<input type="checkbox"/> 6. Removal of furnishings, breakables, valuables, and collectibles	<input type="checkbox"/> 14. Construction schedule
<input type="checkbox"/> 7. Correspondence procedures	<input type="checkbox"/> 15. Staging and interim clearance (if lead hazard reduction)
<input type="checkbox"/> 8. Designation of responsible individuals	<input type="checkbox"/> 16. Required progress inspection checklist
<input type="checkbox"/> 9. Change procedures (change orders, clarifications and contract modifications)	<input type="checkbox"/> 17. Affirmative action plans
<input type="checkbox"/> 10. Accident prevention program (include name of responsible supervisor)	<input type="checkbox"/> 18. Section 3 requirements
<input type="checkbox"/> 11. Payment procedure review	<input type="checkbox"/> 19. Initial Notice of Construction Mortgage
<input type="checkbox"/> 12. Program regulations and general conditions review	<input type="checkbox"/> 20. Notice of Construction Mortgage
	<input type="checkbox"/> 21. Final clearance requirements

Additional Items Discussed:

I/We the undersigned have on this date, ____/____/_____, participated in a preconstruction conference prior to the signing of a contract for the rehabilitation of my/our property.

I/We understand and acknowledge the terms of the contract, the explanation of the work to be performed by the contractor, the role of the contractor, the roles of the loan officer and the rehabilitation specialist, and my/our responsibility during the construction process.

I/WE understand and acknowledge the procedures to be followed for change orders, requests for payment and progress inspections.

I/WE understand and acknowledge that all work performed as noted on the executed construction contract must comply with standards and requirements prescribed within the Housing Rehabilitation Guidebook/Guidelines as adopted by the local authority having jurisdiction (AHJ).

I/We have been provided adequate explanation of our questions and further understand and acknowledge that the program and its employees, officers, directors, volunteers, agents, successors, and/or assigns, assume no responsibility for the work performed and do not warrant any work performed.

HOMEOWNER SIGNATURE:	DATE:
HOMEOWNER SIGNATURE:	DATE:
WITNESS SIGNATURE:	DATE:

I, the undersigned, hereby certify the preconstruction conference was held on this date between the homeowner(s), rehabilitation specialist, and the undersigned general contractor. I understand the procedures to be followed for change orders, requests for payment, and progress inspections. I understand and agree the work performed must meet the standards required by the program and established by the General Requirements, Work Write-Up, and Agency/Contractor Agreement.

GENERAL CONTRACTOR SIGNATURE:	DATE:
I, the undersigned, hereby certify that I participated in a preconstruction conference on this date.	
REHABILITATION SPECIALIST SIGNATURE:	DATE:



HUD CPD GREEN BUILDING RETROFIT CHECKLIST

The CPD Green Retrofit Checklist promotes energy efficiency and green building practices for residential retrofit projects. Grantees must follow the checklist in its entirety and apply all measures within the Checklist to the extent applicable to the particular building type being retrofitted.

The phrase "when replacing" in the Checklist refers to the mandatory replacement with specified green improvements, products, and fixtures only when replacing those systems during the normal course of the retrofit.

WATER AND ENERGY CONSERVATION MEASURES

- ☐ **Water-Conserving Fixtures**
Install or retrofit water conserving fixtures in any unit and common facility, use the following specifications: Toilets-- 1.28 gpf; Urinals-- 0.5 gpf; Showerheads-- 2.0 gpm; Kitchen faucets-- 2.0 gpm; and Bathroom faucets-- 1.5gpm. [gpf = gallons per flush; gpm = gallons per minute]
- ☐ **ENERGY STAR Appliances**
Install ENERGY STAR-labeled clothes washers, dishwashers, and refrigerators, if these appliance categories are provided in units or common areas.
- ☐ **Air Sealing: Building Envelope**
Seal all accessible gaps and penetrations in the building envelope. If applicable, use low VOC caulk or foam.
- ☐ **Insulation: Attic** *(if applicable to building type)*
For attics with closed floor cavities directly above the conditioned space, blow in insulation per manufacturer's specifications to a minimum density of 3.5 Lbs. per cubic foot (CF). For attics with open floor cavities directly above the conditioned space, install insulation to meet or exceed IECC levels.
- ☐ **Insulation: Flooring** *(if applicable to building type)*
Install ≥ R-19 insulation in contact with the subfloor in buildings with floor systems over vented crawl spaces. Install a 6-mil vapor barrier in contact with 100% of the floor of the crawl space (the ground), overlapping seams and piers at least 6 inches.
- ☐ **Duct Sealing** *(if applicable to building type)*
In buildings with ducted forced-air heating and cooling systems, seal all penetrations of the air distribution system to reduce leakage in order to meet or exceed ENERGY STAR for Homes' duct leakage standard.
- ☐ **Air Barrier System**
Ensure continuous unbroken air barrier surrounding all conditioned space and dwelling units. Align insulation completely and continuously with the air barrier.
- ☐ **Radiant Barriers: Roofing**
When replacing or making a substantial repair to the roof, use radiant barrier sheathing or other radiant barrier material; if economically feasible, also use cool roofing materials.
- ☐ **Windows**
When replacing windows, install geographically appropriate ENERGY STAR rated windows.
- ☐ **Sizing of Heating and Cooling Equipment**
When replacing, size heating and cooling equipment in accordance with the Air Conditioning Contractors of America (ACCA) Manuals, Parts J and S, or 2012 ASHRAE Handbook--HVAC Systems and Equipment or most recent edition.
- ☐ **Domestic Hot Water Systems**
When replacing domestic water heating system(s), ensure the system(s) meet or exceed the efficiency requirements of ENERGY STAR for Homes' Reference Design. Insulate pipes by at least R-4.
- ☐ **Efficient Lighting: Interior Units**
Follow the guidance appropriate for the project type: install the ENERGY STAR Advanced Lighting Package (ALP); OR follow the ENERGY STAR MFHR program guidelines, which require that 80% of installed lighting fixtures within units must be ENERGY STAR-qualified or have ENERGY STAR-qualified lamps installed; OR when replacing, new fixtures and ceiling fans must meet or exceed ENERGY STAR efficiency levels.
- ☐ **Efficient Lighting: Common Areas and Emergency Lighting** *(if applicable to building type)*
Follow the guidance appropriate for the project type: use ENERGY STAR-labeled fixtures or any equivalent high-performance lighting fixtures and bulbs in all common areas; OR when replacing, new common space and emergency lighting fixtures must meet or exceed ENERGY STAR efficiency levels. For emergency lighting, if installing new or replacing, all exit signs shall meet or exceed LED efficiency levels and conform to local building codes.
- ☐ **Efficient Lighting: Exterior**
Follow the guidance appropriate for the project type: install ENERGY STAR-qualified fixtures or LEDs with a minimum efficacy of 45 lumens/watt; OR follow the ENERGY STAR MFHR program guidelines, which require that 80% of outdoor lighting fixtures must be ENERGY STAR-qualified or have ENERGY STAR-qualified lamps installed; OR when replacing, install ENERGY STAR compact fluorescents or LEDs with a minimum efficacy of 45 lumens/watt.

INDOOR AIR QUALITY

- ☐ **Air Ventilation: Single Family and Multifamily (three stories or fewer)**
Install an in-unit ventilation system capable of providing adequate fresh air per ASHRAE 62.2 requirements.
- ☐ **Air Ventilation: Multifamily (four stories or more)**
Install apartment ventilation systems that satisfy ASHRAE 62.2 for all dwelling units and common area ventilation systems that satisfy ASHRAE 62.1 requirements. If economically feasible, consider heat/energy recovery for 100% of corridor air supply.
- ☐ **Composite Wood Products that Emit Low/No Formaldehyde**
Composite wood products must be certified compliant with California 93120. If using a composite wood product that does not comply with California 93120, all exposed edges and sides must be sealed with low-VOC sealants.
- ☐ **Environmentally Preferable Flooring**
When replacing flooring, use environmentally preferable flooring, including the FloorScore certification. Any carpet products used must meet the Carpet and Rug Institute's Green Label or Green Label Plus certification for carpet, pad, and carpet adhesives.
- ☐ **Low/No VOC Paints and Primers**
All interior paints and primers must be less than or equal to the following VOC levels: Flats--50 g/L; Non-flats--50 g/L; Floor--100 g/L. [g/L = grams per liter; levels are based on a combination of the Master Painters Institute (MPI) and GreenSeal standards.]
- ☐ **Low/No VOC Adhesives and Sealants**
All adhesives must comply with Rule 1168 of the South Coast Air Quality Management District. All caulks and sealants must comply with regulation 8, rule 51, of the Bay Area Air Quality Management District.
- ☐ **Clothes Dryer Exhaust**
Vent clothes dryers directly to the outdoors using rigid-type duct work.
- ☐ **Mold Inspection and Remediation**
Inspect the interior and exterior of the building for evidence of moisture problems. Document the extent and location of the problems, and implement the proposed repairs according to the Moisture section of the EPA Healthy Indoor Environment Protocols for Home Energy Upgrades.
- ☐ **Combustion Equipment**
When installing new space and water-heating equipment, specify power-vented or direct vent combustion equipment.
- ☐ **Mold Prevention: Water Heaters**
Provide adequate drainage for water heaters that includes drains or catch pans with drains piped to the exterior of the dwelling.
- ☐ **Mold Prevention: Surfaces**
When replacing or repairing bathrooms, kitchens, and laundry rooms, use materials that have durable, cleanable surfaces.
- ☐ **Mold Prevention: Tub and Shower Enclosures**
When replacing or repairing tub and/or shower enclosures, use non-paper-faced backing materials such as cement board, fiber cement board, or equivalent in bathrooms.
- ☐ **Integrated Pest Management**
Seal all wall, floor, and joint penetrations with low-VOC caulking or other appropriate sealing methods to prevent pest entry. [If applicable, provide training to multifamily buildings staff.]
- ☐ **Lead-Safe Work Practices**
For properties built before 1978, if the project will involve disturbing painted surfaces or cleaning up lead contaminated dust or soil, use certified renovation or lead abatement contractors and workers using lead-safe work practices and clearance examinations consistent with the more stringent of EPA's Renovation, Repair, and Painting Rule and HUD's Lead Safe Housing Rule.
- ☐ **Radon Testing and Mitigation (if applicable based on building location)**
For buildings in EPA Radon Zone 1 or 2, test for radon using the current edition of American Association of Radon Scientists and Technologists (AARST)'s Protocols for Radon Measurement in Homes Standard for Single-Family Housing or Duplexes, or AARST's Protocol for Conducting Radon and Radon Decay Product Measurements in Multifamily Buildings. To install radon mitigation systems in buildings with radon level of 4 pCi/L or more, use ASTM E 2121 for single-family housing or duplexes, or AARST's Radon Mitigation Standards for Multifamily Buildings. For new construction, use AARST's Reducing Radon in New Construction of 1 & 2 Family Dwellings and Townhouses, or ASTM E 1465.



NON-COLLUSION AFFIDAVIT

PROJECT/PROPERTY LOCATION (STREET ADDRESS):

CONTRACT/PROJECT NUMBER:

This Non-Collusion Affidavit is material to any contract/purchase order awarded pursuant to this bid. According to Section 4507 of Act 57 of May 15, 1998, 62 Pa. C.S., ss 4507, governmental agencies may require Non-Collusion Affidavits to be submitted with any bids.

By submittal of a bid for the above referenced project and execution of this affidavit, the following statements are acknowledged:

- The price(s) and amount of bid have been arrived at independently and without consultation, communication or agreement with any other Contractor, potential Contractor or bidder.
- Neither the price(s), amount of this bid nor the approximate price(s) or amount of bid, have been disclosed to any other company or person who may be a Contractor or potential Contractor, nor will they be disclosed prior to this bid opening.
- No attempt has been made, or will be made, to induce any company or person to refrain from bidding on this contract or submit a proposal higher than this bid, or to submit any intentionally high or noncompetitive bid or other form of complementary bid.
- This bid is made in good faith and not pursuant to any agreement or discussion with, or inducement from any company or person to submit a complementary or other noncompetitive bid.
- To my best knowledge, the Contractor, its affiliates, subsidiaries, officers, directors and employees are not currently under investigation by any governmental agency and have not in the last four years been convicted or found liable for any act prohibited by State or Federal law in any jurisdiction, involving conspiracy or collusion with respect to bidding on any public contract.
- The Contractor is not currently under suspension or review by the commonwealth, or any other Federal, State or Local Governmental entity. If certification cannot be made, a written explanation to support the inability of providing such shall be submitted with this bid.

LEGAL NAME OF CONTRACTOR OR CONSTRUCTION COMPANY (PLEASE PRINT):

AUTHORIZED REPRESENTATIVE (PLEASE PRINT):

TITLE:

I state that I am authorized to make this affidavit on behalf of the above name Contractor or Construction Company and am the person responsible for submitting this bid and price(s) and amount included therein.

SIGNATURE (AUTHORIZED REPRESENTATIVE):

NOTARY PUBLIC:

SWORN TO AND SUBSCRIBED

BEFORE ME THIS ____ DAY

OF _____, 20____

MY COMMISSION EXPIRES:

The following information is to provide (at minimum) an overall explanation of non-collusion and the role/responsibility of entities desiring to participate in the bidding process for pending projects as advertised.

- A Non-Collusion Affidavit must be executed by the person responsible (i.e; owner, employee, officer) for making decisions on price(s) and amount(s) quoted in the bid.
- Bid rigging and other efforts to restrain competition, and making false sworn statements in connection with the submission of bids are unlawful and may be subject to criminal prosecution. The person who signs the affidavit should be aware of all bidding requirements and protocol. By signing this document, she or he must be assured that each statement is true and accurate, making diligent inquiry, as necessary, of all other persons employed by or associated with the bidder as to their responsibilities for the preparation, approval and/or submission of the bid.
- In the case of a bid submitted by a joint venture, each party to the venture must be identified in the bid proposal, and an affidavit be submitted separately on behalf of each party.
- The term "complementary bid" as used in the affidavit, incorporates the meaning commonly associated with its' use in the bidding process. This includes the knowing submission of bid amounts higher than the bid from another Contractor, any intentionally high or noncompetitive bid, and any other form of bid submitted for the purpose of giving a false appearance of competition.
- Failure to submit an affidavit with the bid proposal in compliance with these instructions may result in disqualification of the bid.



NOTICE TO PROCEED

1. DATE:	2. CONTRACT / PROJECT NUMBER:
3. NAME OF CONTRACTOR/CONSTRUCTION COMPANY:	
4. CONTRACTOR/CONSTRUCTION COMPANY MAILING ADDRESS:	
5. PROJECT/PROPERTY LOCATION:	

Dear _____:

Pursuant to the Homeowner/Contractor Agreement signed and dated ____/____/_____, you are hereby notified to proceed with the work items, under the terms and conditions of the Agreement, for the project/property location as referenced above. Please be prepared to begin construction within _____ days from receipt of this Notice. If you are unable to meet this timeframe, please contact our office to discuss any pending issues and to establish an alternate start date.

Please sign both copies of this Notice, retain one copy for your records and return second copy to our office.

PROGRAM ADMINISTRATOR (ENTITY PROVIDING PROGRAM COMPLIANCE):	
NAME & TITLE OF AUTHORIZED REPRESENTATIVE (PLEASE PRINT)	
SIGNATURE OF AUTHORIZED REPRESENTATIVE:	DATE:
NAME OF CONTRACTOR OR CONSTRUCTION COMPANY REPRESENTATIVE (PLEASE PRINT):	
SIGNATURE OF CONTRACTOR OR CONSTRUCTION COMPANY REPRESENTATIVE:	DATE:



PROGRESS MEETING CHECKLIST

The rehabilitation specialist will schedule meetings with the contractor and the homeowner to discuss the following items:

- ☐ 1. Review of work in progress
- ☐ 2. Review of permit inspections
- ☐ 3. Field observations, problems, and decisions
- ☐ 4. Review of changes for compliance with contract
- ☐ 5. Maintenance of progress schedule
- ☐ 6. Corrective measures to regain project schedule
- ☐ 7. Planned progress during the following work period
- ☐ 8. Maintenance of quality and work standards
- ☐ 9. Effect of proposed changes on progress schedule and coordination
- ☐ 10. Other issues



CONTRACTOR GENERAL WARRANTY

1. NAME OF CONTRACTOR/CONSTRUCTION COMPANY:	2. PA LICENSE NUMBER:
3. CONTRACTOR/CONSTRUCTION COMPANY MAILING ADDRESS:	
4. SUBJECT PROPERTY LOCATION (STREET ADDRESS):	5. CONTRACT/PROJECT NUMBER:
6. MUNICIPALITY (CITY, BORO, TWP):	7. COUNTY:
8. SCOPE/DESCRIPTION OF WORK PERFORMED:	

COVERAGE PROVIDED

All improvements, materials, mechanicals, appliances, fixtures repaired, replaced or constructed to the dwelling at the above referenced property address are warranted (under normal use and exposure) to be free of defects in materials and workmanship for a period of twelve (12) months from warrantor's date of signature, ending ____ / ____ / _____. This warranty applies to the current property owner(s) and any successors or transferees.

PROPERTY OWNER'S OBLIGATION

The owner is responsible for normal maintenance of all improvements provided in this project. If a problem becomes evident which the owner believes is covered by this warranty, the owner shall contact the contractor and provide sufficient opportunity to inspect and resolve the matter.

CONTRACTOR'S OBLIGATION

The contractor is obligated to repair or replace any items or parts required to correct noted defects in material or workmanship.

WHAT IS NOT COVERED BY THIS GENERAL WARRANTY?

- Defects caused by or related to: (a) abuse, misuse, negligence or accident, (b) normal deterioration due to wear or exposure.
- Any items, repaired or replaced, which were not part of the contract or an approved change order thereto, or any undertaking, representation or warranty made by any other contractor or individual beyond those expressly set forth in this warranty.
- Damage caused by windstorm, tornado, lightning, hail and all other acts of nature, whether wholly or in part, or negligence of any party not directly associated with the above named Contractor/Construction Company

Information re: Major Materials
(i.e; Roofing, Windows, Siding) and Mechanicals (i.e; HVAC, Appliances, Fixtures)

Item (list type if applicable)	Manufacturer	Warranty/Product Info
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No

NAME OF CONTRACTOR OR CONSTRUCTION COMPANY REPRESENTATIVE (PLEASE PRINT):	TITLE:
EMAIL:	PHONE NUMBER:
SIGNATURE:	DATE: