



INVITATION TO BID
TOWN OF STRATFORD

The Town of Stratford and the Office of the Purchasing Agent, will receive SEALED BIDS for:

BID #2016-009 Rehabilitation of 379 and 389 Jackson Ave. (Bethlehem House I & II)
For Catholic Charities of Fairfield County
Due 11:00 AM March 2, 2016

Copies of specifications and bid forms are available on the town website www.townofstratford.com or at the Purchasing Agent's Office, 2725 Main St., Stratford, CT. Inquiries should be directed to the Purchasing Department at 203-385-4044.

Small, minority, women business enterprises and disabled persons are encouraged to participate.

A pre-bid walk-through will be held at 379 Jackson Ave. Stratford, Ct. on February 18 at 3:00 pm.

Attention is called to the fact that this program is being funded through the Federal Community Development Block Grant Program and, as such, not less than the minimum salaries and wages, as set forth in the Bid Documents, must be paid on this project. Please note that the project is subject to both State of Connecticut and Federal prevailing wage rates and all OSHA 10 requirements. All bidders must certify that they are eligible to bid on the project, and that they are not excluded from Federal Procurement or Non-Procurement Programs.

Michael Bonnar, Purchasing Agent

PROJECT MANUAL

for

Moderate Rehabilitation

at

Bethlehem House I & II

379 & 389 Jackson Avenue

Stratford, CT 06615

Bid No. 2016-009

CD Project Nos: 4009 & 4108

February 12, 2016

Funded by the federal
Community Development Block Grant Program

Grantee: Town of Stratford
Subrecipient: Catholic Charities of Fairfield County

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379 Jackson Avenue (Bethlehem House I)

Unit # 1

Unit # 2

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Unit # 4

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Unit # 2

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Environmental Specifications: Asbestos Remediation/Mitigation

Catholic Charities of Fairfield County – Bethlehem House I & II Rehabilitation
Stratford, CT

TO BE PUBLISHED: FEBRUARY 12, 2016

ADVERTISEMENT FOR BID (#2016-009)

Sealed bids for the **rehabilitation of 379 and 389 Jackson Avenue (Bethlehem House I & II), Stratford, CT** for Catholic Charities of Fairfield County, Inc. will be received at Stratford Town Hall, 2725 Main Street, Stratford, CT, Room 202, until **11:00 a.m., March 2, 2016**, at which time all bids will be publicly opened and read aloud in the Council Chambers at Stratford Town Hall, 2725 Main Street, Stratford, CT.

The scope of work involves the moderate rehabilitation of seven units located at 379 and 389 Jackson Avenue, referred to as Bethlehem House I and II. Specifically the rehabilitation will result in the conversion and renovation of seven units to nine units in an effort to help transition the units from transitional to permanent supportive housing for the homeless.

The instructions to Bidders, Bid Form, Contract Documents, Plans and Specifications, and Forms of Bid Bonds and Performance Bonds may be examined and obtained at www.townofstratford.com by clicking on the “Current Bid Invitations” link under the “Things to Know” section of the homepage. All addenda will be posted on the www.townofstratford.com website up to 48 hours before the bid opening, and it is the contractor’s responsibility to check the website often for addenda.

A pre-bid and walk-through for General Contractors and Sub-Contractors will be held at 379 Jackson Avenue, Stratford, CT, 06615, on Thursday, February 18, 2016, at 3:00 p.m. All interested bidders should attend this meeting in order to clarify the scope of work and intent of bid documents. Whoever is not able to be present at the pre-bid will be held responsible for understanding the extent and meaning of the contract.

Each bidder shall be required to submit with their bid a *bid guarantee* equivalent to five (5) percent of the bid price. The bid guarantee may be a bid bond or certified check, payable to Catholic Charities of Fairfield County, Inc. If the bid guarantee is not submitted with the bid, Catholic Charities of Fairfield County, Inc. shall reject the bid at the time of the bid opening.

The successful bidder shall be required to furnish *performance* and *payment bonds* for 100 percent of the contract price. The surety must be a guarantee or surety company acceptable to Catholic Charities of Fairfield County, Inc. and licensed to provide sureties in the State of Connecticut. Individual sureties shall not be considered. All bonds – including guarantee – must be listed on the most recent IRS Circular 570.

Attention is called to the fact that this program is being funded through the Federal Community Development Block Grant Program and, as such, not less than the minimum salaries and wages, as set forth in the Bid Documents, must be paid on this project. Please note that the project is subject to both State of Connecticut and Federal prevailing wage rates and all OSHA 10 requirements. All bidders must certify that they are eligible to bid on the project, and that they are not excluded from Federal Procurement or Non-Procurement Programs.

Catholic Charities of Fairfield County – Bethlehem House I & II Rehabilitation
Stratford, CT

The successful bidder shall comply with Section 3 of the Housing and Urban Development Act of 1968, and the regulations of the Department of Housing and Urban Development issued thereunder, Employment Opportunities for Lower Income Persons in Connecticut with Assisted Projects, 24 CFR 135.

Catholic Charities of Fairfield County, Inc. is an equal opportunity employer, and conducts its business in accordance with all Federal, State, and local laws and regulations. Federal Order 11246 is applicable. Small, minority, women business enterprises and disabled persons are encouraged to participate.

Catholic Charities of Fairfield County, Inc. reserves the right to reject any or all bids, or to accept the lowest responsible bidder, and to waive any informalities, omissions, excess verbiage, or technical defects in the bidding if, in its opinion, it would be in the best interest to do so. No bid shall be withdrawn for a period of sixty (60) days subsequent to the opening of the bids without the consent of Catholic Charities of Fairfield County, Inc.

The Town of Stratford is an Equal Opportunity and Affirmative Action Employer.

Town of Stratford, Connecticut
Michael Bonnar
Purchasing Agent

Catholic Charities of Fairfield County – Bethlehem House I & II Rehabilitation
Stratford, CT

**TOWN OF STRATFORD
PURCHASING DEPARTMENT
STRATFORD, CONNECTICUT**

Standard Instructions, Conditions, and Reservations for Bids
on the
Bethlehem House I & II – Rehabilitation
379 & 389 Jackson Avenue
Stratford, Connecticut

Request for Contract #2016-009
CD Project Nos # 4009 & 4108

Catholic Charities of Fairfield County, Inc., through the Town of Stratford / Office of the Purchasing Agent, will receive SEALED BIDS for the **Bethlehem House I & II Rehabilitation Project, located at 379 & 389 Jackson Avenue, Stratford, Connecticut**, as outlined in the accompanying specifications, in accordance with the following instructions, conditions and reservations:

I. CLOSING DATE:

Bids will be received by the Office of the Purchasing Agent by 11:00 AM, March 2, 2016, at which time they will be publicly opened and read. All bidders are invited to attend this public opening in the Council Chambers, Town Hall, Stratford, Connecticut.

Any bid may be withdrawn prior to the above-scheduled time for receiving bids, or any authorized postponement thereof. Any bids received after the date and time specified SHALL NOT be considered.

B. INSTRUCTIONS:

Bids must be submitted on the enclosed bid forms. All forms must be filled out completely. Extra copies of bid forms and specifications are available at www.townofstratford.com. All bids must be addressed to the attention of the Purchasing Agent, sealed and with the appropriate bid number and closing date noted above. Bids may be mailed or submitted in person at the Office of the Purchasing Agent, Room 202, Town Hall, Stratford, Connecticut, 06615. **Bidders are hereby notified that: your name on the bid form and bid bond, and, if the contract is awarded to you, on the contract document, the performance bond, labor and materials bond and the insurance certificate must be identical to your name as it appears on your incorporation or organization papers on file in the Office of the Secretary of the State. Failure to heed this instruction may contribute to rejection of your bid.**

C. CONDITIONS:

Each bidder must provide a bid guarantee equivalent to five (5%) percent of the bid price. The bid guarantee shall consist of a firm commitment such as a bid bond, certified check, or other negotiable instrument accompanying the bid as assurance that the bidder will, upon acceptance of the bid, execute the contractual documents as required within the time specified.

The successful bidder will be required to post a 100% performance bond and a separate 100% payment bond. All bonds must be listed on the most recent IRS Circular 570. The successful bidder must furnish proof of adequate insurance coverage, with a carrier and in a form acceptable to the Catholic Charities of Fairfield County, Inc., as follows:

- a. Evidence of insurance, NAMING CATHOLIC CHARITIES OF FAIRFIELD COUNTY, INC. AS ADDITIONAL INSURED; and
- b. Holding Catholic Charities of Fairfield County, Inc. harmless from all claims and liability for damage for Bodily Injury, including Accidental Death, and for property damage which may arise from the performance of this contract;
- c. Amounts shall be not less than:
 - a. Liability for Bodily Injury, including Accidental Death, \$500,000.00 for any one person, and subject to the same limits, \$1,000,000.00 on account of each accident;
 - b. Liability for Property Damages, \$50,000.00 on account of any one accident;
 - c. Workmen's Compensation – in accordance with the laws of the State of Connecticut.

Failure or neglect on the part of the successful bidder to provide the required Insurance Certificate within two weeks of the date of notification may be considered by Catholic Charities of Fairfield County, Inc. as proof that the contractor is unable to fulfill the contract, and in this event, the award will be made to the next lowest bidder.

D. GENERAL BID INFORMATION:

Basis of Bid: All prices must include all costs involved in providing the services as outlined in the accompanying specifications, including labor, equipment and materials. No additional costs will be considered by the Town.

Method of Award: Award will be made to the lowest responsible bidder meeting the specifications and conditions of this Request for Bid.

Payment: Payment will be made upon acceptance of the completed work by an authorized representative of both Catholic Charities of Fairfield County, Inc. and the Town of Stratford.

Taxes: Since both Catholic Charities of Fairfield County, Inc. and the Town of Stratford are exempt from all taxes, no charges for taxes of any kind should be included in your bid or on any invoices to the Town.

Catholic Charities of Fairfield County – Bethlehem House I & II Rehabilitation
Stratford, CT

Sales Tax – The Contractor shall purchase all materials and supplies required for completion of the contract pursuant to regulations of the Connecticut Department of Revenue Services. Prices stated in the Bid shall not include any charge for any Sales or Use Taxes. This is a Federally Funded project and is Tax Exempt.

Permit Fees – The Contractor shall familiarize himself with and abide by all requirements of any/all permits to be issued in conjunction with the work required under this contract. The contractor shall be responsible for notifying any/all regulating agencies prior to work as described in each permit.

No permit fees are waived by the Owner unless otherwise stated

E. RESERVATIONS:

Catholic Charities of Fairfield County, Inc. may consider informal any bid not prepared and submitted in accordance with the provisions herein stated.

Catholic Charities of Fairfield County, Inc. reserves the right to reject any or all bids or to accept the lowest responsible bidder, and to waive any informalities, omission, excess verbiage, or technical defects in the bidding if, in its opinion, it would be in the best interest to do so.

No bidder may withdraw their bid within sixty (60) days after the actual date of the opening thereof.

F. SPECIFICATIONS:

Please see attached Specifications.

G. OTHER PROVISIONS:

All interested parties shall make arrangements to visit the site(s) prior to the submission of a bid in order to familiarize themselves with existing conditions. Failure to visit the site(s) shall not relieve the contractor of their responsibility under the terms of any subsequent contract.

Catholic Charities of Fairfield County, Inc. will hold a pre-bid meeting and walk-through for general contractors and subcontractors on Thursday, February 18, 2016, at 3:00 p.m. at 379 Jackson Avenue (Bethlehem House I). Contractors should gather in front of the dwelling prior to the walk-through.

Catholic Charities of Fairfield County, Inc. reserves the right to cancel any subsequent contract at any time should the quality of workmanship prove unsatisfactory. Ten (10) days notification by the Town shall be provided in the event of such cancellation.

H. PROPERTY TAX VERIFICATION:

In accordance with Connecticut law (Section 12-146b) payments will be withheld to contractors who provide services or products on Town / Federally funded project but who owe delinquent property taxes to the Town. Property taxes include taxes on personal property, real property and motor vehicles.

I. ELIGIBILITY TO BID:

The contractor shall certify that they are eligible to bid on this project and that they are not a party that is excluded from Federal procurement or non-procurement programs and from receiving Federal contracts. This certification shall also be required of any subcontractor that may be included on the project.

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**TOWN OF STRATFORD
PURCHASING DEPARTMENT
STRATFORD, CONNECTICUT**

BID FORM

**RE: Request for Bids #2016-009
CD Project Nos.: 4009 & 4108**

Due 11:00 AM, March 2, 2016

The undersigned hereby proposes to furnish all materials, labor and equipment, to perform all work necessary and required for the **Bethlehem House I & II Rehabilitation Project, located at 379 & 389 Jackson Avenue, Stratford, Connecticut**, in accord with the specifications as herein included.

The undersigned further understands and agrees that he is to furnish and provide all necessary material, machinery, plants, implements, tools, labor, services, skill and other items of whatever nature required, and to do and perform all the work necessary under the Contract, to complete the work in accord with drawings and specifications and any addenda thereto, and to accept in full compensation therefore the amount of the Base Bid stated, modified by such quantity or material additions or deletions, if any, as are necessary to complete the project with the funds available.

TOTAL BASE BID

Bethlehem House I & II Rehabilitation Project, the entire project for the Total Cost of

_____ Dollars (\$) .00).
Written figure

CONTRACT – The undersigned, if notified of the acceptance of this Proposal within thirty (30) days of the date set for receiving bids, agrees to execute a Contract in the form and manner set forth herein.

PERFORMANCE LABOR AND MATERIAL PAYMENTS BONDS – The undersigned agrees, if awarded the Contract, to execute and deliver to the Owner within ten (10) days after notification of such award, in addition to the above Contract, the appropriate and necessary bonds as herein referenced in the form and manner provided by the surety.

CONTRACTOR’S QUALIFICATIONS

To induce the making of this Contract, the Contractor represents to the Owner the following as evidence of contractor’s qualifications to perform the work herein specified.

1. How many years has your organization been in business under the name in which you proposed to execute this Contract? _____ Years.
2. If business was under a different name, give previous name. _____
3. On separate sheet, list major construction projects your organization has in progress, giving the name of the project, owner, architect, contract amount, percent complete and scheduled completion date.

State the total worth of work in progress and under contract.

4. What projects of character similar to that proposed has your present organization completed? Give information indicated by the following tabulations. Use an extra sheet of paper if necessary and include contact information (phone, fax, e-mail) for each Owner.

Name and Address of Owner/for work done	Description of Work	Approx. Amt. of Contract	Approx. Date Work was Done

5. Has your present organization ever failed to complete any work awarded to it? If so, state when, where and why.

6. Do you have, or can you procure, the necessary personnel, equipment, facilities and financial resources to immediately undertake and satisfactorily complete the work contemplated in the Contract? _____

SUBCONTRACTORS – The acceptance of subcontractors shall rest with the Owner and its decision shall be final. If the undersigned proposes to employ subcontractors, he shall attach a list of them to this document and it shall contain their name, address, and work/material to be furnished by them.

NON-COLLUSIVE BIDDING – By submission of this bid, each bidder and each person signing on behalf of any bidder certifies, and in a case of a joint bid, each party thereto certifies, as to its own organization, under penalty of perjury, that to the best of his knowledge and belief:

1. The prices in this bid have been arrived at independently without collusion, consultation, communication or agreement, for the purpose of restricting competition, as to any matter relating to such prices with any other bidder or with any competitor.
2. Unless otherwise required by law, the prices which have been quoted in this bid have not knowingly been disclosed by the bidder and will not knowingly be disclosed by the bidder, prior to opening, directly or indirectly to any other bidder or to any competitor; and
3. No attempt has been made or will be made by the bidder to induce any other person, partnership or corporation to submit or not to submit a bid for the purpose of restricting competition.

APPLICABLE LAWS – The contractor further represents and warrants that he is familiar with all Federal, State, and Municipal laws, ordinances, and regulations which in any way may affect the work of those employed therein.

BID SECURITY – The undersigned submits herewith, as bid security, a certified check, or a bid bond, properly filled in, signed and notarized by the undersigned and the Surety, in the amount of not less than five percent (5%) of the “Total Bid Price.” In case this proposal is accepted by the Owner and the undersigned refuses or neglects, within ten (10) calendar days of Notice of Award, to execute and deliver an agreement in the form provided herein, and to deliver executed performance and payment bonds in the amounts required and in the form prescribed herein, the amount of the bid security shall be forfeited and shall be paid to the Owner as liquidated damages.

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ELIGIBILITY – The contractor, by submitting this Bid Form hereby certifies that neither it (nor he or she) nor any person or firm who has an interest in the contractor’s firm is a person or firm ineligible to be awarded Government contracts by virtue of Section 3(a) of the Davis Bacon Act or 29 CFR 5.12 (a)(1) or to be awarded HUD contracts or participate in HUD programs pursuant to 24 CFR Part 24.

As stated in 24 CFR Part 24, the contractor certifies that it and its principals:

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

Where the contractor is unable to certify to any of the statements in this certification, they shall attach an explanation to this proposal.

COMPLETION – The undersigned agrees to start work within ten (10) calendar days after authorization to proceed with the contract; and **complete** the work **within ninety (90) calendar days** after authorization to proceed.

ADDENDA – The undersigned acknowledges receipt of the following Addenda and he agrees that he is bound by all Addenda whether or not listed herein:

Number , Dated: _____
Number , Dated: _____
Number , Dated: _____
Number , Dated: _____

ATTACHMENTS – Attached hereto is:

1. Proposed List of Subcontractors

Dated: _____, 2016

Bidder's Name: _____
(name of corporate entity and seal)

By: _____
(signature)

Name and Title: _____

Official Address _____

Telephone No.: _____

Fax No.: _____

Email: _____

Employer Federal ID No.: _____

<< END OF BID FORM >>

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**SUPPLEMENTARY GENERAL CONDITIONS
OF THE CONTRACT FOR CONSTRUCTION**

1. Liquidated Damages

As actual damages for any delay in completion of the work which the Contractor is required to perform under this Contract are impossible of determination, the Contractor and his Sureties shall be liable for and shall pay to the Owner the sum of One Hundred Dollars (\$100.00) as fixed, agreed and liquidated damages for each calendar day of delay from the dates specified in the Agreement Between Owner and Contractor, until such work is satisfactorily completed and accepted.

2. Guarantee Retainer

Five percent (5%) of the amount due at each Application for Payment will be withheld by the Owner until final completion of the project has been certified by the Owner's Representative.

3. Overhead & Profit Allowable for Change Order Work

For change order work to be executed by the General Contractor's own personnel, the Contractor will be permitted to mark up the change order proposal by a maximum total of 15% for both overhead and profit combined.

For change order work to be executed by a subcontractor to the General Contractor, the subcontractor will be permitted to mark up the change order proposal by a maximum total of 7.5% for both overhead and profit combined, and the General Contractor will be permitted to mark up the subcontractor's change order proposal by a maximum total of 7.5% for both overhead and profit combined.

4. Number of Contract Document Sets

The Owner will furnish the Contractor without charge four (4) copies of the Contract Documents, including Technical Specifications and Drawings. Additional copies requested by the Contractor will be furnished at cost.

5. Vandalism and Theft

The Contractor shall be solely responsible for damage, loss, or liability due to theft or vandalism during the construction period, including working hours, nights, weekends, and holidays. The Contractor's responsibility shall end on the date of the Project Engineer's certificate of final acceptance.

END OF SUPPLEMENTARY GENERAL CONDITIONS

**AMENDMENTS TO THE CONTRACT BETWEEN CATHOLIC CHARITIES OF
FAIRFIELD COUNTY, INC. AND CONTRACTOR**

The following clauses shall be incorporated into the preceding Contract between Catholic Charities of Fairfield County, Inc. and the Contractor:

Section A. Liquidated Damages Clause, Change Orders

In the event that any changes of whatever nature whatsoever are made to or upon this project, including but not limited to, changes in the terms, conditions, scope of the contract, or deviations from specifications therein, which were not previously approved by Catholic Charities of Fairfield County, Inc., the Contractor shall be solely responsible for any and all expenses thereof and shall indemnify and hold harmless Catholic Charities of Fairfield County, Inc. from and against any claim or demand arising out of or from such damages.

Section B. Compliance with Section A.

No changes in the terms, conditions, or scope of contract that increase the cost of the contract shall be made without the approval of Catholic Charities of Fairfield County, Inc. The Contractor's attention is directed to the following sections:

1. Definitions

- (a) Contractor means any individual or entity that performs work either as a subcontractor of contractor on this project.

2. Additional Non-Contracted Work

Any contractor or subcontractor who needs to perform work not included in the contract for proper completion of the project must immediately inform the Project Manager or his/her designee and/or Catholic Charities of Fairfield County, Inc. before work not included in the contract is commenced.

3. Liquidated Damages

This contract shall include a liquidated damages clause for violations of Section A.

Section C. Hold Harmless Clause

The Contractor agrees to indemnify and hold harmless both Catholic Charities of Fairfield County, Inc. and the Town of Stratford from any and all claims or demands for damages or injuries to either person or property which arise out of the performance of this contract.

END OF AMENDMENTS TO THE AGREEMENT BETWEEN OWNER AND CONTRACTOR

FEDERAL CONTRACT REQUIREMENTS

BID #2016-009

CD PROJECT NOS.: 4009 & 4108

CATHOLIC CHARITIES – BETHLEHEM HOUSE I & II REHABILITATION

This contract is being funded in whole or in part by the Town of Stratford using Federal funds from the U.S. Department of Housing and Urban Development (HUD) under the Community Development Block Grant Program. The Department of Community/Economic Development of the Town of Stratford is the appointed administering agency for the Town's Community Development Block Grant Program authorized to ensure compliance with all applicable Federal contract requirements. The following Federal contract requirements must be complied with by the Contractor and all Sub-Contractors in connection with the performance of work under this contract.

1. Wages and Salaries

Attention of Bidders is particularly called to the requirements concerning the payment of not less than the prevailing wage and salary rates specified in the Contract Documents and the conditions of employment with respect to certain categories and classifications of employees. (See Exhibits "A" through "F").

The rates of pay set forth within the Contract Documents are the minimum to be paid during the life of the Contract. **Please note that both Federal and State prevailing wages apply to this project.** It is therefore the responsibility of Bidders to inform themselves as to local labor conditions, such as the length of work day and work week, overtime compensation, health and welfare contributions, labor supply and prospective changes or adjustments of rates.

2. Federal Labor Standards

The Bidder is advised of the requirement under this Contract for compliance with the Federal Labor Standards Provisions including the "Anti-Kickback Act", Labor Standards for Ratios of Apprentices and Trainees to Journeymen and the Contract Work Hours and Safety Standards Act. (See Exhibit "B")

3. Implementation of Section 3 of the Housing and Urban Development Act of 1968

The work to be performed under this contract is on a project assisted under a program providing direct Federal financial assistance from the Department of Housing and Urban Development Act of 1968, as amended. Section 3 requires that to the greatest extent feasible opportunities for training and employment be given to lower income residents of the project area and contracts for work in connection with the project be awarded to business concerns which are located in, or owned in substantial part by persons residing

Catholic Charities of Fairfield County – Bethlehem House I & II Rehabilitation
Stratford, CT

in the area of the project. (See Exhibit "C")

Specifically, Section 3 of the Housing and Urban Development Act of 1968 applies to this contract if the amount of HUD assistance exceeds \$200,000 or the contract or subcontract exceeds \$100,000. The Contractor shall, to the maximum extent feasible, make a good faith effort to fill any job vacancies, provide opportunities for training and employment in connection with this contract to low income persons residing in the PMSA relevant to the project location. Where the preceding applies, contractors must comply with the following Section 3 Clause:

- A. The work to be performed under this contract is subject to the requirements of Section 3 of the Housing and Urban Development Act of 1968, as amended, 12 U.S.C. 1791u (Section 3). The purpose of Section 3 is to ensure that employment and other economic opportunities generated by HUD assistance or HUD-assisted projects covered by Section 3, shall, to the greatest extent feasible, be directed to low- and very low-income persons, particularly persons who are recipients of HUD assistance for housing. Section 3 eligible employees are those residents from the area who are at or below 80% of median based on household size.
- B. The parties to this contract agree to comply with HUD's regulations in 24 CFR Part 135, which implement Section 3. As evidenced by their execution of this contract, the parties to this contract certify that they are under no contractual or other impediment that would prevent them from complying with the Part 135 regulations.
- C. The Contractor agrees to send to each labor organization or representative of workers with which the Contractor has a collective bargaining agreement or other understanding, if any, a notice advising the labor organization or workers' representative of the Contractor's commitments under this Section 3 clause, and will post copies of the notice in conspicuous places at the work site where both employees and applicants for training and employment positions can see the notice. The notice shall describe the Section 3 preference shall set for the minimum number and job titles subject to hire, availability of apprenticeship and training positions, the qualifications for each; and the name and location of the person(s) taking application for each of the positions; and the anticipated date the work shall begin.
- D. The Contractor agrees to include this Section 3 clause in every subcontract subject to compliance with regulations in 24 CFR Part 135, and agrees to take appropriate action, as provided in an applicable provision of the subcontract or in this Section 3 clause, upon a finding that the subcontractor is in violation of the regulations in 24 CFR Part 135. The Contractor will not subcontract with any subcontractor where the Contractor has notice or knowledge that the subcontractor has been found in violation of the regulations in 24 CFR Part 135.
- E. The Contractor will certify that any vacant employment positions, including training positions, that are filled (1) after the Contractor is selected but before the contract is executed, and (2) with persons other than those to whom the regulations

of 24 CFR Part 135 require employment opportunities to be directed, were not filled to circumvent the Contractor's obligations under 24 CFR Part 135.

- F. To meet your Section 3 goals, you will be asked to provide an explanation of the process you use to hire employees as well as the number of new employees hired by you or your major subcontractors during this project. The goal is that 30% of the aggregate number of new hires be Section 3 eligible residents.
- G. Award of contracts to Section 3 eligible businesses also needs to be documented. The goal for Section 3 eligible businesses is 10% of the total contract cost. You will be asked to provide the number of contracts made to Section 3 eligible subcontractors, suppliers, or vendors during the course of this project, as well if any of these companies are minority/women/disadvantaged enterprises.

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

4. Patents/Copyrights

- a. The Contractor shall hold and save the Town and its officers, agents, servants, and employees harmless from liability of any nature or kind, including cost and expenses for, or on account of, any patented or unpatented invention, process, article, or appliance manufactured or used in the performance of the contract including its use by the Town unless otherwise specifically stipulated in the Contract Documents.
- b. License and/or Royalty Fees for the use of a process which is authorized by the Town must be reasonable, and paid to the holder of the patent, or his authorized licensee, direct by the Town and not by or through the Contractor.
- c. If the Contractor uses any design, device or materials covered by letters, patent or copyright, he shall provide for such use by suitable agreement with the Town of such patented or copyrighted design, device or material. It is mutually agreed and understood that, without exception, the contract prices shall include all royalties or costs arising from the use of such design, device or materials, in any way involved in the work. The Contractor and/or his Sureties shall indemnify and save harmless the Town of the project from any and all claims for infringement by reason of the use of such patented or copyrighted design, device or materials or any trademark or copyright in connection with work agreed to be performed under this contract, and shall indemnify the Town for any cost, expense or damage which it may be obliged to pay by reason of such infringement at any time during the prosecution of the work or after completion of the work.

5. Conflict of Interest

No employee, officer or agent of the Town of Stratford or subgrantee, shall participate in the selection, or in the award or administration of a contract supported by Federal funds if a conflict of interest real or apparent, would be involved. Such a conflict would arise when:

- (i) The employee, officer or agent,
- (ii) Any member of his/her immediate family,
- (iii) His or her partner, or
- (iv) An organization which employs, or is about to employ, any of the above has a financial or other interest in the firm selected for award. The Town's officers, employees or agents will neither solicit nor accept gratuities, favors or anything of monetary value from contractors, potential contractors, or parties to subagreements.

6. Inspection and Retention of Records

The Contractor shall allow for access by the Owner, HUD, the Comptroller General or any of their duly authorized representatives to any books, documents, papers, correspondence, construction drawings, receipts, vouchers, payrolls, and agreements with subcontractors which are duly pertinent to the Contract for the purpose of making audits, examinations, excerpts and transcripts. The Contractor shall preserve all such records for a period of three (3) years after the final payments hereunder.

The Contractor agrees to include in first-tier subcontracts under this contract a clause substantially the same as the paragraph above. "Subcontract," as used in this clause, excludes purchase orders not exceeding \$10,000.

The periods of access and examination in the above paragraphs for records relating to (1) appeals under the Disputes clause of this contract, (2) litigation or settlement of claims arising from the performance of this contract, or (3) costs and expenses of this contract to which the Town, HUD, or Comptroller General or any of their duly authorized representatives has taken exception shall continue until disposition of such appeals, litigation, claims, or exceptions.

7. Equal Employment Opportunity

Contractors must comply with Executive Order 11246 of September 24, 1965 entitled "Equal Employment Opportunity," as amended by Executive Order 11375 of October 13, 1967 and as supplemented in Department of Labor Regulation (41 CFR Part 60) (See Exhibit "D").

8. Affirmative Action Requirements

This contract is subject to all Federal and State Affirmative Action regulations. The contractor will be required to comply with those regulations. This includes the documentation listed below, and included within the contract.

- An Affirmative Action Policy Statement must be submitted to the municipality or their agent from each Contractor receiving funds in the amount of \$500,000 or less under the grant.
- For each contractor with a contract in excess of \$500,000, the contractor must submit an Affirmative Action Plan to the Connecticut Commission on Human Rights and Opportunities (CHRO) with a copy to the municipality or their agent. Contractors should forward a copy of CHRO's approval to the municipality or their agent.

9. Lobbying

- a. No Federal appropriated funds have been paid or will be paid, by or on behalf of the Contractor, to any person for influencing an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement;
- b. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, it will complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions; and
- c. The Contractor will require that the language of this paragraph (b) be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

10. Clean Air and Water (Applicable to Contracts in Excess of \$100,000)

- a. Definition. "Facility" means any building, plant, installation, structure, mine, vessel or other floating craft, location, or site of operations, owned, leased, or supervised by the Contractor or any subcontractor, used in the performance of the contract or any subcontract. When a location or site of operations includes more than one building, plant, installation, or structure, the entire location or site shall

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be deemed a facility except when the Administrator, or a designee, of the Environmental Protection Agency (EPA) determines that independent facilities are collocated in one geographical area.

- b. In compliance with regulations issued by the United States Environmental Protection Agency (EPA), 40 CFR Part 15, pursuant to the Clean Air Act, as amended ("Air Act"), 42 U.S.C. 7401, et seq., the Federal Water Pollution Control Act, as amended ("Water Act"), 33 U.S.C. 1251, et seq., and Executive Order 11738, the Contractor agrees to--
 1. Not utilize any facility in the performance of this contract or any subcontract which is listed on the EPA List of Violating Facilities pursuant to Part 15 of the regulations for the duration of time that the facility remains on the list;
 2. Promptly notify the Contracting Officer if a facility the Contractor intends to use in the performance of this contract is on the EPA List of Violating Facilities or the Contractor knows that it has been recommended to be placed on the list;
 3. Comply with all requirements of the Air Act and the Water Act, including the requirements of Section 114 of the Air Act and Section 308 of the Water Act, and all applicable clean air and clean water standards; and,
 4. Include or cause to be included the provisions of this clause in every subcontract, and take such action as HUD may direct as a means of enforcing such provisions.

11. Energy Efficiency

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

12. Termination for Cause and for Convenience (For Contracts in excess of \$10,000)

- a. The Town may terminate this contract in whole, or in part, whenever the Town determines that such termination is in its best interest. Any such termination shall be effected by delivery to the Contractor of a Notice of Termination specifying the extent to which the performance of the work under the contract is terminated, and the date upon which such termination becomes effective.
- b. If the performance of the work is terminated, either in whole or in part, the Town shall be liable to the Contractor for reasonable and proper costs resulting from such termination upon the receipt by the Town of a properly presented claim

setting out in detail: (1) the total cost of the work performed to date of termination less the total amount of contract payments made to the Contractor; (2) the cost (including reasonable profit) of settling and paying claims under subcontracts and material orders for work performed and materials and supplies delivered to the site, payment for which has not been made by the Town to the Contractor or by the Contractor to the subcontractor or supplier; (3) the cost of preserving and protecting the work already performed until the Town or assignee takes possession thereof or assumes responsibility therefor; (4) the actual or estimated cost of legal and accounting services reasonably necessary to prepare and present the termination claim to the Town; and (5) an amount constituting a reasonable profit on the value of the work performed by the Contractor.

- c. The Town will act on the Contractor's claim within _____ days (60 days unless otherwise indicated) of receipt of the Contractor's claim.

13. Default

- a. If the Contractor refuses or fails to prosecute the work, or any separable part thereof, with the diligence that will insure its completion within the time specified in this contract, or any extension thereof, or fails to complete said work within this time, the Town may, by written notice to the Contractor, terminate the right to proceed with the work (or separable part of the work) that has been delayed. In this event, the Town may take over the work and complete it, by contract or otherwise, and may take possession of and use any materials, equipment, and plant on the work site necessary for completing the work. The Contractor and its sureties shall be liable for any damage to the Town resulting from the Contractor's refusal or failure to complete the work within the specified time, whether or not the Contractor's right to proceed with the work is terminated. This liability includes any increased costs incurred by the Town in completing the work.
- b. The Contractor's right to proceed shall not be terminated or the Contractor charged with damages under this clause if--
 - 1. The delay in completing the work arises from unforeseeable causes beyond the control and without the fault or negligence of the Contractor. Examples of such causes include (i) acts of God, or of the public enemy, (ii) acts of the Town or other governmental entity in either its sovereign or contractual capacity, (iii) acts of another contractor in the performance of a contract with the Town, (iv) fires, (v) floods, (vi) epidemics, (vii) quarantine restrictions, (viii) strikes, (ix) freight embargoes, (x) unusually severe weather, or (xi) delays of subcontractors or suppliers at any tier arising from unforeseeable causes beyond the control and without the fault or negligence of both the Contractor and the subcontractors or suppliers; and

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2. The Contractor, within ___ days (10 days unless otherwise indicated) from the beginning of such delay (unless extended by the Town) notifies the Town in writing of the causes of delay. The Town shall ascertain the facts and the extent of the delay. If, in the judgment of the Town, the findings of fact warrant such action, time for completing the work shall be extended by written modification to the contract. The findings of the Town shall be reduced to a written decision.
- c. If, after termination of the Contractor's right to proceed, it is determined that the Contractor was not in default, or that the delay was excusable, the rights and obligations of the parties will be the same as if the termination had been for convenience of the Town.

14. Reports, Records and Data

The Contractor shall submit to the Town such schedule of quantities and costs, progress schedules, payrolls, reports, estimates, records and other data as the Town may request concerning work performed or to be performed under this contract.

15. Special Requirements

a. OSHA

Any contract awarded on or after July 1, 2009 requires any mechanic, laborer, or worker who performs work in a classification listed on the prevailing wage rate schedule on any public works project is required to complete a ten (10) hour federal OSHA safety and health course and provide proof of completion.

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EXHIBIT “A”

Federal Prevailing Wage and Salary Rates

General Decision Number: CT160007 01/08/2016 CT7

Superseded General Decision Number: CT20150007

State: Connecticut

Construction Type: Residential

County: Fairfield County in Connecticut.

RESIDENTIAL CONSTRUCTION PROJECTS (consisting of single family homes and apartments up to and including 4 stories).

Note: Under Executive Order (EO) 13658, an hourly minimum wage of \$10.15 for calendar year 2016 applies to all contracts subject to the Davis-Bacon Act for which the solicitation was issued on or after January 1, 2015. If this contract is covered by the EO, the contractor must pay all workers in any classification listed on this wage determination at least \$10.15 (or the applicable wage rate listed on this wage determination, if it is higher) for all hours spent performing on the contract in calendar year 2016. The EO minimum wage rate will be adjusted annually. Additional information on contractor requirements and worker protections under the EO is available at www.dol.gov/whd/govcontracts.

Modification Number	Publication Date
0	01/08/2016

CARP0210-004 05/04/2015

	Rates	Fringes
CARPENTER.....	\$ 31.45	23.54

ELEC0003-004 05/02/2013

Darien, Greenwich, New Canaan, Stamford and the portion of Norwalk lying West of Five Mile River

	Rates	Fringes
ELECTRICIAN.....	\$ 50.75	39.65

ELEC0488-006 06/01/2015

Bethel, Bridgeport, Brookfield, Danbury, Easton, Fairfield, Monroe, New Fairfield, Newtown, Norwalk, Redding, Ridgefield, Shelton, Sherman, Stratford, Trumbull, Weston, Westport and Wilton Townships

	Rates	Fringes
ELECTRICIAN.....	\$ 37.62	3%+23.00

ENGI0478-006 04/05/2015

Rates Fringes

POWER EQUIPMENT OPERATOR:

Backhoe/Excavator 2 cubic yards and over.....	\$ 37.23	23.05
Backhoe/Excavator under 2 cubic yards; Rubber Tire Backhoe/Excavator.....	\$ 36.49	23.05
Bulldozer (Rough Grade Dozer).....	\$ 35.20	23.05
Bulldozer Fine Grade.....	\$ 36.49	23.05
Combination Hoe and Loader..	\$ 35.51	23.05
Loader (3 cubic yards up to 7 cubic yards).....	\$ 35.20	23.05
Loader (7 cubic yards or over).....	\$ 37.55	23.05
Loader (under 3 cubic yards).....	\$ 34.03	23.05

a. PAID HOLIDAYS: New Year's Day, Good Friday, Memorial Day, Independence Day, Labor Day, Thanksgiving Day and Christmas Day, provided the employee works 3 days during the week in which the holiday falls, if scheduled, and if scheduled, the working day before and the working day after the holiday.

PAIN0011-012 06/01/2015

Rates Fringes

GLAZIER.....	\$ 35.08	19.35+a
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a. PAID HOLIDAYS: Labor Day and Christmas Day.

PAIN0011-016 06/01/2014

Rates Fringes

PAINTER: Brush and Roller.....	\$ 31.02	18.55
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* PLUM0777-005 06/01/2015

Rates Fringes

PLUMBER/PIPEFITTER (Including HVAC Pipe Installation).....	\$ 40.62	28.11
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ROOF0012-003 06/01/2015

Rates Fringes

ROOFER: Slate & Tile Roof.....	\$ 37.50	14.75+a
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a. PAID HOLIDAYS: July 4th, Labor Day and Christmas Day provided the employee is employed 15 days prior to the holiday.

SFCT0676-002 04/01/2015

Rates Fringes

SPRINKLER FITTER (Fire Sprinklers).....	\$ 41.37	20.37
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a. PAID HOLIDAYS: Memorial Day, July 4th, Labor Day, Thanksgiving Day and Christmas Day, provided the employee has been in the employment of a contractor 20 working days prior to any such paid holiday.

SHEE0038-003 07/01/2014

Rates Fringes

SHEET METAL WORKER, Includes HVAC Duct Installation.....	\$ 29.56	18.74
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SUCT2002-002 12/16/2008

Rates Fringes

CEMENT MASON/CONCRETE FINISHER...	\$ 17.89	0.00
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LABORERS

Common or General.....	\$ 13.13	4.24
Landscape.....	\$ 14.96	4.63

ROOFER, Excludes Slate, and Tile Roofs.....	\$ 23.39	7.87
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WELDERS - Receive rate prescribed for craft performing operation to which welding is incidental.

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Unlisted classifications needed for work not included within the scope of the classifications listed may be added after award only as provided in the labor standards contract clauses (29CFR 5.5 (a) (1) (ii)).

The body of each wage determination lists the classification and wage rates that have been found to be prevailing for the cited type(s) of construction in the area covered by the wage determination. The classifications are listed in alphabetical order of "identifiers" that indicate whether the particular rate is a union rate (current union negotiated rate for local), a survey rate (weighted average rate) or a union average rate (weighted union average rate).

Union Rate Identifiers

A four letter classification abbreviation identifier enclosed in dotted lines beginning with characters other than "SU" or "UAVG" denotes that the union classification and rate were

prevailing for that classification in the survey. Example: PLUM0198-005 07/01/2014. PLUM is an abbreviation identifier of the union which prevailed in the survey for this classification, which in this example would be Plumbers. 0198 indicates the local union number or district council number where applicable, i.e., Plumbers Local 0198. The next number, 005 in the example, is an internal number used in processing the wage determination. 07/01/2014 is the effective date of the most current negotiated rate, which in this example is July 1, 2014.

Union prevailing wage rates are updated to reflect all rate changes in the collective bargaining agreement (CBA) governing this classification and rate.

Survey Rate Identifiers

Classifications listed under the "SU" identifier indicate that no one rate prevailed for this classification in the survey and the published rate is derived by computing a weighted average rate based on all the rates reported in the survey for that classification. As this weighted average rate includes all rates reported in the survey, it may include both union and non-union rates. Example: SULA2012-007 5/13/2014. SU indicates the rates are survey rates based on a weighted average calculation of rates and are not majority rates. LA indicates the State of Louisiana. 2012 is the year of survey on which these classifications and rates are based. The next number, 007 in the example, is an internal number used in producing the wage determination. 5/13/2014 indicates the survey completion date for the classifications and rates under that identifier.

Survey wage rates are not updated and remain in effect until a new survey is conducted.

Union Average Rate Identifiers

Classification(s) listed under the UAVG identifier indicate that no single majority rate prevailed for those classifications; however, 100% of the data reported for the classifications was union data. EXAMPLE: UAVG-OH-0010 08/29/2014. UAVG indicates that the rate is a weighted union average rate. OH indicates the state. The next number, 0010 in the example, is an internal number used in producing the wage determination. 08/29/2014 indicates the survey completion date for the classifications and rates under that identifier.

A UAVG rate will be updated once a year, usually in January of each year, to reflect a weighted average of the current negotiated/CBA rate of the union locals from which the rate is based.

WAGE DETERMINATION APPEALS PROCESS

1.) Has there been an initial decision in the matter? This can be:

- * an existing published wage determination
- * a survey underlying a wage determination
- * a Wage and Hour Division letter setting forth a position on a wage determination matter
- * a conformance (additional classification and rate) ruling

On survey related matters, initial contact, including requests for summaries of surveys, should be with the Wage and Hour Regional Office for the area in which the survey was conducted because those Regional Offices have responsibility for the Davis-Bacon survey program. If the response from this initial contact is not satisfactory, then the process described in 2.) and 3.) should be followed.

With regard to any other matter not yet ripe for the formal process described here, initial contact should be with the Branch of Construction Wage Determinations. Write to:

Branch of Construction Wage Determinations
 Wage and Hour Division
 U.S. Department of Labor
 200 Constitution Avenue, N.W.
 Washington, DC 20210

2.) If the answer to the question in 1.) is yes, then an interested party (those affected by the action) can request review and reconsideration from the Wage and Hour Administrator (See 29 CFR Part 1.8 and 29 CFR Part 7). Write to:

Wage and Hour Administrator
 U.S. Department of Labor
 200 Constitution Avenue, N.W.
 Washington, DC 20210

The request should be accompanied by a full statement of the interested party's position and by any information (wage payment data, project description, area practice material, etc.) that the requestor considers relevant to the issue.

3.) If the decision of the Administrator is not favorable, an interested party may appeal directly to the Administrative Review Board (formerly the Wage Appeals Board). Write to:

Administrative Review Board
 U.S. Department of Labor
 200 Constitution Avenue, N.W.
 Washington, DC 20210

4.) All decisions by the Administrative Review Board are final.

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END OF GENERAL DECISION



EXHIBIT “B”

Federal Labor Standards Provisions

Applicability

The Project or Program to which the construction work covered by this contract pertains is being assisted by the United States of America and the following Federal Labor Standards Provisions are included in this Contract pursuant to the provisions applicable to such Federal assistance.

A. 1. (i) Minimum Wages. All laborers and mechanics employed or working upon the site of the work, will be paid unconditionally and not less often than once a week, and without subsequent deduction or rebate on any account (except such payroll deductions as are permitted by regulations issued by the Secretary of Labor under the Copeland Act (29 CFR Part 3), the full amount of wages and bona fide fringe benefits (or cash equivalents thereof) due at time of payment computed at rates not less than those contained in the wage determination of the Secretary of Labor which is attached hereto and made a part hereof, regardless of any contractual relationship which may be alleged to exist between the contractor and such laborers and mechanics. Contributions made or costs reasonably anticipated for bona fide fringe benefits under Section I(b)(2) of the Davis-Bacon Act on behalf of laborers or mechanics are considered wages paid to such laborers or mechanics, subject to the provisions of 29 CFR 5.5(a)(1)(iv); also, regular contributions made or costs incurred for more than a weekly period (but not less often than quarterly) under plans, funds, or programs, which cover the particular weekly period, are deemed to be constructively made or incurred during such weekly period.

Such laborers and mechanics shall be paid the appropriate wage rate and fringe benefits on the wage determination for the classification of work actually performed, without regard to skill, except as provided in 29 CFR 5.5(a)(4). Laborers or mechanics performing work in more than one classification may be compensated at the rate specified for each classification for the time actually worked therein: Provided, That the employer's payroll records accurately set forth the time spent in each classification in which work is performed. The wage determination (including any additional classification and wage rates conformed under 29 CFR 5.5(a)(1)(ii) and the Davis-Bacon poster (WH-1321) shall be posted at all times by the contractor and its subcontractors at the site of the work in a prominent and accessible, place where it can be easily seen by the workers.

(ii) (a) Any class of laborers or mechanics which is not listed in the wage determination and which is to be employed under the contract shall be classified in conformance with the wage determination. HUD shall approve an additional classification and wage rate and fringe benefits therefor only when the following criteria have been met:

(1) The work to be performed by the classification requested is not performed by a classification in the wage determination; and

(2) The classification is utilized in the area by the construction industry; and

(3) The proposed wage rate, including any bona fide fringe benefits, bears a reasonable relationship to the wage rates contained in the wage determination.

(b) If the contractor and the laborers and mechanics to be employed in the classification (if known), or their representatives, and HUD or its designee agree on the classification and wage rate (including the amount designated for fringe benefits where appropriate), a report of the action taken shall be sent by HUD or its designee to the Administrator of the Wage and Hour Division, Employment Standards Administration, U.S. Department of Labor, Washington, D.C. 20210. The Administrator, or an authorized representative, will approve, modify, or disapprove every additional classification action within 30 days of receipt and so advise HUD or its designee or will notify HUD or its designee within the 30-day period that additional time is necessary. (Approved by the Office of Management and Budget under OMB control number 1215-0140.)

(c) In the event the contractor, the laborers or mechanics to be employed in the classification or their representatives, and HUD or its designee do not agree on the proposed classification and wage rate (including the amount designated for fringe benefits, where appropriate), HUD or its designee shall refer the questions, including the views of all interested parties and the recommendation of HUD or its designee, to the Administrator for determination. The Administrator, or an authorized representative, will issue a determination within 30 days of receipt and so advise HUD or its designee or will notify HUD or its designee within the 30-day period that additional time is necessary. (Approved by the Office of Management and Budget under OMB Control Number 1215-0140.)

(d) The wage rate (including fringe benefits where appropriate) determined pursuant to subparagraphs (1)(ii)(b) or (c) of this paragraph, shall be paid to all workers performing work in the classification under this contract from the first day on which work is performed in the classification.

(iii) Whenever the minimum wage rate prescribed in the contract for a class of laborers or mechanics includes a fringe benefit which is not expressed as an hourly rate, the contractor shall either pay the benefit as stated in the wage determination or shall pay another bona fide fringe benefit or an hourly cash equivalent thereof.

(iv) If the contractor does not make payments to a trustee or other third person, the contractor may consider as part

of the wages of any laborer or mechanic the amount of any costs reasonably anticipated in providing bona fide fringe benefits under a plan or program, Provided, That the Secretary of Labor has found, upon the written request of the contractor, that the applicable standards of the Davis-Bacon Act have been met. The Secretary of Labor may require the contractor to set aside in a separate account assets for the meeting of obligations under the plan or program. (Approved by the Office of Management and Budget under OMB Control Number 1215-0140.)

2. Withholding. HUD or its designee shall upon its own action or upon written request of an authorized representative of the Department of Labor withhold or cause to be withheld from the contractor under this contract or any other Federal contract with the same prime contractor, or any other Federally-assisted contract subject to Davis-Bacon prevailing wage requirements, which is held by the same prime contractor so much of the accrued payments or advances as may be considered necessary to pay laborers and mechanics, including apprentices, trainees and helpers, employed by the contractor or any subcontractor the full amount of wages required by the contract. In the event of failure to pay any laborer or mechanic, including any apprentice, trainee or helper, employed or working on the site of the work, all or part of the wages required by the contract, HUD or its designee may, after written notice to the contractor, sponsor, applicant, or owner, take such action as may be necessary to cause the suspension of any further payment, advance, or guarantee of funds until such violations have ceased. HUD or its designee may, after written notice to the contractor, disburse such amounts withheld for and on account of the contractor or subcontractor to the respective employees to whom they are due. The Comptroller General shall make such disbursements in the case of direct Davis-Bacon Act contracts.

3. (i) Payrolls and basic records. Payrolls and basic records relating thereto shall be maintained by the contractor during the course of the work preserved for a period of three years thereafter for all laborers and mechanics working at the site of the work. Such records shall contain the name, address, and social security number of each such worker, his or her correct classification, hourly rates of wages paid (including rates of contributions or costs anticipated for bona fide fringe benefits or cash equivalents thereof of the types described in Section 1(b)(2)(B) of the Davis-bacon Act), daily and weekly number of hours worked, deductions made and actual wages paid. Whenever the Secretary of Labor has found under 29 CFR 5.5 (a)(1)(iv) that the wages of any laborer or mechanic include the amount of any costs reasonably anticipated in providing benefits under a plan or program described in Section 1(b)(2)(B) of the Davis-Bacon Act, the contractor shall maintain records which show that the commitment to provide such benefits is enforceable, that the plan or program is financially responsible, and that the plan or program has been

communicated in writing to the laborers or mechanics affected, and records which show the costs anticipated or the actual cost incurred in providing such benefits. Contractors employing apprentices or trainees under approved programs shall maintain written evidence of the registration of apprenticeship programs and certification of trainee programs, the registration of the apprentices and trainees, and the ratios and wage rates prescribed in the applicable programs. (Approved by the Office of Management and Budget under OMB Control Numbers 1215-0140 and 1215-0017.)

(ii) (a) The contractor shall submit weekly for each week in which any contract work is performed a copy of all payrolls to HUD or its designee if the agency is a party to the contract, but if the agency is not such a party, the contractor will submit the payrolls to the applicant sponsor, or owner, as the case may be, for transmission to HUD or its designee. The payrolls submitted shall set out accurately and completely all of the information required to be maintained under 29 CFR 5.5(a)(3)(i) except that full social security numbers and home addresses shall not be included on weekly transmittals. Instead the payrolls shall only need to include an individually identifying number for each employee (e.g., the last four digits of the employee's social security number). The required weekly payroll information may be submitted in any form desired. Optional Form WH-347 is available for this purpose from the Wage and Hour Division Web site at <http://www.dol.gov/esa/whd/forms/wh347instr.htm> or its successor site. The prime contractor is responsible for the submission of copies of payrolls by all subcontractors. Contractors and subcontractors shall maintain the full social security number and current address of each covered worker, and shall provide them upon request to HUD or its designee if the agency is a party to the contract, but if the agency is not such a party, the contractor will submit the payrolls to the applicant sponsor, or owner, as the case may be, for transmission to HUD or its designee, the contractor, or the Wage and Hour Division of the Department of Labor for purposes of an investigation or audit of compliance with prevailing wage requirements. It is not a violation of this subparagraph for a prime contractor to require a subcontractor to provide addresses and social security numbers to the prime contractor for its own records, without weekly submission to HUD or its designee. (Approved by the Office of Management and Budget under OMB Control Number 1215-0149.)

(b) Each payroll submitted shall be accompanied by a "Statement of Compliance," signed by the contractor or subcontractor or his or her agent who pays or supervises the payment of the persons employed under the contract and shall certify the following:

(1) That the payroll for the payroll period contains the information required to be provided under 29 CFR 5.5 (a)(3)(ii), the appropriate information is being maintained under 29 CFR 5.5(a)(3)(i), and that such information is correct and complete;

(2) That each laborer or mechanic (including each helper, apprentice, and trainee) employed on the contract during the payroll period has been paid the full weekly wages earned, without rebate, either directly or indirectly, and that no deductions have been made either directly or indirectly from the full wages earned, other than permissible deductions as set forth in 29 CFR Part 3;

(3) That each laborer or mechanic has been paid not less than the applicable wage rates and fringe benefits or cash equivalents for the classification of work performed, as specified in the applicable wage determination incorporated into the contract.

(c) The weekly submission of a properly executed certification set forth on the reverse side of Optional Form WH-347 shall satisfy the requirement for submission of the "Statement of Compliance" required by subparagraph A.3.(ii)(b).

(d) The falsification of any of the above certifications may subject the contractor or subcontractor to civil or criminal prosecution under Section 1001 of Title 18 and Section 231 of Title 31 of the United States Code.

(iii) The contractor or subcontractor shall make the records required under subparagraph A.3.(i) available for inspection, copying, or transcription by authorized representatives of HUD or its designee or the Department of Labor, and shall permit such representatives to interview employees during working hours on the job. If the contractor or subcontractor fails to submit the required records or to make them available, HUD or its designee may, after written notice to the contractor, sponsor, applicant or owner, take such action as may be necessary to cause the suspension of any further payment, advance, or guarantee of funds. Furthermore, failure to submit the required records upon request or to make such records available may be grounds for debarment action pursuant to 29 CFR 5.12.

4. Apprentices and Trainees.

(i) **Apprentices.** Apprentices will be permitted to work at less than the predetermined rate for the work they performed when they are employed pursuant to and individually registered in a bona fide apprenticeship program registered with the U.S. Department of Labor, Employment and Training Administration, Office of Apprenticeship Training, Employer and Labor Services, or with a State Apprenticeship Agency recognized by the Office, or if a person is employed in his or her first 90 days of probationary employment as an apprentice in such an apprenticeship program, who is not individually registered in the program, but who has been certified by the Office of Apprenticeship Training, Employer and Labor Services or a State Apprenticeship Agency (where appropriate) to be eligible for probationary employment as an apprentice. The allowable ratio of apprentices to journeymen on the job site in any craft classification shall not be greater than the ratio permitted to the contractor as to the entire work force under the registered program. Any worker listed on a payroll at an apprentice wage rate, who

is not registered or otherwise employed as stated above, shall be paid not less than the applicable wage rate on the wage determination for the classification of work actually performed. In addition, any apprentice performing work on the job site in excess of the ratio permitted under the registered program shall be paid not less than the applicable wage rate on the wage determination for the work actually performed. Where a contractor is performing construction on a project in a locality other than that in which its program is registered, the ratios and wage rates (expressed in percentages of the journeyman's hourly rate) specified in the contractor's or subcontractor's registered program shall be observed. Every apprentice must be paid at not less than the rate specified in the registered program for the apprentice's level of progress, expressed as a percentage of the journeymen hourly rate specified in the applicable wage determination. Apprentices shall be paid fringe benefits in accordance with the provisions of the apprenticeship program. If the apprenticeship program does not specify fringe benefits, apprentices must be paid the full amount of fringe benefits listed on the wage determination for the applicable classification. If the Administrator determines that a different practice prevails for the applicable apprentice classification, fringes shall be paid in accordance with that determination. In the event the Office of Apprenticeship Training, Employer and Labor Services, or a State Apprenticeship Agency recognized by the Office, withdraws approval of an apprenticeship program, the contractor will no longer be permitted to utilize apprentices at less than the applicable predetermined rate for the work performed until an acceptable program is approved.

(ii) **Trainees.** Except as provided in 29 CFR 5.16, trainees will not be permitted to work at less than the predetermined rate for the work performed unless they are employed pursuant to and individually registered in a program which has received prior approval, evidenced by formal certification by the U.S. Department of Labor, Employment and Training Administration. The ratio of trainees to journeymen on the job site shall not be greater than permitted under the plan approved by the Employment and Training Administration. Every trainee must be paid at not less than the rate specified in the approved program for the trainee's level of progress, expressed as a percentage of the journeyman hourly rate specified in the applicable wage determination. Trainees shall be paid fringe benefits in accordance with the provisions of the trainee program. If the trainee program does not mention fringe benefits, trainees shall be paid the full amount of fringe benefits listed on the wage determination unless the Administrator of the Wage and Hour Division determines that there is an apprenticeship program associated with the corresponding journeyman wage rate on the wage determination which provides for less than full fringe benefits for apprentices. Any employee listed on the payroll at a trainee rate who is not registered and participating in a training plan approved by

the Employment and Training Administration shall be paid not less than the applicable wage rate on the wage determination for the work actually performed. In addition, any trainee performing work on the job site in excess of the ratio permitted under the registered program shall be paid not less than the applicable wage rate on the wage determination for the work actually performed. In the event the Employment and Training Administration withdraws approval of a training program, the contractor will no longer be permitted to utilize trainees at less than the applicable predetermined rate for the work performed until an acceptable program is approved.

(iii) **Equal employment opportunity.** The utilization of apprentices, trainees and journeymen under 29 CFR Part 5 shall be in conformity with the equal employment opportunity requirements of Executive Order 11246, as amended, and 29 CFR Part 30.

5. Compliance with Copeland Act requirements. The contractor shall comply with the requirements of 29 CFR Part 3 which are incorporated by reference in this contract

6. Subcontracts. The contractor or subcontractor will insert in any subcontracts the clauses contained in subparagraphs 1 through 11 in this paragraph A and such other clauses as HUD or its designee may by appropriate instructions require, and a copy of the applicable prevailing wage decision, and also a clause requiring the subcontractors to include these clauses in any lower tier subcontracts. The prime contractor shall be responsible for the compliance by any subcontractor or lower tier subcontractor with all the contract clauses in this paragraph.

7. Contract termination; debarment. A breach of the contract clauses in 29 CFR 5.5 may be grounds for termination of the contract and for debarment as a contractor and a subcontractor as provided in 29 CFR 5.12.

8. Compliance with Davis-Bacon and Related Act Requirements. All rulings and interpretations of the Davis-Bacon and Related Acts contained in 29 CFR Parts 1, 3, and 5 are herein incorporated by reference in this contract

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

10. (i) Certification of Eligibility. By entering into this contract the contractor certifies that neither it (nor he or she) nor any person or firm who has an interest in the contractor's firm is a person or firm ineligible to be awarded Government contracts by virtue of Section 3(a) of the Davis-Bacon Act or 29 CFR 5.12(a)(1) or to be

awarded HUD contracts or participate in HUD programs pursuant to 24 CFR Part 24.

(ii) No part of this contract shall be subcontracted to any person or firm ineligible for award of a Government contract by virtue of Section 3(a) of the Davis-Bacon Act or 29 CFR 5.12(a)(1) or to be awarded HUD contracts or participate in HUD programs pursuant to 24 CFR Part 24.

(iii) The penalty for making false statements is prescribed in the U.S. Criminal Code, 18 U.S.C. 1001. Additionally, U.S. Criminal Code, Section 1 01 0, Title 18, U.S.C., "Federal Housing Administration transactions", provides in part: "Whoever, for the purpose of . . . influencing in any way the action of such Administration..... makes, utters or publishes any statement knowing the same to be false..... shall be fined not more than \$5,000 or imprisoned not more than two years, or both."

11. Complaints, Proceedings, or Testimony by Employees. No laborer or mechanic to whom the wage, salary, or other labor standards provisions of this Contract are applicable shall be discharged or in any other manner discriminated against by the Contractor or any subcontractor because such employee has filed any complaint or instituted or caused to be instituted any proceeding or has testified or is about to testify in any proceeding under or relating to the labor standards applicable under this Contract to his employer.

B. Contract Work Hours and Safety Standards Act. The provisions of this paragraph B are applicable where the amount of the prime contract exceeds \$100,000. As used in this paragraph, the terms "laborers" and "mechanics" include watchmen and guards.

(1) **Overtime requirements.** No contractor or subcontractor contracting for any part of the contract work which may require or involve the employment of laborers or mechanics shall require or permit any such laborer or mechanic in any workweek in which the individual is employed on such work to work in excess of 40 hours in such workweek unless such laborer or mechanic receives compensation at a rate not less than one and one-half times the basic rate of pay for all hours worked in excess of 40 hours in such workweek.

(2) **Violation; liability for unpaid wages; liquidated damages.** In the event of any violation of the clause set forth in subparagraph (1) of this paragraph, the contractor and any subcontractor responsible therefor shall be liable for the unpaid wages. In addition, such contractor and subcontractor shall be liable to the United States (in the case of work done under contract for the District of Columbia or a territory, to such District or to such territory), for liquidated damages. Such liquidated damages shall be computed with respect to each individual laborer or mechanic, including watchmen and guards, employed in violation of the clause set forth in subparagraph (1) of this paragraph, in the sum of \$10 for each calendar day on which such individual was required or permitted to work in excess of the standard workweek of 40 hours without payment of the overtime wages required by the clause set forth in subparagraph (1) of this paragraph.

(3) Withholding for unpaid wages and liquidated damages. HUD or its designee shall upon its own action or upon written request of an authorized representative of the Department of Labor withhold or cause to be withheld, from any moneys payable on account of work performed by the contractor or subcontractor under any such contract or any other Federal contract with the same prime contract, or any other Federally-assisted contract subject to the Contract Work Hours and Safety Standards Act which is held by the same prime contractor such sums as may be determined to be necessary to satisfy any liabilities of such contractor or subcontractor for unpaid wages and liquidated damages as provided in the clause set forth in subparagraph (2) of this paragraph.

(4) Subcontracts. The contractor or subcontractor shall insert in any subcontracts the clauses set forth in subparagraph (1) through (4) of this paragraph and also a clause requiring the subcontractors to include these clauses in any lower tier subcontracts. The prime contractor shall be responsible for compliance by any subcontractor or lower tier subcontractor with the clauses set forth in subparagraphs (1) through (4) of this paragraph.

C. Health and Safety. The provisions of this paragraph C are applicable where the amount of the prime contract exceeds \$100,000.

(1) No laborer or mechanic shall be required to work in surroundings or under working conditions which are unsanitary, hazardous, or dangerous to his health and safety as determined under construction safety and health standards promulgated by the Secretary of Labor by regulation.

(2) The Contractor shall comply with all regulations issued by the Secretary of Labor pursuant to Title 29 Part 1926 and failure to comply may result in imposition of sanctions pursuant to the Contract Work Hours and Safety Standards Act, (Public Law 91-54, 83 Stat 96). 40 USC 3701 et seq.

(3) The contractor shall include the provisions of this paragraph in every subcontract so that such provisions will be binding on each subcontractor. The contractor shall take such action with respect to any subcontractor as the Secretary of Housing and Urban Development or the Secretary of Labor shall direct as a means of enforcing such provisions.

EXHIBIT “C”

**Section 3 of the Housing and Urban Development
Act of 1968, as Amended
12 U.S.C. 1701 U (Section 3)**

ECONOMIC OPPORTUNITIES FOR LOW- AND VERY-LOW INCOME PERSONS
(Section 3 of the Housing and Urban Development Act of 1968)*

12 U.S.C. 1701u

**SEC. 3. ECONOMIC OPPORTUNITIES FOR
LOW- AND VERY LOW-INCOME
PERSONS.**

(a) FINDINGS.—The Congress finds that—

(1) Federal housing and community development programs provide State and local governments and other recipients of Federal financial assistance with substantial funds for projects and activities that produce significant employment and other economic opportunities;

(2) low- and very low-income persons, especially recipients of government assistance for housing, often have restricted access to employment and other economic opportunities;

(3) the employment and other economic opportunities generated by projects and activities that receive Federal housing and community development assistance offer an effective means of empowering low- and very low-income persons, particularly persons who are recipients of government assistance for housing; and

(4) prior Federal efforts to direct employment and other economic opportunities generated by Federal housing and community development programs to low- and very low-income persons have not been fully effective and should be intensified.

(b) POLICY.—It is the policy of the Congress and the purpose of this section to ensure that the employment and other economic opportunities generated by Federal financial assistance for housing and community development programs shall, to the greatest extent feasible, be directed toward low- and very low-income persons, particularly those who are recipients of government assistance for housing.

(c) EMPLOYMENT.—

(1) PUBLIC AND INDIAN HOUSING PROGRAM.—

(A) IN GENERAL.—The Secretary shall require that public and Indian housing agencies, and their contractors and subcontractors, make their best efforts, consistent with existing Federal, State, and local laws and regulations, to give to low- and very low-income persons the training and employment opportunities generated by development assistance provided pursuant to section 5 of the United States Housing Act of 1937, operating

assistance provided pursuant to section 9 of that Act, and modernization grants provided pursuant to section 14 of that Act.

(B) PRIORITY.—The efforts required under subparagraph (A) shall be directed in the following order of priority:

(i) To residents of the housing developments for which the assistance is expended.

(ii) To residents of other developments managed by the public or Indian housing agency that is expending the assistance.

(iii) To participants in Youthbuild programs receiving assistance under subtitle D of title IV of the Cranston-Gonzalez National Affordable Housing Act.

(iv) To other low- and very low-income persons residing within the metropolitan area (or nonmetropolitan county) in which the assistance is expended.

(2) OTHER PROGRAMS.—

(A) IN GENERAL.—In other programs that provide housing and community development assistance, the Secretary shall ensure that, to the greatest extent feasible, and consistent with existing Federal, State, and local laws and regulations, opportunities for training and employment arising in connection with a housing rehabilitation (including reduction and abatement of lead-based paint hazards), housing construction, or other public construction project are given to low- and very low-income persons residing within the metropolitan area (or nonmetropolitan county) in which the project is located.

(B) PRIORITY.—Where feasible, priority should be given to low- and very low-income persons residing within the service area of the project or the neighborhood in which the project is located and to participants in Youthbuild programs receiving assistance under subtitle D of title IV of the Cranston-Gonzalez National Affordable Housing Act.

(d) CONTRACTING.—

(1) PUBLIC AND INDIAN HOUSING PROGRAM.—

(A) IN GENERAL.—The Secretary shall require that public and Indian housing agencies, and their contractors and subcontractors, make their best efforts, consistent with existing Federal, State, and local laws and regulations, to award contracts for work to be performed in connection with development assistance provided pursuant to section 5 of the United States Housing Act of 1937, operating assistance provided pursuant to

* As amended by sec. 915 of the Housing and Community Development Act of 1992, Public Law 102-550, October 28, 1992.

section 9 of that Act, and modernization grants provided pursuant to section 14 of that Act, to business concerns that provide economic opportunities for low- and very low-income persons.

(B) PRIORITY.—The efforts required under subparagraph (A) shall be directed in the following order of priority:

(i) To business concerns that provide economic opportunities for residents of the housing development for which the assistance is provided.

(ii) To business concerns that provide economic opportunities for residents of other housing developments operated by the public and Indian housing agency that is providing the assistance.

(iii) To Youthbuild programs receiving assistance under subtitle D of title IV of the Cranston-Gonzalez National Affordable Housing Act.

(iv) To business concerns that provide economic opportunities for low- and very low-income persons residing within the metropolitan area (or nonmetropolitan county) in which the assistance is provided.

(2) OTHER PROGRAMS.—

(A) IN GENERAL.—In providing housing and community development assistance pursuant to other programs, the Secretary shall ensure that, to the greatest extent feasible, and consistent with existing Federal, State, and local laws and regulations, contracts awarded for work to be performed in connection with a housing rehabilitation (including reduction and abatement of lead-based paint hazards), housing construction, or other public construction project are given to business concerns that provide economic opportunities for low- and very low-income persons residing within the metropolitan area (or nonmetropolitan county) in which the assistance is expended.

(B) PRIORITY.—Where feasible, priority should be given to business concerns which provide economic

opportunities for low- and very low-income persons residing within the service area of the project or the neighborhood in which the project is located and to Youthbuild programs receiving assistance under subtitle D of title IV of the Cranston-Gonzalez National Affordable Housing Act.

(e) DEFINITIONS.—For the purposes of this section the following definitions shall apply:

(1) LOW- AND VERY LOW-INCOME PERSONS.—The terms 'low-income persons' and 'very low-income persons' have the same meanings given the terms 'low-income families' and 'very low-income families', respectively, in section 3(b)(2) of the United States Housing Act of 1937.

(2) BUSINESS CONCERN THAT PROVIDES ECONOMIC OPPORTUNITIES.—The term 'a business concern that provides economic opportunities' means a business concern that—

(A) provides economic opportunities for a class of persons that has a majority controlling interest in the business;

(B) employs a substantial number of such persons; or

(C) meets such other criteria as the Secretary may establish.

(f) COORDINATION WITH OTHER FEDERAL AGENCIES.—The Secretary shall consult with the Secretary of Labor, the Secretary of Health and Human Services, the Secretary of Commerce, the Administrator of the Small Business Administration, and such other Federal agencies as the Secretary determines are necessary to carry out this section.

(g) REGULATIONS.—Not later than 180 days after the date of enactment of the National Affordable Housing Act Amendments of 1992, the Secretary shall promulgate regulations to implement this section.

ECONOMIC OPPORTUNITIES FOR LOW- AND VERY-LOW INCOME PERSONS (24 CFR 135)

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

Office of the Assistant Secretary
for Fair Housing and Equal
Opportunity

24 CFR Part 135

[Docket No. R-94-1677; FR-2898-I-02]

RIN 2529-AA49

Economic Opportunities for Low- and Very Low-Income Persons

AGENCY: Office of the Assistant Secretary for Fair Housing and Equal Opportunity, HUD.

ACTION: Interim rule.

[59 FR 33866, June 30, 1994]

SUMMARY: This interim rule amends part 135 to implement the comprehensive changes made to section 3 of the Housing and Urban Development Act of 1968 by the Housing and Community Development Act of 1992. Section 3, as amended, requires that economic opportunities generated by certain HUD financial assistance for housing (including public and Indian housing) and community development programs shall, to the greatest extent feasible, be given to low- and very low-income persons, particularly those who are recipients of government assistance for housing, and to businesses that provide economic opportunities for these persons.

DATES: Effective date: August 1, 1994, through June 30, 1995.

Comments due date: August 29, 1994.

ADDRESSES: Interested persons are invited to submit comments regarding this interim rule to the Office of General Counsel, Rules Docket Clerk, Room 10276, Department of Housing and Urban Development, 451 Seventh Street, SW., Washington, DC 20410. Communications should refer to the above docket number and title. A copy of each communication submitted will be available for public inspection and copying on weekdays between 7:30 a.m. and 5:30 p.m. at the above address.

FOR FURTHER INFORMATION CONTACT: Maxine B. Cunningham, Director, Office of Economic Opportunity, Room 5232, Department of Housing and Urban Development, 451 Seventh Street, SW., Washington, DC 20410, telephone (202) 708-2251 (voice/TDD). (This is not a toll-free number.)

PART 135—ECONOMIC OPPORTUNITIES FOR LOW- AND VERY LOW-INCOME PERSONS

Subpart A—General Provisions

Sec.

135.1 Purpose.

135.2 Effective date of regulation.

135.3 Applicability.

135.5 Definitions.

135.7 Delegation of authority.

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Subpart B—Economic Opportunities for Section 3 Residents and Section 3 Business Concerns

135.30 Numerical goals for meeting the greatest extent feasible requirement.

135.32 Responsibilities of the recipient.

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135.36 Preference for section 3 business concerns in contracting opportunities.

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135.40 Providing other economic opportunities.

Subpart C—[Reserved]

Subpart D—Complaint and Compliance Review

135.70 General.

135.72 Cooperation in achieving compliance.

135.74 Section 3 compliance review procedures.

135.76 Filing and processing complaints.

Subpart E—Reporting and Recordkeeping

135.90 Reporting.

135.92 Recordkeeping and access to records.

Appendix to Part 135

Authority: 12 U.S.C. 1701u; 42 U.S.C. 3535(d).

Subpart A—General Provisions

§ 135.1 Purpose.

(a) *Section 3.* The purpose of section 3 of the Housing and Urban Development Act of 1968 (12 U.S.C. 1701u) (section 3) is to ensure that employment and other economic opportunities generated by certain HUD financial assistance shall, to the greatest extent feasible, and consistent with existing Federal, State and local laws

and regulations, be directed to low- and very low-income persons, particularly those who are recipients of government assistance for housing, and to business concerns which provide economic opportunities to low- and very low-income persons.

(b) *Part 135.* The purpose of this part is to establish the standards and procedures to be followed to ensure that the objectives of section 3 are met.

§ 135.2 Effective date of regulation.

The regulations of this part will remain in effect until the date the final rule adopting the regulations of this part with or without changes is published and becomes effective, at which point the final rule will remain in effect.

§ 135.3 Applicability.

(a) *Section 3 covered assistance.* Section 3 applies to the following HUD assistance (section 3 covered assistance):

(1) *Public and Indian housing assistance.* Section 3 applies to training, employment, contracting and other economic opportunities arising from the expenditure of the following public and Indian housing assistance:

(i) Development assistance provided pursuant to section 5 of the U.S. Housing Act of 1937 (1937 Act);

(ii) Operating assistance provided pursuant to section 9 of the 1937 Act; and

(iii) Modernization assistance provided pursuant to section 14 of the 1937 Act;

(2) *Housing and community development assistance.* Section 3 applies to training, employment, contracting and other economic opportunities arising in connection with the expenditure of housing assistance (including section 8 assistance, and including other housing assistance not administered by the Assistant Secretary of Housing) and community development assistance that is used for the following projects;

(i) Housing rehabilitation (including reduction and abatement of lead-based paint hazards, but excluding routine maintenance, repair and replacement);

(ii) Housing construction; and

(iii) Other public construction.

(3) *Thresholds—(i) No thresholds for section 3 covered public and Indian housing assistance.* The requirements of this part apply to section 3 covered assistance provided to recipients, notwithstanding the amount of the assistance provided to the recipient. The requirements of this part apply to all contractors and subcontractors performing work in connection with projects and activities funded by public and Indian housing assistance cov-

ered by section 3, regardless of the amount of the contract or subcontract.

(ii) *Thresholds for section 3 covered housing and community development assistance*—(A) *Recipient thresholds.* The requirements of this part apply to recipients of other housing and community development program assistance for a section 3 covered project(s) for which the amount of the assistance exceeds \$200,000.

(B) *Contractor and subcontractor thresholds.* The requirements of this part apply to contractors and subcontractors performing work on section 3 covered project(s) for which the amount of the assistance exceeds \$200,000; and the contract or subcontract exceeds \$100,000.

(C) *Threshold met for recipients, but not contractors or subcontractors.* If a recipient receives section 3 covered housing or community development assistance in excess of \$200,000, but no contract exceeds \$100,000, the section 3 preference requirements only apply to the recipient.

(b) *Applicability of section 3 to entire project or activity funded with section 3 assistance.* The requirements of this part apply to the entire project or activity that is funded with section 3 covered assistance, regardless of whether the section 3 activity is fully or partially funded with section 3 covered assistance.

(c) *Applicability to Indian housing authorities and Indian tribes.* Indian housing authorities and tribes that receive HUD assistance described in paragraph (a) of this section shall comply with the procedures and requirements of this part to the maximum extent consistent with, but not in derogation of, compliance with section 7(b) of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450e(b)). (See 24 CFR part 905.)

(d) *Other HUD assistance and other Federal assistance.* Recipients, contractors and subcontractors that receive HUD assistance, not listed in paragraph (a) of this section, or other Federal assistance, are encouraged to provide, to the greatest extent feasible, training, employment, and contracting opportunities generated by the expenditure of this assistance to low- and very low-income persons, and business concerns owned by low- and very low-income persons, or which employ low- and very low-income persons.

§ 135.5 Definitions.

As used in this part:

Annual Contributions Contract (ACC) means the contract under the U.S. Housing Act of 1937 (1937 Act) between HUD and the PHA, or between HUD and the HA, that contains the terms and conditions under which HUD assists the PHA or the IHA in providing decent, safe, and sanitary housing for low income families.

The ACC must be in a form prescribed by HUD under which HUD agrees to provide assistance in the development, modernization and/or operation of a low income housing project under the 1937 Act, and the PHA or IHA agrees to develop, modernize and operate the project in compliance with all provisions of the ACC and the 1937 Act, and all HUD regulations and implementing requirements and procedures. (The ACC is not a form of procurement contract.)

Applicant means any entity which makes an application for section 3 covered assistance, and includes, but is not limited to, any State, unit of local government, public housing agency, Indian housing authority, Indian tribe, or other public body, public or private nonprofit organization, private agency or institution, mortgagor, developer, limited dividend sponsor, builder, property manager, community housing development organization (CHDO), resident management corporation, resident council, or cooperative association.

Assistant Secretary means the Assistant Secretary for Fair Housing and Equal Opportunity.

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

Business concern that provides economic opportunities for low- and very low-income persons. See definition of "section 3 business concern" in this section.

Contract. See the definition of "section 3 covered contract" in this section.

Contractor means any entity which contracts to perform work generated by the expenditure of section 3 covered assistance, or for work in connection with a section 3 covered project.

Department or HUD means the Department of Housing and Urban Development, including its Field Offices to which authority has been delegated to perform functions under this part.

Employment opportunities generated by section 3 covered assistance means all employment opportunities generated by the expenditure of section 3 covered public and Indian housing assistance (i.e., operating assistance, development assistance and modernization assistance, as described in § 135.3(a)(1)). With respect to section 3 covered housing and community development assistance, this term means all employment opportunities arising in connection with section 3 covered projects (as described in § 135.3(a)(2)), including management and administrative jobs connected with the section 3 covered project. Management and administrative jobs include architectural, engineering or related professional services

required to prepare plans, drawings, specifications, or work write-ups; and jobs directly related to administrative support of these activities, e.g., construction manager, relocation specialist, payroll clerk, etc.

Housing authority (HA) means, collectively, public housing agency and Indian housing authority.

Housing and community development assistance means any financial assistance provided or otherwise made available through a HUD housing or community development program through any grant, loan, loan guarantee, cooperative agreement, or contract, and includes community development funds in the form of community development block grants, and loans guaranteed under section 108 of the Housing and Community Development Act of 1974, as amended. Housing and community development assistance does not include financial assistance provided through a contract of insurance or guaranty.

Housing development means low-income housing owned, developed, or operated by public housing agencies or Indian housing authorities in accordance with HUD's public and Indian housing program regulations codified in 24 CFR Chapter IX.

HUD Youthbuild programs mean programs that receive assistance under subtitle D of Title IV of the National Affordable Housing Act, as amended by the Housing and Community Development Act of 1992 (42 U.S.C. 12899), and provide disadvantaged youth with opportunities for employment, education, leadership development, and training in the construction or rehabilitation of housing for homeless individuals and members of low- and very low-income families.

Indian housing authority (IHA) has the meaning given this term in 24 CFR part 905.

Indian tribes shall have the meaning given this term in 24 CFR part 571.

JTPA means the Job Training Partnership Act (29 U.S.C. 1579(a)).

Low-income person. See the definition of "section 3 resident" in this section.

Metropolitan area means a metropolitan statistical area (MSA), as established by the Office of Management and Budget.

Neighborhood area means:

(1) For HUD housing programs, a geographical location within the jurisdiction of a unit of general local government (but not the entire jurisdiction) designated in ordinances, or other local documents as a neighborhood, village, or similar geographical designation.

(2) For HUD community development programs, see the definition, if provided,

in the regulations for the applicable community development program, or the definition for this term in 24 CFR 570.204(c)(1).

New hires mean full-time employees for permanent, temporary or seasonal employment opportunities.

Nonmetropolitan county means any county outside of a metropolitan area.

Other HUD programs means HUD programs, other than HUD public and Indian housing programs, that provide housing and community development assistance for "section 3 covered projects," as defined in this section.

Public housing agency (PHA) has the meaning given this term in 24 CFR part 941.

Public housing resident has the meaning given this term in 24 CFR part 963.

Recipient means any entity which receives section 3 covered assistance, directly from HUD or from another recipient and includes, but is not limited to, any State, unit of local government, PHA, IHA, Indian tribe, or other public body, public or private nonprofit organization, private agency or institution, mortgagor, developer, limited dividend sponsor, builder, property manager, community housing development organization, resident management corporation, resident council, or cooperative association. Recipient also includes any successor, assignee or transferee of any such entity, but does not include any ultimate beneficiary under the HUD program to which section 3 applies and does not include contractors.

Secretary means the Secretary of Housing and Urban Development.

Section 3 means section 3 of the Housing and Urban Development Act of 1968, as amended (12 U.S.C. 1701u).

Section 3 business concern means a business concern, as defined in this section—

(1) That is 51 percent or more owned by section 3 residents; or

(2) Whose permanent, full-time employees include persons, at least 30 percent of whom are currently section 3 residents, or within three years of the date of first employment with the business concern were section 3 residents; or

(3) That provides evidence of a commitment to subcontract in excess of 25 percent of the dollar award of all subcontracts to be awarded to business concerns that meet the qualifications set forth in paragraphs (1) or (2) in this definition of "section 3 business concern."

Section 3 clause means the contract provisions set forth in § 135.38.

Section 3 covered activity means any activity which is funded by section 3 covered assistance public and Indian housing assistance.

Section 3 covered assistance means: (1) Public and Indian housing development assistance provided pursuant to section 5 of the 1937 Act;

(2) Public and Indian housing operating assistance provided pursuant to section 9 of the 1937 Act;

(3) Public and Indian housing modernization assistance provided pursuant to section 14 of the 1937 Act;

(4) Assistance provided under any HUD housing or community development program that is expended for work arising in connection with:

(i) Housing rehabilitation (including reduction and abatement of lead-based paint hazards, but excluding routine maintenance, repair and replacement);

(ii) Housing construction; or

(iii) Other public construction project (which includes other buildings or improvements, regardless of ownership).

Section 3 covered contract means a contract or subcontract (including a professional service contract) awarded by a recipient or contractor for work generated by the expenditure of section 3 covered assistance, or for work arising in connection with a section 3 covered project. "Section 3 covered contracts" do not include contracts awarded under HUD's procurement program, which are governed by the Federal Acquisition Regulation System (see 48 CFR, Chapter 1). "Section 3 covered contracts" also do not include contracts for the purchase of supplies and materials. However, whenever a contract for materials includes the installation of the materials, the contract constitutes a section 3 covered contract. For example, a contract for the purchase and installation of a furnace would be a section 3 covered contract because the contract is for work (i.e., the installation of the furnace) and thus is covered by section 3.

Section 3 covered project means the construction, reconstruction, conversion or rehabilitation of housing (including reduction and abatement of lead-based paint hazards), other public construction which includes buildings or improvements (regardless of ownership) assisted with housing or community development assistance.

Section 3 joint venture. See § 135.40. *Section 3 resident* means: (1) A public housing resident; or

(2) An individual who resides in the metropolitan area or nonmetropolitan county in which the section 3 covered assistance is expended, and who is:

(i) A *low-income person*, as this term is defined in section 3(b)(2) of the 1937 Act (42 U.S.C. 1437a(b)(2)). Section 3(b)(2) of the 1937 Act defines this term to mean families (including single persons) whose incomes do not exceed 80 per centum of the median income for the area, as deter-

mined by the Secretary, with adjustments for smaller and larger families, except that the Secretary may establish income ceilings higher or lower than 80 per centum of the median for the area on the basis of the Secretary's findings that such variations are necessary because of prevailing levels of construction costs or unusually high or low-income families; or

(ii) A *very low-income person*, as this term is defined in section 3(b)(2) of the 1937 Act (42 U.S.C. 1437a(b)(2)). Section 3(b)(2) of the 1937 Act (42 U.S.C. 1437a(b)(2)) defines this term to mean families (including single persons) whose incomes do not exceed 50 per centum of the median family income for the area, as determined by the Secretary with adjustments for smaller and larger families, except that the Secretary may establish income ceilings higher or lower than 50 per centum of the median for the area on the basis of the Secretary's findings that such variations are necessary because of unusually high or low family incomes.

(3) A person seeking the training and employment preference provided by section 3 bears the responsibility of providing evidence (if requested) that the person is eligible for the preference.

Section 8 assistance means assistance provided under section 8 of the 1937 Act (42 U.S.C. 1437f) pursuant to 24 CFR part 882, subpart G.

Service area means the geographical area in which the persons benefitting from the section 3 covered project reside. The service area shall not extend beyond the unit of general local government in which the section 3 covered assistance is expended. In HUD's Indian housing programs, the service area, for IHAs established by an Indian tribe as a result of the exercise of the tribe's sovereign power, is limited to the area of tribal jurisdiction.

Subcontractor means any entity (other than a person who is an employee of the contractor) which has a contract with a contractor to undertake a portion of the contractor's obligation for the performance of work generated by the expenditure of section 3 covered assistance, or arising in connection with a section 3 covered project.

Very low-income person. See the definition of "section 3 resident" in this section.

Youthbuild programs. See the definition of "HUD Youthbuild programs" in this section.

§ 135.7 Delegation of authority.

Except as may be otherwise provided in this part, the functions and responsibilities of the Secretary under section 3, and described in this part, are delegated to the Assistant Secretary for Fair Housing and Equal Opportunity. The Assistant Secre-

tary is further authorized to redelegate functions and responsibilities to other employees of HUD; provided however, that the authority to issue rules and regulations under this part, which authority is delegated to the Assistant Secretary, may not be redelegated by the Assistant Secretary.

§ 135.9 Requirements applicable to HUD NOFAs for section 3 covered programs.

(a) *Certification of compliance with part 135.* All notices of funding availability (NOFAs) issued by HUD that announce the availability of funding covered by section 3 shall include a provision in the NOFA that notifies applicants that section 3 and the regulations in part 135 are applicable to funding awards made under the NOFA. Additionally the NOFA shall require as an application submission requirement (which may be specified in the NOFA or application kit) a certification by the applicant that the applicant will comply with the regulations in part 135. (For PHAs, this requirement will be met where a PHA Resolution in Support of the Application is submitted.) With respect to application evaluation, HUD will accept an applicant's certification unless there is evidence substantially challenging the certification.

(b) *Statement of purpose in NOFAs.* (1) For competitively awarded assistance in which the grants are for activities administered by an HA, and those activities are anticipated to generate significant training, employment or contracting opportunities, the NOFA must include a statement that one of the purposes of the assistance is to give to the greatest extent feasible, and consistent with existing Federal, State and local laws and regulations, job training, employment, contracting and other economic opportunities to section 3 residents and section 3 business concerns.

(2) For competitively awarded assistance involving housing rehabilitation, construction or other public construction, where the amount awarded to the applicant may exceed \$200,000, the NOFA must include a statement that one of the purposes of the assistance is to give, to the greatest extent feasible, and consistent with existing Federal, State and local laws and regulations, job training, employment, contracting and other economic opportunities to section 3 residents and section 3 business concerns.

(c) *Section 3 as NOFA evaluation criteria.* Where not otherwise precluded by statute, in the evaluation of applications for the award of assistance, consideration shall be given to the extent to which an applicant has demonstrated that it will train and employ section 3 residents and

contract with section 3 business concerns for economic opportunities generated in connection with the assisted project or activity. The evaluation criteria to be utilized, and the rating points to be assigned, will be specified in the NOFA.

§ 135.11 Other laws governing training, employment, and contracting.

Other laws and requirements that are applicable or may be applicable to the economic opportunities generated from the expenditure of section 3 covered assistance include, but are not necessarily limited to those listed in this section.

(a) *Procurement standards for States and local governments* (24 CFR 85.36)—(1) *General.* Nothing in this part 135 prescribes specific methods of procurement. However, neither section 3 nor the requirements of this part 135 supersede the general requirement of 24 CFR 85.36(c) that all procurement transactions be conducted in a competitive manner. Consistent with 24 CFR 85.36(c)(2), section 3 is a Federal statute that expressly encourages, to the maximum extent feasible, a geographic preference in the evaluation of bids or proposals.

(2) *Flexible Subsidy Program.* Multifamily project mortgagors in the Flexible Subsidy Program are not required to utilize the methods of procurement in 24 CFR 85.36(d), and are not permitted to utilize methods of procurement that would result in their award of a contract to a business concern that submits a bid higher than the lowest responsive bid. A multifamily project mortgagor, however, must ensure that, to the greatest extent feasible, the procurement practices it selects provide preference to section 3 business concerns.

(b) *Procurement standards for other recipients* (OMB Circular No. A-110). Nothing in this part prescribes specific methods of procurement for grants and other agreements with institutions of higher education, hospitals, and other nonprofit organizations. Consistent with the requirements set forth in OMB Circular No. A-110, section 3 is a Federal statute that expressly encourages a geographic preference in the evaluation of bids or proposals.

(c) *Federal labor standards provisions.* Certain construction contracts are subject to compliance with the requirement to pay prevailing wages determined under Davis-Bacon Act (40 U.S.C. 276a-276a-7) and implementing U.S. Department of Labor regulations in 29 CFR part 5. Additionally, certain HUD-assisted rehabilitation and maintenance activities on public and Indian housing developments are subject to compliance with the requirement to pay prevailing wage rates, as determined or adopted by HUD, to labor-

ers and mechanics employed in this work. Apprentices and trainees may be utilized on this work only to the extent permitted under either Department of Labor regulations at 29 CFR part 5 or for work subject to HUD-determined prevailing wage rates, HUD policies and guidelines. These requirements include adherence to the wage rates and ratios of apprentices or trainees to journeymen set out in "approved apprenticeship and training programs," as described in paragraph (d) of this section.

(d) *Approved apprenticeship and trainee programs.* Certain apprenticeship and trainee programs have been approved by various Federal agencies. Approved apprenticeship and trainee programs include: an apprenticeship program approved by the Bureau of Apprenticeship and Training of the Department of Labor, or a State Apprenticeship Agency, or an on-the-job training program approved by the Bureau of Apprenticeship and Training, in accordance with the regulations at 29 CFR part 5; or a training program approved by HUD in accordance with HUD policies and guidelines, as applicable. Participation in an approved apprenticeship program does not, in and of itself, demonstrate compliance with the regulations of this part.

(e) *Compliance with Executive Order 11246.* Certain contractors covered by this part are subject to compliance with Executive Order 11246, as amended by Executive Order 12086, and the Department of Labor regulations issued pursuant thereto (41 CFR chapter 60) which provide that no person shall be discriminated against on the basis of race, color, religion, sex, or national origin in all phases of employment during the performance of Federal or Federally assisted construction contracts.

Subpart B—Economic Opportunities for Section 3 Residents and Section 3 Business Concerns

§ 135.30 Numerical goals for meeting the greatest extent feasible requirement.

(a) *General.* (1) Recipients and covered contractors may demonstrate compliance with the "greatest extent feasible" requirement of section 3 by meeting the numerical goals set forth in this section for providing training, employment, and contracting opportunities to section 3 residents and section 3 business concerns.

(2) The goals established in this section apply to the entire amount of section 3 covered assistance awarded to a recipient in any Federal Fiscal Year (FY), commencing with the first FY following the effective date of this rule.

(3) For recipients that do not engage in training, or hiring, but award contracts to

contractors that will engage in training, hiring, and subcontracting, recipients must ensure that, to the greatest extent feasible, contractors will provide training, employment, and contracting opportunities to section 3 residents and section 3 business concerns.

(4) The numerical goals established in this section represent minimum numerical targets.

(b) *Training and employment.* The numerical goals set forth in paragraph (b) of this section apply to new hires. The numerical goals reflect the aggregate hires. Efforts to employ section 3 residents, to the greatest extent feasible, should be made at all job levels.

(1) *Numerical goals for section 3 covered public and Indian housing programs.* Recipients of section 3 covered public and Indian housing assistance (as described in § 135.5) and their contractors and subcontractors may demonstrate compliance with this part by committing to employ section 3 residents as:

(i) 10 percent of the aggregate number of new hires for the one year period beginning in FY 1995;

(ii) 20 percent of the aggregate number of new hires for the one period beginning in FY 1996;

(iii) 30 percent of the aggregate number of new hires for one year period beginning in FY 1997 and continuing thereafter.

(2) *Numerical goals for other HUD programs covered by section 3.* (i) Recipients of section 3 covered housing assistance provided under other HUD programs, and their contractors and subcontractors (unless the contract or subcontract awards do not meet the threshold specified in § 135.3(a)(3)) may demonstrate compliance with this part by committing to employ section 3 residents as 10 percent of the aggregate number of new hires for each year over the duration of the section 3 project;

(ii) Where a managing general partner or management agent is affiliated, in a given metropolitan area, with recipients of section 3 covered housing assistance, for an aggregate of 500 or more units in any fiscal year, the managing partner or management agent may demonstrate compliance with this part by committing to employ section 3 residents as:

(A) 10 percent of the aggregate number of new hires for the one year period beginning in FY 1995;

(B) 20 percent of the aggregate number of new hires for the one year period beginning in FY 1996;

(C) 30 percent of the aggregate number of new hires for the one year period beginning in FY 1997, and continuing thereafter.

(3) Recipients of section 3 covered community development assistance, and

their contractors and subcontractors (unless the contract or subcontract awards do not meet the threshold specified in § 135.3(a)(3)) may demonstrate compliance with the requirements of this part by committing to employ section 3 residents as:

(i) 10 percent of the aggregate number of new hires for the one year period beginning in FY 1995;

(ii) 20 percent of the aggregate number of new hires for the one year period beginning in FY 1996; and

(iii) 30 percent of the aggregate number of new hires for the one year period beginning in FY 1997 and continuing thereafter.

(c) *Contracts.* Numerical goals set forth in paragraph (c) of this section apply to contracts awarded in connection with all section 3 covered projects and section 3 covered activities. Each recipient and contractor and subcontractor (unless the contract or subcontract awards do not meet the threshold specified in § 135.3(a)(3)) may demonstrate compliance with the requirements of this part by committing to award to section 3 business concerns:

(1) At least 10 percent of the total dollar amount of all section 3 covered contracts for building trades work for maintenance, repair, modernization or development of public or Indian housing, or for building trades work arising in connection with housing rehabilitation, housing construction and other public construction; and

(2) At least three (3) percent of the total dollar amount of all other section 3 covered contracts.

(d) *Safe harbor and compliance determinations.* (1) In the absence of evidence to the contrary, a recipient that meets the minimum numerical goals set forth in this section will be considered to have complied with the section 3 preference requirements.

(2) In evaluating compliance under subpart D of this part, a recipient that has not met the numerical goals set forth in this section has the burden of demonstrating why it was not feasible to meet the numerical goals set forth in this section. Such justification may include impediments encountered despite actions taken. A recipient or contractor also can indicate other economic opportunities, such as those listed in § 135.40, which were provided in its efforts to comply with section 3 and the requirements of this part.

§ 135.32 Responsibilities of the recipient.

Each recipient has the responsibility to comply with section 3 in its own operations, and ensure compliance in the operations of its contractors and subcontractors.

This responsibility includes but may not be necessarily limited to:

(a) Implementing procedures designed to notify section 3 residents about training and employment opportunities generated by section 3 covered assistance and section 3 business concerns about contracting opportunities generated by section 3 covered assistance;

(b) Notifying potential contractors for section 3 covered projects of the requirements of this part, and incorporating the section 3 clause set forth in § 135.38 in all solicitations and contracts.

(c) Facilitating the training and employment of section 3 residents and the award of contracts to section 3 business concerns by undertaking activities such as described in the Appendix to this part, as appropriate, to reach the goals set forth in § 135.30. Recipients, at their own discretion, may establish reasonable numerical goals for the training and employment of section 3 residents and contract award to section 3 business concerns that exceed those specified in § 135.30;

(d) Assisting and actively cooperating with the Assistant Secretary in obtaining the compliance of contractors and subcontractors with the requirements of this part, and refraining from entering into any contract with any contractor where the recipient has notice or knowledge that the contractor has been found in violation of the regulations in 24 CFR part 135.

(e) Documenting actions taken to comply with the requirements of this part, the results of actions taken and impediments, if any.

(f) A State or county which distributes funds for section 3 covered assistance to units of local governments, to the greatest extent feasible, must attempt to reach the numerical goals set forth in § 135.30 regardless of the number of local governments receiving funds from the section 3 covered assistance which meet the thresholds for applicability set forth at § 135.3. The State or county must inform units of local government to whom funds are distributed of the requirements of this part; assist local governments and their contractors in meeting the requirements and objectives of this part; and monitor the performance of local governments with respect to the objectives and requirements of this part.

§ 135.34 Preference for section 3 residents in training and employment opportunities.

(a) *Order of providing preference.* Recipients, contractors and subcontractors shall direct their efforts to provide, to the greatest extent feasible, training and employment opportunities generated from the expenditure of section 3 covered assistance to section 3 residents in the

order of priority provided in paragraph (a) of this section.

(1) *Public and Indian housing programs.* In public and Indian housing programs, efforts shall be directed to provide training and employment opportunities to section 3 residents in the following order of priority:

(i) Residents of the housing development or developments for which the section 3 covered assistance is expended (category 1 residents);

(ii) Residents of other housing developments managed by the HA that is expending the section 3 covered housing assistance (category 2 residents);

(iii) Participants in HUD Youthbuild programs being carried out in the metropolitan area (or nonmetropolitan county) in which the section 3 covered assistance is expended (category 3 residents);

(iv) Other section 3 residents.

(2) *Housing and community development programs.* In housing and community development programs, priority consideration shall be given, where feasible, to:

(i) Section 3 residents residing in the service area or neighborhood in which the section 3 covered project is located (collectively, referred to as category 1 residents); and

(ii) Participants in HUD Youthbuild programs (category 2 residents).

(iii) Where the section 3 project is assisted under the Stewart B. McKinney Homeless Assistance Act (42 U.S.C. 11301 et seq.), homeless persons residing in the service area or neighborhood in which the section 3 covered project is located shall be given the highest priority;

(iv) Other section 3 residents.

(3) Recipients of housing assistance programs administered by the Assistant Secretary for Housing may, at their own discretion, provide preference to residents of the housing development receiving the section 3 covered assistance within the service area or neighborhood where the section 3 covered project is located.

(4) Recipients of community development programs may, at their own discretion, provide priority to recipients of government assistance for housing, including recipients of certificates or vouchers under the Section 8 housing assistance program, within the service area or neighborhood where the section 3 covered project is located.

(b) *Eligibility for preference.* A section 3 resident seeking the preference in training and employment provided by this part shall certify, or submit evidence to the recipient contractor or subcontractor, if requested, that the person is a section 3 resident, as defined in § 135.5. (An example of evidence of eligibility for the preference is evidence of receipt of public

assistance, or evidence of participation in a public assistance program.)

(c) *Eligibility for employment.* Nothing in this part shall be construed to require the employment of a section 3 resident who does not meet the qualifications of the position to be filled.

§ 135.36 Preference for section 3 business concerns in contracting opportunities.

(a) *Order of providing preference.* Recipients, contractors and subcontractors shall direct their efforts to award section 3 covered contracts, to the greatest extent feasible, to section 3 business concerns in the order of priority provided in paragraph (a) of this section.

(1) *Public and Indian housing programs.* In public and Indian housing programs, efforts shall be directed to award contracts to section 3 business concerns in the following order of priority:

(i) Business concerns that are 51 percent or more owned by residents of the housing development or developments for which the section 3 covered assistance is expended, or whose full-time, permanent workforce includes 30 percent of these persons as employees (category 1 businesses);

(ii) Business concerns that are 51 percent or more owned by residents of other housing developments or developments managed by the HA that is expending the section 3 covered assistance, or whose full-time, permanent workforce includes 30 percent of these persons as employees (category 2 businesses); or

(iii) HUD Youthbuild programs being carried out in the metropolitan area (or nonmetropolitan county) in which the section 3 covered assistance is expended (category 3 businesses).

(iv) Business concerns that are 51 percent or more owned by section 3 residents, or whose permanent, full-time workforce includes no less than 30 percent section 3 residents (category 4 businesses), or that subcontract in excess of 25 percent of the total amount of subcontracts to business concerns identified in paragraphs (a)(1)(i) and (a)(1)(ii) of this section.

(2) *Housing and community development programs.* In housing and community development programs, priority consideration shall be given, where feasible, to:

(i) Section 3 business concerns that provide economic opportunities for section 3 residents in the service area or neighborhood in which the section 3 covered project is located (category 1 businesses); and

(ii) Applicants (as this term is defined in 42 U.S.C. 12899) selected to carry out

HUD Youthbuild programs (category 2 businesses);

(iii) Other section 3 business concerns.

(b) *Eligibility for preference.* A business concern seeking to qualify for a section 3 contracting preference shall certify or submit evidence, if requested, that the business concern is a section 3 business concern as defined in § 135.5.

(c) *Ability to complete contract.* A section 3 business concern seeking a contract or a subcontract shall submit evidence to the recipient, contractor, or subcontractor (as applicable), if requested, sufficient to demonstrate to the satisfaction of the party awarding the contract that the business concern is responsible and has the ability to perform successfully under the terms and conditions of the proposed contract. (The ability to perform successfully under the terms and conditions of the proposed contract is required of all contractors and subcontractors subject to the procurement standards of 24 CFR 85.36 (see 24 CFR 85.36(b)(8)).) This regulation requires consideration of, among other factors, the potential contractor's record in complying with public policy requirements. Section 3 compliance is a matter properly considered as part of this determination.

§ 135.38 Section 3 clause.

All section 3 covered contracts shall include the following clause (referred to as the section 3 clause):

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

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

C. The contractor agrees to send to each labor organization or representative of workers with which the contractor has a collective bargaining agreement or other understanding, if any, a notice advising the labor organization or workers' representative of the contractor's commitments under this section 3 clause, and will post copies of the notice in conspicuous places at the work site where both employees and applicants for training and employment positions can

see the notice. The notice shall describe the section 3 preference, shall set forth minimum number and job titles subject to hire, availability of apprenticeship and training positions, the qualifications for each; and the name and location of the person(s) taking applications for each of the positions; and the anticipated date the work shall begin.

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

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

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

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

§ 135.40 Providing other economic opportunities.

(a) *General.* In accordance with the findings of the Congress, as stated in section 3, that other economic opportunities offer an effective means of empowering low-income persons, a recipient is encouraged to undertake efforts to provide to low-income persons economic opportunities other than training, employment, and contract awards, in connection with section 3 covered assistance.

(b) *Other training and employment related opportunities.* Other economic opportunities to train and employ section 3 residents include, but need not be limited to, use of "upward mobility", "bridge" and trainee positions to fill vacancies; hiring section 3 residents in management and maintenance positions within other housing developments; and hiring section 3 residents in part-time positions.

(c) *Other business related economic opportunities.* (1) A recipient or contractor may provide economic opportunities to establish, stabilize or expand section 3 business concerns, including micro-enterprises. Such opportunities include, but are not limited to the formation of section 3 joint ventures, financial support for affiliating with franchise development, use of labor only contracts for building trades, purchase of supplies and materials from housing authority resident-owned businesses, purchase of materials and supplies from PHA resident-owned businesses and use of procedures under 24 CFR part 963 regarding HA contracts to HA resident-owned businesses. A recipient or contractor may employ these methods directly or may provide incentives to non-section 3 businesses to utilize such methods to provide other economic opportunities to low-income persons.

(2) A section 3 joint venture means an association of business concerns, one of which qualifies as a section 3 business concern, formed by written joint venture agreement to engage in and carry out a specific business venture for which purpose the business concerns combine their efforts, resources, and skills for joint profit, but not necessarily on a continuing or permanent basis for conducting business generally, and for which the section 3 business concern:

(i) Is responsible for a clearly defined portion of the work to be performed and holds management responsibilities in the joint venture; and

(ii) Performs at least 25 percent of the work and is contractually entitled to compensation proportionate to its work.

Subpart C—[Reserved]

Subpart D—Complaint and Compliance Review

§ 135.70 General.

(a) *Purpose.* The purpose of this subpart is to establish the procedures for handling complaints alleging noncompliance with the regulations of this part, and the procedures governing the Assistant Secretary's review of a recipient's or contractor's compliance with the regulations in this part.

(b) *Definitions.* For purposes of this subpart:

(1) *Complaint* means an allegation of noncompliance with regulations of this part made in the form described in § 135.76(d).

(2) *Complainant* means the party which files a complaint with the Assistant Secretary alleging that a recipient or contractor has failed or refused to comply with the regulations in this part.

(3) *Noncompliance with section 3* means failure by a recipient or contractor to comply with the requirements of this part.

(4) *Respondent* means the recipient or contractor against which a complaint of noncompliance has been filed. The term "recipient" shall have the meaning set forth in § 135.7, which includes PHA and IHA.

§ 135.72 Cooperation in achieving compliance.

(a) The Assistant Secretary recognizes that the success of ensuring that section 3 residents and section 3 business concerns have the opportunity to apply for jobs and to bid for contracts generated by covered HUD financial assistance depends upon the cooperation and assistance of HUD recipients and their contractors and subcontractors. All recipients shall cooperate fully and promptly with the Assistant Secretary in section 3 compliance reviews, in investigations of allegations of noncompliance made under § 135.76, and with the distribution and collection of data and information that the Assistant Secretary may require in connection with achieving the economic objectives of section 3.

(b) The recipient shall refrain from entering into a contract with any contractor after notification to the recipient by HUD that the contractor has been found in violation of the regulations in this part. The provisions of 24 CFR part 24 apply to the employment, engagement of services, awarding of contracts or funding of any contractors or subcontractors during any period of debarment, suspension or otherwise ineligible status.

§ 135.74 Section 3 compliance review procedures.

(a) *Compliance reviews by Assistant Secretary.* The Assistant Secretary shall periodically conduct section 3 compliance reviews of selected recipients and contractors to determine whether these recipients are in compliance with the regulations in this part.

(b) *Form of compliance review.* A section 3 compliance review shall consist of a comprehensive analysis and evaluation of the recipient's or contractor's compliance with the requirements and obligations imposed by the regulations of this

part, including an analysis of the extent to which section 3 residents have been hired and section 3 business concerns have been awarded contracts as a result of the methods undertaken by the recipient to achieve the employment, contracting and other economic objectives of section 3.

(c) *Where compliance review reveals noncompliance with section 3 by recipient or contractor.* Where the section 3 compliance review reveals that a recipient or contractor has not complied with section 3, the Assistant Secretary shall notify the recipient or contractor of its specific deficiencies in compliance with the regulations of this part, and shall advise the recipient or contractor of the means by which these deficiencies may be corrected. HUD shall conduct a follow-up review with the recipient or contractor to ensure that action is being taken to correct the deficiencies.

(d) *Continuing noncompliance by recipient or contractor.* A continuing failure or refusal by the recipient or contractor to comply with the regulations in this part may result in the application of sanctions specified in the contract through which HUD assistance is provided, or the application of sanctions specified in the regulations governing the HUD program under which HUD financial assistance is provided. HUD will notify the recipient of any continuing failure or refusal by the contractor to comply with the regulations in this part for possible action under any procurement contract between the recipient and the contractor. Debarment, suspension and limited denial of participation pursuant to HUD's regulations in 24 CFR part 24, where appropriate, may be applied to the recipient or the contractor.

(e) *Conducting compliance review before the award of assistance.* Section 3 compliance reviews may be conducted before the award of contracts, and especially where the Assistant Secretary has reasonable grounds to believe that the recipient or contractor will be unable or unwilling to comply with the regulations in this part.

(f) *Consideration of complaints during compliance review.* Complaints alleging noncompliance with section 3, as provided in § 135.76, may also be considered during any compliance review conducted to determine the recipient's conformance with regulations in this part.

§ 135.76 Filing and processing complaints.

(a) *Who may file a complaint.* The following individuals and business concerns may, personally or through an authorized representative, file with the Assistant Secretary a complaint alleging noncompliance with section 3:

(1) Any section 3 resident on behalf of himself or herself, or as a representative of persons similarly situated, seeking employment, training or other economic opportunities generated from the expenditure of section 3 covered assistance with a recipient or contractor, or by a representative who is not a section 3 resident but who represents one or more section 3 residents;

(2) Any section 3 business concern on behalf of itself, or as a representative of other section 3 business concerns similarly situated, seeking contract opportunities generated from the expenditure of section 3 covered assistance from a recipient or contractor, or by an individual representative of section 3 business concerns.

(b) *Where to file a complaint.* A complaint must be filed with the Assistant Secretary for Fair Housing and Equal Opportunity, Department of Housing and Urban Development, Washington, D.C., 20410.

(c) *Time of filing.* (1) A complaint must be received not later than 180 days from the date of the action or omission upon which the complaint is based, unless the time for filing is extended by the Assistant Secretary for good cause shown.

(2) Where a complaint alleges noncompliance with section 3 and the regulations of this part that is continuing, as manifested in a number of incidents of noncompliance, the complaint will be timely if filed within 180 days of the last alleged occurrence of noncompliance.

(3) Where a complaint contains incomplete information, the Assistant Secretary shall request the needed information from the complainant. In the event this information is not furnished to the Assistant Secretary within sixty (60) days of the date of the request, the complaint may be closed.

(d) *Contents of complaint—(1) Written complaints.* Each complaint must be in writing, signed by the complainant, and include:

(i) The complainant's name and address;

(ii) The name and address of the respondent;

(iii) A description of the acts or omissions by the respondent that is sufficient to inform the Assistant Secretary of the nature and date of the alleged noncompliance.

(iv) A complainant may provide information to be contained in a complaint by telephone to HUD or any HUD Field Office, and HUD will reduce the information provided by telephone to writing on the prescribed complaint form and send the form to the complainant for signature.

(2) *Amendment of complaint.* Complaints may be reasonably and fairly amended at any time. Such amendments may include, but are not limited to,

amendments to cure, technical defects or omissions, including failure to sign or affirm a complaint, to clarify or amplify the allegations in a complaint, or to join additional or substitute respondents. Except for the purposes of notifying respondents, amended complaints will be considered as having been made as of the original filing date.

(e) *Resolution of complaint by recipient.*

(1) Within ten (10) days of timely filing of a complaint that contains complete information (in accordance with paragraphs (c) and (d) of this section), the Assistant Secretary shall determine whether the complainant alleges an action or omission by a recipient or the recipient's contractor that if proven qualifies as noncompliance with section 3. If a determination is made that there is an allegation of noncompliance with section 3, the complaint shall be sent to the recipient for resolution.

(2) If the recipient believes that the complaint lacks merit, the recipient must notify the Assistant Secretary in writing of this recommendation with supporting reasons, within 30 days of the date of receipt of the complaint. The determination that a complaint lacks merit is reserved to the Assistant Secretary.

(3) If the recipient determines that there is merit to the complaint, the recipient will have sixty (60) days from the date of receipt of the complaint to resolve the matter with the complainant. At the expiration of the 60-day period, the recipient must notify the Assistant Secretary in writing whether a resolution of the complaint has been reached. If resolution has been reached, the notification must be signed by both the recipient and the complainant, and must summarize the terms of the resolution reached between the two parties.

(4) Any request for an extension of the 60-day period by the recipient must be submitted in writing to the Assistant Secretary, and must include a statement explaining the need for the extension.

(5) If the recipient is unable to resolve the complaint within the 60-day period (or more if extended by the Assistant Secretary), the complaint shall be referred to the Assistant Secretary for handling.

(f) *Informal resolution of complaint by Assistant Secretary—(1) Dismissal of complaint.* Upon receipt of the recipient's written recommendation that there is no merit to the complaint, or upon failure of the recipient and complainant to reach resolution, the Assistant Secretary shall review the complaint to determine whether it presents a valid allegation of noncompliance with section 3. The Assistant Secretary may conduct further investigation if deemed necessary. Where the complaint fails to present a valid allegation of noncompliance with section 3, the Assistant Secretary will dismiss the com-

plaint without further action. The Assistant Secretary shall notify the complainant of the dismissal of the complaint and the reasons for the dismissal.

(2) *Informal resolution.* Where the allegations in a complaint on their face, or as amplified by the statements of the complainant, present a valid allegation of noncompliance with section 3, the Assistant Secretary will attempt, through informal methods, to obtain a voluntary and just resolution of the complaint. Where attempts to resolve the complaint informally fail, the Assistant Secretary will impose a resolution on the recipient and complainant. Any resolution imposed by the Assistant Secretary will be in accordance with requirements and procedures concerning the imposition of sanctions or resolutions as set forth in the regulations governing the HUD program under which the section 3 covered assistance was provided.

(3) *Effective date of informal resolution.* The imposed resolution will become effective and binding at the expiration of 15 days following notification to recipient and complainant by certified mail of the imposed resolution, unless either party appeals the resolution before the expiration of the 15 days. Any appeal shall be in writing to the Secretary and shall include the basis for the appeal.

(g) *Sanctions.* Sanctions that may be imposed on recipients that fail to comply with the regulations of this part include debarment, suspension and limited denial of participation in HUD programs.

(h) *Investigation of complaint.* The Assistant Secretary reserves the right to investigate a complaint directly when, in the Assistant Secretary's discretion, the investigation would further the purposes of section 3 and this part.

(i) *Intimidatory or retaliatory acts prohibited.* No recipient or other person shall intimidate, threaten, coerce, or discriminate against any person or business because the person or business has made a complaint, testified, assisted or participated in any manner in an investigation, proceeding, or hearing under this part. The identity of complainants shall be kept confidential except to the extent necessary to carry out the purposes of this part, including the conduct of any investigation, hearing or judicial proceeding arising thereunder.

(j) *Judicial relief.* Nothing in this subpart D precludes a section 3 resident or section 3 business concerning from exercising the right, which may otherwise be available, to seek redress directly through judicial procedures. (Approved by the Office of Management and Budget under control number 2529-0043.)

Subpart E—Reporting and Recordkeeping

§ 135.90 Reporting.

Each recipient which receives directly from HUD financial assistance that is subject to the requirements of this part shall submit to the Assistant Secretary an annual report in such form and with such information as the Assistant Secretary may request, for the purpose of determining the effectiveness of section 3. Where the program providing the section 3 covered assistance requires submission of an annual performance report, the section 3 report will be submitted with that annual performance report. If the program providing the section 3 covered assistance does not require an annual performance report, the section 3 report is to be submitted by January 10 of each year or within 10 days of project completion, whichever is earlier. All reports submitted to HUD in accordance with the requirements of this part will be made available to the public. (Approved by the Office of Management and Budget under control number 2529-0043.)

§ 135.92 Recordkeeping and access to records.

HUD shall have access to all records, reports, and other documents or items of the recipient that are maintained to demonstrate compliance with the requirements of this part, or that are maintained in accordance with the regulations governing the specific HUD program under which section 3 covered assistance is provided or otherwise made available to the recipient or contractor.

Appendix to Part 135

I. Examples of Efforts To Offer Training and Employment Opportunities to Section 3 Residents

(1) Entering into 'first source' hiring agreements with organizations representing Section 3 residents.

(2) Sponsoring a HUD-certified 'Step-Up' employment and training program for section 3 residents.

(3) Establishing training programs, which are consistent with the requirements of the Department of Labor, for public and Indian housing residents and other section 3 residents in the building trades.

(4) Advertising the training and employment positions by distributing flyers (which identify the positions to be filled, the qualifications required, and where to obtain additional information about the application process) to every occupied dwelling unit in the housing development or developments where category 1 or category 2 per-

sons (as these terms are defined in § 135.34) reside.

(5) Advertising the training and employment positions by posting flyers (which identify the positions to be filled, the qualifications required, and where to obtain additional information about the application process) in the common areas or other prominent areas of the housing development or developments. For HAs, post such advertising in the housing development or developments where category 1 or category 2 persons reside; for all other recipients, post such advertising in the housing development or developments and transitional housing in the neighborhood or service area of the section 3 covered project.

(6) Contacting resident councils, resident management corporations, or other resident organizations, where they exist, in the housing development or developments where category 1 or category 2 persons reside, and community organizations in HUD-assisted neighborhoods, to request the assistance of these organizations in notifying residents of the training and employment positions to be filled.

(7) Sponsoring (scheduling, advertising, financing or providing in-kind services) a job informational meeting to be conducted by an HA or contractor representative or representatives at a location in the housing development or developments where category 1 or category 2 persons reside or in the neighborhood or service area of the section 3 covered project.

(8) Arranging assistance in conducting job interviews and completing job applications for residents of the housing development or developments where category 1 or category 2 persons reside and in the neighborhood or service area in which a section 3 project is located.

(9) Arranging for a location in the housing development or developments where category 1 persons reside, or the neighborhood or service area of the project, where job applications may be delivered to and collected by a recipient or contractor representative or representatives.

(10) Conducting job interviews at the housing development or developments where category 1 or category 2 persons reside, or at a location within the neighborhood or service area of the section 3 covered project.

(11) Contacting agencies administering HUD Youthbuild programs, and requesting their assistance in recruiting HUD Youthbuild program participants for the HA's or contractor's training and employment positions.

(12) Consulting with State and local agencies administering training programs funded through JTPA or JOBS, probation and parole agencies, unemployment compensation programs, community organizations and other officials or organizations to assist with recruiting Section 3 residents for the

HA's or contractor's training and employment positions.

(13) Advertising the jobs to be filled through the local media, such as community television networks, newspapers of general circulation, and radio advertising.

(14) Employing a job coordinator, or contracting with a business concern that is licensed in the field of job placement (preferably one of the section 3 business concerns identified in part 135), that will undertake, on behalf of the HA, other recipient or contractor, the efforts to match eligible and qualified section 3 residents with the training and employment positions that the HA or contractor intends to fill.

(15) For an HA, employing section 3 residents directly on either a permanent or a temporary basis to perform work generated by section 3 assistance. (This type of employment is referred to as "force account labor" in HUD's Indian housing regulations. See 24 CFR 905.102, and § 905.201(a)(6).)

(16) Where there are more qualified section 3 residents than there are positions to be filled, maintaining a file of eligible qualified section 3 residents for future employment positions.

(17) Undertaking job counseling, education and related programs in association with local educational institutions.

(18) Undertaking such continued job training efforts as may be necessary to ensure the continued employment of section 3 residents previously hired for employment opportunities.

(19) After selection of bidders but prior to execution of contracts, incorporating into the contract a negotiated provision for a specific number of public housing or other section 3 residents to be trained or employed on the section 3 covered assistance.

(20) Coordinating plans and implementation of economic development (e.g., job training and preparation, business development assistance for residents) with the planning for housing and community development.

II. Examples of Efforts To Award Contracts to Section 3 Business Concerns

(1) Utilizing procurement procedures for section 3 business concerns similar to those provided in 24 CFR part 905 for business concerns owned by Native Americans (see section III of this Appendix).

(2) In determining the responsibility of potential contractors, consider their record of section 3 compliance as evidenced by past actions and their current plans for the pending contract.

(3) Contacting business assistance agencies, minority contractors associations and community organizations to inform them of contracting opportunities and requesting their assistance in identifying section 3 businesses which may solicit bids or propos-

als for contracts for work in connection with section 3 covered assistance.

(4) Advertising contracting opportunities by posting notices, which provide general information about the work to be contracted and where to obtain additional information, in the common areas or other prominent areas of the housing development or developments owned and managed by the HA.

(5) For HAs, contacting resident councils, resident management corporations, or other resident organizations, where they exist, and requesting their assistance in identifying category 1 and category 2 business concerns.

(6) Providing written notice to all known section 3 business concerns of the contracting opportunities. This notice should be in sufficient time to allow the section 3 business concerns to respond to the bid invitations or request for proposals.

(7) Following up with section 3 business concerns that have expressed interest in the contracting opportunities by contacting them to provide additional information on the contracting opportunities.

(8) Coordinating pre-bid meetings at which section 3 business concerns could be informed of upcoming contracting and sub-contracting opportunities.

(9) Carrying out workshops on contracting procedures and specific contract opportunities in a timely manner so that section 3 business concerns can take advantage of upcoming contracting opportunities, with such information being made available in languages other than English where appropriate.

(10) Advising section 3 business concerns as to where they may seek assistance to overcome limitations such as inability to obtain bonding, lines of credit, financing, or insurance.

(11) Arranging solicitations, times for the presentation of bids, quantities, specifications, and delivery schedules in ways to facilitate the participation of section 3 business concerns.

(12) Where appropriate, breaking out contract work items into economically feasible units to facilitate participation by section 3 business concerns.

(13) Contacting agencies administering HUD Youthbuild programs, and notifying these agencies of the contracting opportunities.

(14) Advertising the contracting opportunities through trade association papers and newsletters, and through the local media, such as community television networks, newspapers of general circulation, and radio advertising.

(15) Developing a list of eligible section 3 business concerns.

(16) For HAs, participating in the "Contracting with Resident-Owned Businesses" program provided under 24 CFR part 963.

(17) Establishing or sponsoring programs designed to assist residents of public or

Indian housing in the creation and development of resident-owned businesses.

(18) Establishing numerical goals (number of awards and dollar amount of contracts) for award of contracts to section 3 business concerns.

(19) Supporting businesses which provide economic opportunities to low income persons by linking them to the support services available through the Small Business Administration (SBA), the Department of Commerce and comparable agencies at the State and local levels.

(20) Encouraging financial institutions, in carrying out their responsibilities under the Community Reinvestment Act, to provide no or low interest loans for providing working capital and other financial business needs.

(21) Actively supporting joint ventures with section 3 business concerns.

(22) Actively supporting the development or maintenance of business incubators which assist Section 3 business concerns.

III. Examples of Procurement Procedures That Provide for Preference for Section 3 Business Concerns

This Section III provides specific procedures that may be followed by recipients and contractors (collectively, referred to as the "contracting party") for implementing the section 3 contracting preference for each of the competitive procurement methods authorized in 24 CFR 85.36(d).

(1) *Small Purchase Procedures.* For section 3 covered contracts aggregating no more than \$25,000, the methods set forth in this paragraph (1) or the more formal procedures set forth in paragraphs (2) and (3) of this Section III may be utilized.

(i) *Solicitation.* (A) Quotations may be solicited by telephone, letter or other informal procedure provided that the manner of solicitation provides for participation by a reasonable number of competitive sources. At the time of solicitation, the parties must be informed of:

- the section 3 covered contract to be awarded with sufficient specificity;
- the time within which quotations must be submitted; and
- the information that must be submitted with each quotation.

(B) If the method described in paragraph (i)(A) is utilized, there must be an attempt to obtain quotations from a minimum of three qualified sources in order to promote competition. Fewer than three quotations are acceptable when the contracting party has attempted, but has been unable, to obtain a sufficient number of competitive quotations. In unusual circumstances, the contracting party may accept the sole quotation received in response to a solicitation provided the price is reasonable. In all cases, the contracting party shall document the cir-

circumstances when it has been unable to obtain at least three quotations.

(ii) *Award.* (A) Where the section 3 covered contract is to be awarded based upon the lowest price, the contract shall be awarded to the qualified section 3 business concern with the lowest responsive quotation, if it is reasonable and no more than 10 percent higher than the quotation of the lowest responsive quotation from any qualified source. If no responsive quotation by a qualified section 3 business concern is within 10 percent of the lowest responsive quotation from any qualified source, the award shall be made to the source with the lowest quotation.

(B) Where the section 3 covered contract is to be awarded based on factors other than

price, a request for quotations shall be issued by developing the particulars of the solicitation, including a rating system for the assignment of points to evaluate the merits of each quotation. The solicitation shall identify all factors to be considered, including price or cost. The rating system shall provide for a range of 15 to 25 percent of the total number of available rating points to be set aside for the provision of preference for section 3 business concerns. The purchase order shall be awarded to the responsible firm whose quotation is the most advantageous, considering price and all other factors specified in the rating system.

(2) *Procurement by sealed bids (Invitations for Bids).* Preference in the award of section

3 covered contracts that are awarded under a sealed bid (IFB) process may be provided as follows:

(i) Bids shall be solicited from all businesses (section 3 business concerns, and non-section 3 business concerns). An award shall be made to the qualified section 3 business concern with the highest priority ranking and with the lowest responsive bid if that bid-

(A) is within the maximum total contract price established in the contracting party's budget for the specific project for which bids are being taken, and

(B) is not more than "X" higher than the total bid price of the lowest responsive bid from any responsible bidder. "X" is determined as follows:

	x = lesser of:
When the lowest responsive bid is less than \$100,000	10% of that bid or \$9,000.
When the lowest responsive bid is:	
At least \$100,000, but less than \$200,000	9% of that bid, or \$16,000.
At least \$200,000, but less than \$300,000	8% of that bid, or \$21,000.
At least \$300,000, but less than \$400,000	7% of that bid, or \$24,000.
At least \$400,000, but less than \$500,000	6% of that bid, or \$25,000.
At least \$500,000, but less than \$1 million	5% of that bid, or \$40,000.
At least \$1 million, but less than \$2 million	4% of that bid, or \$60,000.
At least \$2 million, but less than \$4 million	3% of that bid, or \$80,000.
At least \$4 million, but less than \$7 million	2% of that bid, or \$105,000.
\$7 million or more	1 1/2% of the lowest responsive bid, with no dollar limit.

(ii) If no responsive bid by a section 3 business concern meets the requirements of paragraph (2)(i) of this section, the contract shall be awarded to a responsible bidder with the lowest responsive bid.

(3) Procurement under the competitive proposals method of procurement (Request for Proposals (RFP)). (i) For contracts and subcontracts awarded under the competitive proposals method of procurement (24 CFR 85.36(d)(3)), a Request for Proposals (RFP) shall identify all evaluation factors (and their relative importance) to be used to rate proposals.

(ii) One of the evaluation factors shall address both the preference for section 3 business concerns and the acceptability of the strategy for meeting the greatest extent

feasible requirement (section 3 strategy), as disclosed in proposals submitted by all business concerns (section 3 and non-section 3 business concerns). This factor shall provide for a range of 15 to 25 percent of the total number of available points to be set aside for the evaluation of these two components.

(iii) The component of this evaluation factor designed to address the preference for section 3 business concerns must establish a preference for these business concerns in the order of priority ranking as described in 24 CFR 135.36.

(iv) With respect to the second component (the acceptability of the section 3 strategy), the RFP shall require the disclosure of the contractor's section 3 strategy to

comply with the section 3 training and employment preference, or contracting preference, or both, if applicable. A determination of the contractor's responsibility will include the submission of an acceptable section 3 strategy. The contract award shall be made to the responsible firm (either section 3 or non-section 3 business concern) whose proposal is determined most advantageous, considering price and all other factors specified in the RFP.

Dated: June 27, 1994.

Roberta Achtenberg,

Assistant Secretary for Fair Housing and Equal Opportunity.

19. SECTION 3 (Only required if total project cost, including change orders, totals \$100,000 or more)

Section 3 of the Housing and Urban Development Act of 1968 applies to this contract if the amount of HUD assistance exceeds \$200,000 or the contract or subcontract exceeds \$100,000. The Contractor shall, to the maximum extent feasible, make a good faith effort to fill any job vacancies, provide opportunities for training and employment in connection with this contract to low income persons residing in the PMSA relevant to the project location. Where the preceding applies, contractors must comply with the following Section 3 Clause:

- A. The work to be performed under this contract is subject to the requirements of Section 3 of the Housing and Urban Development Act of 1968, as amended, 12 U.S.C. 1791u (Section 3). The purpose of Section 3 is to ensure that employment and other economic opportunities generated by HUD assistance or HUD-assisted projects covered by Section 3, shall, to the greatest extent feasible, be directed to low- and very low-income persons, particularly persons who are recipients of HUD assistance for housing. Section 3 eligible employees are those residents from the area who are at or below 80% of median based on household size.
- B. The parties to this contract agree to comply with HUD's regulations in 24 CFR Part 135, which implement Section 3. As evidenced by their execution of this contract, the parties to this contract certify that they are under no contractual or other impediment that would prevent them from complying with the Part 135 regulations.
- C. The Contractor agrees to send to each labor organization or representative of workers with which the Contractor has a collective bargaining agreement or other understanding, if any, a notice advising the labor organization or workers' representative of the Contractor's commitments under this Section 3 clause, and will post copies of the notice in conspicuous places at the work site where both employees and applicants for training and employment positions can see the notice. The notice shall describe the Section 3 preference shall set for the minimum number and job titles subject to hire, availability of apprenticeship and training positions, the qualifications for each; and the name and location of the person(s) taking application for each of the positions; and the anticipated date the work shall begin.
- D. The Contractor agrees to include this Section 3 clause in every subcontract subject to compliance with regulations in 24 CFR Part 135, and agrees to take appropriate action, as provided in an applicable provision of the subcontract or in this Section 3 clause, upon a finding that the subcontractor is in violation of the regulations in 24 CFR Part 135. The Contractor will not subcontract with any subcontractor where the Contractor has notice or knowledge that the subcontractor has been found in violation of the regulations in 24 CFR Part 135.
- E. The Contractor will certify that any vacant employment positions, including training positions, that are filled (1) after the Contractor is selected but before the contract is executed, and (2) with persons other than those to whom the regulations of 24 CFR Part 135 require employment opportunities to be directed, were not filled to circumvent the Contractor's obligations under 24 CFR Part 135.
- F. To meet your Section 3 goals, you will be asked to provide an explanation of the process you use to hire employees as well as the number of new employees hired by you or your major subcontractors during this project. The goal is that 30% of the aggregate number of new hires be Section 3 eligible residents.
- G. Award of contracts to Section 3 eligible businesses also needs to be documented. The goal for Section 3 eligible businesses is 10% of the total contract cost. You will be asked to provide the number of contracts made to Section 3 eligible subcontractors, suppliers, or vendors during the course of this project, as well if any of these companies are minority/women/disadvantaged enterprises.

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

20. SPECIAL REQUIREMENTS

a. OSHA

Any contract awarded on or after July 1, 2009 requires any mechanic, laborer, or worker who performs work in a classification listed on the prevailing wage rate schedule on any public works project is required to complete a ten (10) hour federal OSHA safety and health course and provide proof of completion.

**FEDERAL OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION
(OSHA)**

Sec. 31-53b. Construction safety and health course. New miner training program. Proof of completion required for mechanics, laborers and workers on public works projects. Enforcement. Regulations. Exceptions. (a) Each contract for a public works project entered into on or after July 1, 2009, by the state or any of its agents, or by any political subdivision of the state or any of its agents, described in subsection (g) of section 31-53, shall contain a provision requiring that each contractor furnish proof with the weekly certified payroll form for the first week each employee begins work on such project that any person performing the work of a mechanic, laborer or worker pursuant to the classifications of labor under section 31-53 on such public works project, pursuant to such contract, has completed a course of at least ten hours in duration in construction safety and health approved by the federal Occupational Safety and Health Administration or, has completed a new miner training program approved the Federal Mine Safety and Health Administration in accordance with 30 CFR 48 or, in the case of telecommunications employees, has completed at least ten hours of training in accordance with 29 CFR 1910.268.

(b) any person required to complete a course or program under subsection (a) of this section who has not completed the course or program shall be subject to removal from the worksite if the person does not provide documentation of having completed such course or program by the fifteenth day after the date the person is found to be in noncompliance. The Labor Commissioner or said commissioner's designee shall enforce this section.

(c) Not later than January 1, 2009, the Labor Commissioner shall adopt regulations, in accordance with the provisions of chapter 54, to implement the provisions of subsections (a) and (b) of this section. Such regulations shall require that the ten-hour construction safety and health courses required under subsection (a) of this section be conducted in accordance with federal Occupational Safety and Health Administration Training Institute standards, or in accordance with 29 CFR 1910.268, as appropriate. The Labor Commissioner shall accept as sufficient proof of compliance with the provisions of subsection (a) or (b) of this section a student course completion card issued by the federal Occupational Safety and Health Administration Training Institute, or such other proof of compliance said commissioner deems appropriate, dated no earlier than five years before the commencement date of such public works project.

(d) This section shall not apply to employees of public service companies, as defined in section 16-1, or drivers of commercial motor vehicles driving the vehicle on the public works project and delivering or picking up cargo from public works projects provided they perform no labor relating to the project other than the loading and unloading of their cargo.

(P.A. 06-175, S.1; P.A. 08-83, S.1.)

History: P.A. 08-83 amended Subsec. (a) by making provisions applicable to public works project contracts entered into on or after July 1, 2009, replacing provision re total cost of work with reference to Sec. 31-53(g), requiring proof in certified payroll form that new mechanic, laborer or worker has completed a 10 hour or more construction safety course and adding provision re new miner training program, amended Subsec. (b) by substituting "person" for "employee" and adding "or program", amended Subsec. (c) by adding "or in accordance with Federal Mine Safety and health Administration Standards" and setting new deadline of January 1, 2009. Deleted former Subsec. (d) re 'public building'. Added new Subsec. (d) re exemptions for public service company employees and delivery drivers who perform no labor other than delivery and made conforming and technical changes, effective 1, 2009.

Informational Bulletin

The 10-Hour OSHA Construction Safety and Health Course

(Applicable to public building contracts entered into *on or after July 1, 2007*, where the total cost of all work to be performed is at least \$100,000)

1. This requirement was created by Public Act No. 06-175, which is codified in Section 31-53b of the Connecticut General Statutes (pertaining to the prevailing wage statutes);
2. The course is required for public works construction projects (projects funded in whole or in part by the state or any political subdivision of the state) entered into on or after July 1, 2007;
3. It is required of private employees (not state or municipal employees) and apprentices who perform manual labor for a general contractor or subcontractor on a public building project where the total cost of all work to be performed is at least \$100,000;
4. The ten-hour construction course pertains to the ten-hour Outreach Course conducted in accordance with federal OSHA Training Institute standards, and, for telecommunications workers, a ten-hour training course conducted in accordance with federal OSHA standard, 29 CFR 1910.268;
5. The internet website for the federal OSHA Training Institute is http://www.osha.gov/fso/ote/training/edcenters/fact_sheet.html ;
6. The statutory language leaves it to the contractor and its employees to determine who pays for the cost of the ten-hour Outreach Course;
7. Within 30 days of receiving a contract award, a general contractor must furnish proof to the Labor Commissioner that all employees

and apprentices performing manual labor on the project will have completed such a course;

8. Proof of completion may be demonstrated through either: (a) the presentation of a *bona fide* student course completion card issued by the federal OSHA Training Institute; or (2) the presentation of documentation provided to an employee by a trainer certified by the Institute pending the actual issuance of the completion card;
9. Any card with an issuance date more than 5 years prior to the commencement date of the construction project shall not constitute proof of compliance;
10. Each employer shall affix a copy of the construction safety course completion card to the certified payroll submitted to the contracting agency in accordance with Conn. Gen. Stat. § 31-53(f) on which such employee's name first appears;
11. Any employee found to be in non-compliance shall be subject to removal from the worksite if such employee does not provide satisfactory proof of course completion to the Labor Commissioner by the fifteenth day after the date the employee is determined to be in noncompliance;
12. Any such employee who is determined to be in noncompliance may continue to work on a public building construction project for a maximum of fourteen consecutive calendar days while bringing his or her status into compliance;
13. The Labor Commissioner may make complaint to the prosecuting authorities regarding any employer or agent of the employer, or officer or agent of the corporation who files a false certified payroll with respect to the status of an employee who is performing manual labor on a public building construction project;
14. The statute provides the minimum standards required for the completion of a safety course by manual laborers on public construction contracts; any contractor can exceed these minimum requirements; and

15. Regulations clarifying the statute are currently in the regulatory process, and shall be posted on the CTDOL website as soon as they are adopted in final form.

16. Any questions regarding this statute may be directed to the Wage and Workplace Standards Division of the Connecticut Labor Department via the internet website of <http://www.ctdol.state.ct.us/wgwkstnd/wgemenu.htm>; or by telephone at (860) 263-6790.

THE ABOVE INFORMATION IS PROVIDED EXCLUSIVELY AS AN EDUCATIONAL RESOURCE, AND IS NOT INTENDED AS A SUBSTITUTE FOR LEGAL INTERPRETATIONS, WHICH MAY ULTIMATELY ARISE CONCERNING THE CONSTRUCTION OF THE STATUTE OR THE REGULATIONS.

Catholic Charities of Fairfield County – Bethlehem House I & II Rehabilitation
Stratford, CT

EXHIBIT “D”

Equal Employment Opportunity Compliance with Executive Order 11246

APPENDIX 140

Nondiscrimination in Employment by Government Contractors and Subcontractors

EQUAL EMPLOYMENT OPPORTUNITY

Executive Order 11246*

[30 F.R. 12319 to 25]

PART II—

NONDISCRIMINATION IN EMPLOYMENT BY GOVERNMENT CONTRACTORS AND SUBCONTRACTORS

SUBPART A—

DUTIES OF THE SECRETARY OF LABOR

Sec. 201. The Secretary of Labor shall be responsible for the administration of Parts II and III of this Order and shall adopt such rules and regulations and issue such orders as he deems necessary and appropriate to achieve the purposes thereof.

SUBPART B—

CONTRACTORS' AGREEMENTS

Sec. 202. Except in contracts exempted in accordance with Section 204 of this Order, all Government contracting agencies shall include in every Government contract hereafter entered into the following provisions:

"During the performance of this contract, the contractor agrees as follows:

"(1) The contractor will not discriminate against any employee or applicant for employment because of race, color, religion, sex, or national origin. The contractor will take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without regard to their race, color, religion, sex, or national origin. Such action shall include, but not be limited to the following: employment, upgrading, demotion, or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. The contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided by the contracting officer setting forth the provisions of this nondiscrimination clause.

"(2) The contractor will, in all solicitations or advertisements for employees placed by or on behalf of the contractor, state that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex, or national origin.

"(3) The contractor will send to each labor union or representative of workers with which he has a collective bargaining agreement or other contract or understanding, a notice, to be provided by the agency contracting officer, advising the labor union or workers' representative of the contractors' commitments under Section 202 of Executive Order No. 11246 of September 24, 1965, and shall post copies of the notice in conspicuous places available to employees and applicants for employment.

"(4) The contractor will comply with all provisions of Executive Order No. 11246 of September 24, 1965, and of the rules, regulations, and relevant orders of the Secretary of Labor.

"(5) The contractor will furnish all information and reports required by Executive Order No. 11246 of September 24, 1965, and by the rules, regulations, and orders of the Secretary of Labor, or pursuant

*Executive Order 11478 of August 8, 1969, 34 Fed. Reg. 12985, infra, superseded Part 1 (Nondiscrimination in Government Employment) of Executive Order 11246 (Equal Employment Opportunity) of September 24, 1965, 30 Fed. Reg. 12319.

thereto, and will permit access to his books, records, and accounts by the contracting agency and the Secretary of Labor for purposes of investigation to ascertain compliance with such rules, regulations, and orders.

"(6) In the event of the contractor's noncompliance with the nondiscrimination clauses of this contract or with any of such rules, regulations, or orders, this contract may be cancelled, terminated or suspended in whole or in part and the contractor may be declared ineligible for further Government contracts in accordance with procedures authorized in Executive Order No. 11246 of September 24, 1965, and such other sanctions may be imposed and remedies invoked as provided in Executive Order No. 11246 of September 24, 1965, or by rule, regulation, or order of the Secretary of Labor, or as otherwise provided by law.

"(7) The contractor will include the provisions of Paragraphs (1) through (7) in every subcontract or purchase order unless exempted by rules, regulations, or orders of the Secretary of Labor issued pursuant to Section 204 of Executive Order No. 11246 of September 24, 1965, so that such provisions will be binding upon each subcontractor or vendor. The contractor will take such action with respect to any subcontract or purchase order as the contracting agency may direct as a means of enforcing such provisions including sanctions for noncompliance: *Provided, however,* That in the event the contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the contracting agency, the contractor may request the United States to enter into such litigation to protect the interests of the United States."

Sec. 203. (a) Each contractor having a contract containing the provisions prescribed in Section 202 shall file, and shall cause each of his subcontractors to file, Compliance Reports with the contracting agency or the Secretary of Labor as any be directed. Compliance Reports shall be filed within such times and shall contain such information as to the practices, policies, programs, and employment policies, programs, and employment statistics of the contractor and each subcontractor, and shall be in such form, as the Secretary of Labor may prescribe.

(b) Bidders or prospective contractors or subcontractors may be required to state whether they have participated in any previous contract subject to the provisions of this Order, or any preceding similar Executive order, and in that event to submit, on behalf of themselves and their proposed subcontractors, Compliance Reports prior to or as an initial part of their bid or negotiation of a contract.

(c) Whenever the contractor or subcontractor has a collective bargaining agreement or other contract or understanding with a labor union or an agency referring workers or providing or supervising apprenticeship or training for such workers, the Compliance Report shall include such information as to such labor union's or agency's practices and policies affecting compliance as the Secretary of Labor may prescribe: *Provided,* That to the extent such information is within the exclusive possession of a labor union or an agency referring workers or providing or supervising apprenticeship or training and such labor union or agency shall refuse to furnish such information to the contractor, the contractor shall so certify to the contracting agency as part of its Compliance Report and shall set forth what efforts he has made to obtain such information.

(d) The contracting agency or the Secretary of Labor may direct that any bidder or prospective contractor or subcontractor shall submit, as part of his Compliance Report, a statement in writing, signed by an authorized officer or agent on behalf of any labor union or any agency referring workers or providing or supervising apprenticeship or other training, with which the bidder or prospective contractor deals, with supporting information, to the effect that the signer's practices and policies do not discriminate on the grounds of race, color, religion, sex or national origin, and that the signer either will affirmatively cooperate in the implementation of the policy and provisions of this order or that it consents and agrees that recruitment, employment, and the terms and conditions of employment under the proposed contract shall be in accordance with the purposes and provisions of the order. In the event that the union, or the agency shall refuse to execute such a statement, the Compliance Report shall so certify and set forth what efforts have been made to secure such a statement and such additional factual material as the contracting agency or the Secretary of Labor may require.

Sec. 204. The Secretary of Labor may, when he deems that special circumstances in the national interest so require, exempt a contracting agency from the requirement of including any or all of the provisions of Section 202 of this Order in any specific contract, subcontract, or purchase order. The Secretary of Labor may, by rule or regulation, also exempt certain classes of contracts, subcontracts, or purchase orders (1) whenever work is to be or has been performed outside the United States and no recruitment of workers within the limits of the United States is involved; (2) for standard commercial supplies or raw materials; (3) involving less than specified amounts of money or specified numbers of workers; or (4) to the extent that

they involve subcontracts below a specified tier. The Secretary of Labor may also provide, by rule, regulation, or order, for the exemption of facilities of a contractor which are in all respects separate and distinct from activities of the contractor related to the performance of the contract: *Provided*, That such an exemption will not interfere with or impede the effectuation of the purposes of this Order: *And provided further*, That in the absence of such an exemption all facilities shall be covered by the provisions of this Order.

SUBPART C--

POWERS AND DUTIES OF THE SECRETARY OF LABOR AND THE CONTRACTING AGENCIES

- Sec. 205.** Each contracting agency shall be primarily responsible for obtaining compliance with the rules, regulations, and orders of the Secretary of Labor with respect to contracts entered into by such agency or its contractors. All contracting agencies shall comply with the rules of the Secretary of Labor in discharging their primary responsibility for securing compliance with the provisions of contracts and otherwise with the terms of this Order and of the rules, regulations, and orders of the Secretary of Labor issued pursuant to this Order. They are directed to cooperate with the Secretary of Labor and to furnish the Secretary of Labor such information and assistance as he may require in the performance of his functions under this Order. They are further directed to appoint or designate, from among the agency's personnel, compliance officers. It shall be the duty of such officers to seek compliance with the objectives of this Order by conference, conciliation, mediation, or persuasion.
- Sec. 206.** (a) The Secretary of Labor may investigate the employment practices of any Government contractor or subcontractor, or initiate such investigation by the appropriate contracting agency, to determine whether or not the contractual provisions specified in Section 202 of this Order have been violated. Such investigation shall be conducted in accordance with the procedures established by the Secretary of Labor and the investigating agency shall report to the Secretary of Labor any action taken or recommended.
- (b) The Secretary of Labor may receive and investigate or cause to be investigated complaints by employees or prospective employees of a Government contractor or subcontractor which allege discrimination contrary to the contractual provisions specified in Section 202 of this Order. If this investigation is conducted for the Secretary of Labor by a contracting agency, that agency shall report to the Secretary what action has been taken or is recommended with regard to such complaints.
- Sec. 207.** The Secretary of Labor shall use his best efforts, directly and through contracting agencies, other interested Federal, State, and local agencies, contractors, and all other available instrumentalities to cause any labor union engaged in work under Government contracts or any agency referring workers or providing or supervising apprenticeship or training for or in the course of such work to cooperate in the implementation of the purposes of this Order. The Secretary of Labor shall, in appropriate cases, notify the Equal Employment Opportunity Commission, the Department of Justice, or other appropriate Federal agencies whenever it has reason to believe that the practices of any such labor organization or agency violate Title VI or Title VII of the Civil Rights Act of 1964 or other provision of Federal law.
- Sec. 208.** (a) The Secretary of Labor, or any agency, officer, or employee in the executive branch of the Government designated by rule, regulation, or order of the Secretary, may hold such hearings, public or private, as the Secretary may deem advisable for compliance, enforcement, or educational purposes.
- (b) The Secretary of Labor may hold, or cause to be held, hearings in accordance with Subsection (a) of this Section prior to imposing, ordering, or recommending the imposition of penalties and sanctions under this Order. No order for debarment of any contractor from further Government contracts under Section 209(a)(6) shall be made without affording the contractor an opportunity for a hearing.

SUBPART D--

SANCTIONS AND PENALTIES

- Sec. 209.** (a) In accordance with such rules, regulations, or orders as the Secretary of Labor may issue or adopt, the Secretary or the appropriate contracting agency may:
- (1) Publish, or cause to be published, the names of contractors or unions which it has concluded have complied or have failed to comply with the provisions of this Order or of the rules, regulations, and orders of the Secretary of Labor.

(2) Recommend to the Department of Justice that, in cases in which there is substantial or material violation or the threat of substantial or material violation of the contractual provisions set forth in Section 202 of this Order, appropriate proceedings be brought to enforce those provisions, including the enjoining, within the limitations of applicable law, of organizations, individuals, or groups who prevent directly or indirectly, or seek to prevent directly or indirectly, compliance with the provisions of this Order.

(3) Recommend to the Equal Employment Opportunity Commission or the Department of Justice that appropriate proceedings be instituted under Title VII of the Civil Rights Act of 1964.

(4) Recommend to the Department of Justice that criminal proceedings be brought for the furnishing of false information to any contracting agency or to the Secretary of Labor as the case may be.

(5) Cancel, terminate, suspend, or cause to be canceled, terminated, or suspended, any contract, or any portion or portions thereof, for failure of the contractor or subcontractor to comply with the nondiscrimination provisions of the contract. Contracts may be cancelled, terminated, or suspended absolutely or continuance of contracts may be conditioned upon a program for future compliance approved by the contracting agency.

(6) Provide that any contracting agency shall refrain from entering into further contracts, or extensions or other modifications of existing contracts, with any noncomplying contractor, until such contractor has satisfied the Secretary of Labor that such contractor has established and will carry out personnel and employment policies in compliance with the provisions of this Order.

(b) Under rules and regulations prescribed by the Secretary of Labor, each contracting agency shall make reasonable efforts within a reasonable time limitation to secure compliance with the contract provisions of this Order by methods of conference, conciliation, mediation, and persuasion before proceedings shall be instituted under Subsection (a)(2) of this Section, or before a contract shall be canceled or terminated in whole or in part under Subsection (a)(5) of this Section for failure of a contractor or subcontractor to comply with the contract provisions of this Order.

Sec. 210. Any contracting agency taking any action authorized by this Subpart, whether on its own motion, or as directed by the Secretary of Labor, or under the rules and regulations of the Secretary, shall promptly notify the Secretary of such action. Whenever the Secretary of Labor makes a determination under this section, he shall promptly notify the appropriate contracting agency of the action recommended. The agency shall take such action and shall report the results thereof to the Secretary of Labor within such time as the Secretary shall specify.

Sec. 211. If the Secretary shall so direct, contracting agencies shall not enter into contracts with any bidder or prospective contractor unless the bidder or prospective contractor has satisfactorily complied with the provisions of this Order or submits a program for compliance acceptable to the Secretary of Labor or, if the Secretary so authorizes, to the contracting agency.

Sec. 212. Whenever a contracting agency cancels or terminates a contract, or whenever a contractor has been debarred from further Government contracts, under Section 209(a)(6) because of noncompliance with the contract provisions with regard to nondiscrimination, the Secretary of Labor, or the contracting agency involved, shall promptly notify the Comptroller General of the United States. Any such debarment may be rescinded by the Secretary of Labor or by the contracting agency which imposed the sanction.

SUBPART E—

CERTIFICATES OF MERIT

Sec. 213. The Secretary of Labor may provide for issuance of a United States Government Certificate of Merit to employers or labor unions, or other agencies which are or may hereafter be engaged in work under Government contracts, if the Secretary is satisfied that the personnel and employment practices of the employer, or that the personnel, training, apprenticeship, membership, grievance and representation, upgrading, and other practices and policies of the labor union or other agency conform to the purposes and provisions of this Order.

Sec. 214. Any Certificate of Merit may at any time be suspended or revoked by the Secretary of Labor if the holder thereof, in the judgment of the Secretary, has failed to comply with the provisions of this Order.

Sec. 215. The Secretary of Labor may provide for the exemption of any employer, labor union, or other agency from any reporting requirements imposed under or pursuant to this Order if such employer, labor union, or other agency has been awarded a Certificate of Merit which has not been suspended or revoked.

PART III--

NONDISCRIMINATION PROVISIONS IN FEDERALLY ASSISTED CONSTRUCTION CONTRACTS

SEC. 301. Each executive department and agency which administers a program involving Federal financial assistance shall require as a condition for the approval of any grant, contract, loan, insurance, or guarantee thereunder, which may involve a construction contract, that the applicant for Federal assistance undertake and agree to incorporate, or cause to be incorporated, into all construction contracts paid for in whole or in part with funds obtained from the Federal Government or borrowed on the credit of the Federal Government pursuant to such grant, contract, loan, insurance, or guarantee, or undertaken pursuant to any Federal program involving such grant, contract, loan, insurance, or guarantee, the provisions prescribed for Government contracts by Section 203 of this Order or such modification thereof, preserving in substance the contractor's obligations thereunder, as may be approved by the Secretary of Labor, together with such additional provisions as the Secretary deems appropriate to establish and protect the interest of the United States in the enforcement of those obligations. Each such applicant shall also undertake and agree (1) to assist and cooperate actively with the administering department or agency and the Secretary of Labor in obtaining the compliance of contractors and subcontractors with those contract provisions and with the rules, regulations, and relevant orders of the Secretary, (2) to obtain and to furnish to the administering department or agency and to the Secretary of Labor such information as they may require for the supervision of such compliance, (3) to carry out sanctions and penalties for violation of such obligations imposed upon contractors and subcontractors by the Secretary of Labor or the administering department or agency pursuant to Part II, Subpart D, of this Order, and (4) to refrain from entering into any contract subject to this Order, or extension or other modification of such a contract with a contractor debarred from Government contracts under Part II, Subpart D, of this Order.

Sec. 302. (a) "Construction contract" as used in this Order means any contract for the construction, rehabilitation, alteration, conversion, extension, or repair of buildings, highways, or other improvements to real property.

(b) The provisions of Part II of this Order shall apply to such construction contracts, and for purposes of such application the administering department or agency shall be considered the contracting agency referred to therein.

(c) The term "applicant" as used in this Order means an applicant for Federal assistance or, as determined by agency regulation, other program participant, with respect to whom as application for any grant, contract, loan, insurance, or guarantee is not finally acted upon prior to the effective date of this Part, and it includes such an applicant after he becomes a recipient of such Federal assistance.

Sec. 303. (a) Each administering department and agency shall be responsible for obtaining the compliance of such applicants with their undertakings under this Order. Each administering department and agency is directed to cooperate with the Secretary of Labor, and to furnish the Secretary such information and assistance as he may require in the performance of his functions under this Order.

(b) In the event an applicant fails and refuses to comply with his undertakings, the administering department or agency may take any or all of the following actions: (1) cancel, terminate, or suspend in whole or in part the agreement, contract, or other arrangement with such applicant with respect to which the failure and refusal occurred; (2) refrain from extending any further assistance to the applicant under the program with respect to which the failure or refusal occurred until satisfactory assistance of future compliance has been received from such applicant; and (3) refer the case to the Department of Justice for appropriate legal proceedings.

(c) Any action with respect to an applicant pursuant to Subsection (b) shall be taken in conformity with Section 602 of the Civil Rights Act of 1964 (and the regulations of the administer-

ing department or agency issued thereunder), to the extent applicable. In no case shall action be taken with respect to an applicant pursuant to Clause (1) or (2) of Subsection (b) without notice and opportunity for hearing before the administering department or agency.

Sec. 304. Any executive department or agency which imposes by rule, regulation, or order requirements of nondiscrimination in employment, other than requirements imposed pursuant to this Order, may delegate to the Secretary of Labor by agreement such responsibilities with respect to compliance standards, reports, and procedures as would tend to bring the administration of such requirements into conformity with the administration of requirements imposed under this Order: *Provided*, That actions to effect compliance by recipients of Federal financial assistance with requirements imposed pursuant to Title VI of the Civil Rights Act of 1964 shall be taken in conformity with the procedures and limitations prescribed in Section 602 thereof and the regulations of the administering department or agency issued thereunder.

PART IV--

MISCELLANEOUS

Sec. 401. The Secretary of Labor may delegate to any officer, agency, or employee in the Executive branch of the Government, any function or duty of the Secretary under Parts II and III of this Order, except authority to promulgate rules and regulations of a general nature.

Sec. 402. The Secretary of Labor shall provide administrative support for the execution of the program known as the "Plans for Progress."

Sec. 403. (a) Executive Orders Nos. 10590 (January 19, 1955), 10722 (August 5, 1955), 10925 (March 6, 1961), 11114 (June 22, 1963), and 11162 (July 28, 1964), are hereby superseded and the President's Committee on Equal Employment Opportunity established by Executive Order No. 10925 is hereby abolished. All records and property in the custody of the Committee shall be transferred to the Civil Service Commission and the Secretary of Labor, as appropriate.

(b) Nothing in this Order shall be deemed to relieve any person of any obligation assumed or imposed under or pursuant to any Executive Order superseded by this Order. All rules, regulations, orders, instructions, designations, and other directives issued by the President's Committee on Equal Employment Opportunity and those issued by the heads of various departments or agencies under or pursuant to any of the Executive orders superseded by this Order, shall, to the extent that they are not inconsistent with this Order, remain in full force and effect unless and until revoked or superseded by appropriate authority. References in such directives to provisions of the superseded orders shall be deemed to be references to the comparable provisions of this Order.

Sec. 404. The General Services Administration shall take appropriate action to revise the standard Government contract forms to accord with the provisions of this Order and of the rules and regulations of the Secretary of Labor.

Sec. 405. This Order shall become effective thirty days after the date of this Order.

THE WHITE HOUSE,
September 24, 1965.

LYNDON B. JOHNSON.

EXHIBIT “E”

State Prevailing Wage and Salary Rates

Project: Catholic Charities Of Fairfield County Bethlehem House I And II Rehabilitation

Power Equipment Operator: Loader (3 cubic yards up to 7 cubic yards)	35.20	23.05 + a
Power Equipment Operator: Loader (7 cubic yards or over)	37.55	23.05 + a
Power Equipment Operator: Backhoe/Excavator under 2 cubic yards; Rubber Tire Backhoe/Excavator	36.49	23.05 + a
Power Equipment Operator: Bulldozer (Rough Grade Dozer)	35.20	23.05 + a
Power Equipment Operator: Loader (under 3 cubic yards)	34.03	23.05 + a
Sheet Metal Mechanics (Including HVAC Duct Installation) (Trade License required: SM-1,2,3,4,5,6)	29.76	19.79
Carpenters, Lathers, Resilient Floorlayers and Piledrivers	31.45	23.54
Electricians (Trade License required: E1,2 L-5,6 C-5,6 T-1,2 L-1,2, V-1,2,7,8,9)	37.62	23.00 + 3% of gross wage
Glazier	34.58	18.55 + a
Painter: Brush/Roller	31.02	18.55

As of: Wednesday, February 10, 2016

Project: Catholic Charities Of Fairfield County Bethlehem House I And II Rehabilitation

Laborers: Common or General	13.13	4.24
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Laborers: Landscape, Asbestos/Toxic Waste Removal, Lead Removal and Encapsulation	14.96	4.63
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Plumber/Pipefitter (Including HVAC Pipe Installation)	40.62	28.91
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As of: **Wednesday, February 10, 2016**

Project: Catholic Charities Of Fairfield County Bethlehem House I And II Rehabilitation

Welders: Rate for craft to which welding is incidental.

**Note: Hazardous waste removal work receives additional \$1.25 per hour for truck drivers.*

***Note: Hazardous waste premium \$3.00 per hour over classified rate.*

ALL Cranes: When crane operator is operating equipment that requires a fully licensed crane operator to operate he receives an extra \$2.00 premium in addition to the hourly wage rate and benefit contributions:

- 1) Crane handling or erecting structural steel or stone; hoisting engineer (2 drums or over)***
- 2) Cranes (100 ton rate capacity and over) Bauer Drill/Caisson***
- 3) Cranes (under 100 ton rated capacity)***

Crane with 150 ft. boom (including jib) - \$1.50 extra.

Crane with 200 ft. boom (including jib) - \$2.50 extra.

Crane with 250 ft. boom (including jib) - \$5.00 extra.

Crane with 300 ft. boom (including jib) - \$7.00 extra.

Crane with 400 ft. boom (including jib) - \$10.00 extra.

All classifications that indicate a percentage of the fringe benefits must be calculated at the percentage rate times the "base hourly rate".

Apprentices duly registered under the Commissioner of Labor's regulations on "Work Training Standards for Apprenticeship and Training Programs" Section 31-51-d-1 to 12, are allowed to be paid the appropriate percentage of the prevailing journeymen hourly base and the full fringe benefit rate, providing the work site ratio shall not be less than one full-time journeyman instructing and supervising the work of each apprentice in a specific trade.

~~Connecticut General Statute Section 31-55a: Annual Adjustments to wage rates by contractors doing state work ~~

The Prevailing wage rates applicable to this project are subject to annual adjustments each July 1st for the duration of the project.

Each contractor shall pay the annual adjusted prevailing wage rate that is in effect each July 1st, as posted by the Department of Labor.

It is the contractor's responsibility to obtain the annual adjusted prevailing wage rate increases directly from the Department of Labor's website.

The annual adjustments will be posted on the Department of Labor's Web page: www.ct.gov/dol.

The Department of Labor will continue to issue the initial prevailing wage rate schedule to the Contracting Agency for the project.

All subsequent annual adjustments will be posted on our Web Site for contractor access.

Contracting Agencies are under no obligation pursuant to State labor law to pay any increase due to the annual adjustment provision.

As of: Wednesday, February 10, 2016

Project: Catholic Charities Of Fairfield County Bethlehem House I And II Rehabilitation

Effective October 1, 2005 - Public Act 05-50: any person performing the work of any mechanic, laborer, or worker shall be paid prevailing wage

All certified payrolls must list the hours worked and wages paid to All Persons who perform work ON SITE regardless of their ownership i.e.: (Owners, Corporate Officers, LLC Members, Independent Contractors, et. al)

All Person who perform work ON SITE must be paid prevailing wage for the appropriate mechanic, laborer, or worker classification.

Reporting and payment of wages is required regardless of any contractual relationship alleged to exist between the contractor and such person.

~~Unlisted classifications needed for work not included within the scope of the classifications listed may be added after award only as provided in the labor standards contract clause (29 CFR 5.5 (a) (1) (ii)).

Please direct any questions which you may have pertaining to classification of work and payment of prevailing wages to the Wage and Workplace Standards Division, telephone (860)263-6790.

As of: **Wednesday, February 10, 2016**

EXHIBIT “F”

State Prevailing Wage Bid Package

- 1. Prevailing Wage Law Poster**
- 2. Section 31-53b**
- 3. Informational Bulletin – The 10-Hour OSHA Construction Safety and Health Course**
- 4. Notice for All Mason Contractors**
- 5. CT General Statute 31-55a**
- 6. Contracting Agency Certification Form**
- 7. Contractor’s Wage Certification Form**
- 8. Payroll Certification – Public Works Projects**
- 9. Occupational Classification Bulletin**
- 10. Footnotes (Rev. 06/15)**



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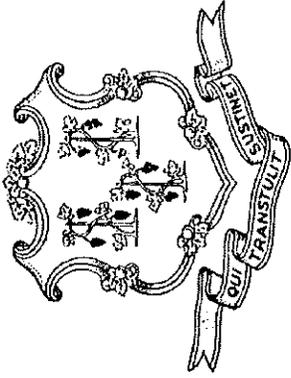
PREVAILING WAGE BID PACKAGE

- [Prevailing Wage Law Poster](#) (PDF, 97KB)
- [Section 31-53b](#): Construction safety and Health Course. Proof of completion required for employees on public building projects. (PDF, 10KB)
 - [Informational Bulletin - The 10-Hour OSHA Construction Safety and Health Course](#) (PDF, 20KB)
- [Notice For All Mason Contractors](#) (PDF, 5KB)
- [CT General Statute 31-55a](#)
- [Contracting Agency Certification Form](#) (PDF, 89KB)
- [Contractor's Wage Certification Form](#) (PDF, 11KB)
- [Payroll Certification - Public Works Projects](#)
- [Occupational Classification Bulletin](#)
- [Footnotes](#) (Rev. 06/15) (PDF, 24KB)

200 Folly Brook Boulevard, Wethersfield, CT 06109 / Phone: 860-263-6000

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THIS IS A PUBLIC WORKS PROJECT

Covered by the

PREVAILING WAGE LAW

CT General Statutes Section 31-53

**If you have QUESTIONS regarding your wages
CALL (860) 263-6790**

Section 31-55 of the CT State Statutes requires every contractor or subcontractor performing work for the state to post in a prominent place the prevailing wages as determined by the Labor Commissioner.

Sec. 31-53b. Construction safety and health course. New miner training program. Proof of completion required for mechanics, laborers and workers on public works projects. Enforcement. Regulations. Exceptions.

(a) Each contract for a public works project entered into on or after July 1, 2009, by the state or any of its agents, or by any political subdivision of the state or any of its agents, described in subsection (g) of section 31-53, shall contain a provision requiring that each contractor furnish proof with the weekly certified payroll form for the first week each employee begins work on such project that any person performing the work of a mechanic, laborer or worker pursuant to the classifications of labor under section 31-53 on such public works project, pursuant to such contract, has completed a course of at least ten hours in duration in construction safety and health approved by the federal Occupational Safety and Health Administration or, has completed a new miner training program approved by the Federal Mine Safety and Health Administration in accordance with 30 CFR 48 or, in the case of telecommunications employees, has completed at least ten hours of training in accordance with 29 CFR 1910.268.

(b) Any person required to complete a course or program under subsection (a) of this section who has not completed the course or program shall be subject to removal from the worksite if the person does not provide documentation of having completed such course or program by the fifteenth day after the date the person is found to be in noncompliance. The Labor Commissioner or said commissioner's designee shall enforce this section.

(c) Not later than January 1, 2009, the Labor Commissioner shall adopt regulations, in accordance with the provisions of chapter 54, to implement the provisions of subsections (a) and (b) of this section. Such regulations shall require that the ten-hour construction safety and health courses required under subsection (a) of this section be conducted in accordance with federal Occupational Safety and Health Administration Training Institute standards, or in accordance with Federal Mine Safety and Health Administration Standards or in accordance with 29 CFR 1910.268, as appropriate. The Labor Commissioner shall accept as sufficient proof of compliance with the provisions of subsection (a) or (b) of this section a student course completion card issued by the federal Occupational Safety and Health Administration Training Institute, or such other proof of compliance said commissioner deems appropriate, dated no earlier than five years before the commencement date of such public works project.

(d) This section shall not apply to employees of public service companies, as defined in section 16-1, or drivers of commercial motor vehicles driving the vehicle on the public works project and delivering or picking up cargo from public works projects provided they perform no labor relating to the project other than the loading and unloading of their cargo.

(P.A. 06-175, S. 1; P.A. 08-83, S. 1.)

History: P.A. 08-83 amended Subsec. (a) by making provisions applicable to public works project contracts entered into on or after July 1, 2009, replacing provision re total cost of work with reference to Sec. 31-53(g), requiring proof in certified payroll form that new mechanic, laborer or worker has completed a 10-hour or more construction safety course and adding provision re new miner training program, amended Subsec. (b) by substituting "person" for "employee" and adding "or program", amended Subsec. (c) by adding "or in accordance with Federal Mine Safety and Health Administration Standards" and setting new deadline of January 1, 2009, deleted former Subsec. (d) re "public building", added new Subsec. (d) re exemptions for public service company employees and delivery drivers who perform no labor other than delivery and made conforming and technical changes, effective January 1, 2009.

Informational Bulletin

THE 10-HOUR OSHA CONSTRUCTION SAFETY AND HEALTH COURSE

(applicable to public building contracts entered into *on or after July 1, 2007*, where the total cost of all work to be performed is at least \$100,000)

- (1) This requirement was created by Public Act No. 06-175, which is codified in Section 31-53b of the Connecticut General Statutes (pertaining to the prevailing wage statutes);
- (2) The course is required for public building construction contracts (projects funded in whole or in part by the state or any political subdivision of the state) entered into on or after July 1, 2007;
- (3) It is required of private employees (not state or municipal employees) and apprentices who perform manual labor for a general contractor or subcontractor on a public building project where the total cost of all work to be performed is at least \$100,000;
- (4) The ten-hour construction course pertains to the ten-hour Outreach Course conducted in accordance with federal OSHA Training Institute standards, and, for telecommunications workers, a ten-hour training course conducted in accordance with federal OSHA standard, 29 CFR 1910.268;
- (5) The internet website for the federal OSHA Training Institute is http://www.osha.gov/fso/ote/training/edcenters/fact_sheet.html;
- (6) The statutory language leaves it to the contractor and its employees to determine who pays for the cost of the ten-hour Outreach Course;
- (7) Within 30 days of receiving a contract award, a general contractor must furnish proof to the Labor Commissioner that all employees and apprentices performing manual labor on the project will have completed such a course;
- (8) Proof of completion may be demonstrated through either: (a) the presentation of a *bona fide* student course completion card issued by the federal OSHA Training Institute; *or* (2) the presentation of documentation provided to an employee by a trainer certified by the Institute pending the actual issuance of the completion card;
- (9) Any card with an issuance date more than 5 years prior to the commencement date of the construction project shall not constitute proof of compliance;

- (10) Each employer shall affix a copy of the construction safety course completion card to the certified payroll submitted to the contracting agency in accordance with Conn. Gen. Stat. § 31-53(f) on which such employee's name first appears;
- (11) Any employee found to be in non-compliance shall be subject to removal from the worksite if such employee does not provide satisfactory proof of course completion to the Labor Commissioner by the fifteenth day after the date the employee is determined to be in noncompliance;
- (12) Any such employee who is determined to be in noncompliance may continue to work on a public building construction project for a maximum of fourteen consecutive calendar days while bringing his or her status into compliance;
- (13) The Labor Commissioner may make complaint to the prosecuting authorities regarding any employer or agent of the employer, or officer or agent of the corporation who files a false certified payroll with respect to the status of an employee who is performing manual labor on a public building construction project;
- (14) The statute provides the minimum standards required for the completion of a safety course by manual laborers on public construction contracts; any contractor can exceed these minimum requirements; and
- (15) Regulations clarifying the statute are currently in the regulatory process, and shall be posted on the CTDOL website as soon as they are adopted in final form.
- (16) Any questions regarding this statute may be directed to the Wage and Workplace Standards Division of the Connecticut Labor Department via the internet website of <http://www.ctdol.state.ct.us/wgwkstnd/wgmenu.htm>; or by telephone at (860)263-6790.

THE ABOVE INFORMATION IS PROVIDED EXCLUSIVELY AS AN EDUCATIONAL RESOURCE, AND IS NOT INTENDED AS A SUBSTITUTE FOR LEGAL INTERPRETATIONS WHICH MAY ULTIMATELY ARISE CONCERNING THE CONSTRUCTION OF THE STATUTE OR THE REGULATIONS.

November 29, 2006

Notice

To All Mason Contractors and Interested Parties Regarding Construction Pursuant to Section 31-53 of the Connecticut General Statutes (Prevailing Wage)

The Connecticut Labor Department Wage and Workplace Standards Division is empowered to enforce the prevailing wage rates on projects covered by the above referenced statute.

Over the past few years the Division has withheld enforcement of the rate in effect for workers who operate a forklift on a prevailing wage rate project due to a potential jurisdictional dispute.

The rate listed in the schedules and in our Occupational Bulletin (see enclosed) has been as follows:

Forklift Operator:

- **Laborers (Group 4) Mason Tenders** - operates forklift solely to assist a mason to a maximum height of nine feet only.
- **Power Equipment Operator (Group 9)** - operates forklift to assist any trade and to assist a mason to a height over nine feet.

The U.S. Labor Department conducted a survey of rates in Connecticut but it has not been published and the rate in effect remains as outlined in the above Occupational Bulletin.

Since this is a classification matter and not one of jurisdiction, effective January 1, 2007 the Connecticut Labor Department will enforce the rate on each schedule in accordance with our statutory authority.

Your cooperation in filing appropriate and accurate certified payrolls is appreciated.

STATUTE 31-55a

- SPECIAL NOTICE -

To: All State and Political Subdivisions, Their Agents, and Contractors

Connecticut General Statute 31-55a - Annual adjustments to wage rates by contractors doing state work.

Each contractor that is awarded a contract on or after October 1, 2002, for (1) the construction of a state highway or bridge that falls under the provisions of section 31-54 of the general statutes, or (2) the construction, remodeling, refinishing, refurbishing, rehabilitation, alteration or repair of any public works project that falls under the provisions of section 31-53 of the general statutes shall contact the Labor Commissioner on or before July first of each year, for the duration of such contract, to ascertain the prevailing rate of wages on an hourly basis and the amount of payment or contributions paid or payable on behalf of each mechanic, laborer or worker employed upon the work contracted to be done, and shall make any necessary adjustments to such prevailing rate of wages and such payment or contributions paid or payable on behalf of each such employee, effective each July first.

- The prevailing wage rates applicable to any contract or subcontract awarded on or after October 1, 2002 are subject to annual adjustments each July 1st for the duration of any project which was originally advertised for bids on or after October 1, 2002.
- Each contractor affected by the above requirement shall pay the annual adjusted prevailing wage rate that is in effect each July 1st, as posted by the Department of Labor.
- It is the **contractor's** responsibility to obtain the annual adjusted prevailing wage rate increases directly from the Department of Labor's Web Site. The annual adjustments will be posted on the Department of Labor Web page: www.ctdol.state.ct.us. For those without internet access, please contact the division listed below.
- The Department of Labor will continue to issue the initial prevailing wage rate schedule to the Contracting Agency for the project. All subsequent annual adjustments will be posted on our Web Site for contractor access.

Any questions should be directed to the Contract Compliance Unit, Wage and Workplace Standards Division, Connecticut Department of Labor, 200 Folly Brook Blvd., Wethersfield, CT 06109 at (860)263-6790.

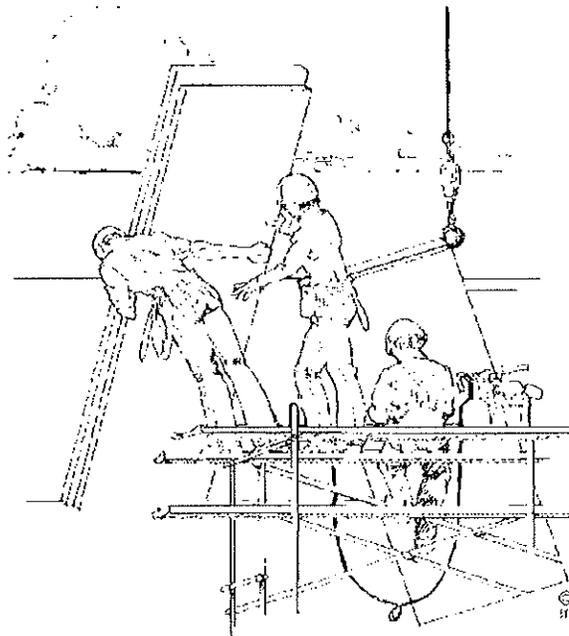
~NOTICE~

TO ALL CONTRACTING AGENCIES

Please be advised that Connecticut General Statutes Section 31-53, requires the contracting agency to certify to the Department of Labor, the total dollar amount of work to be done in connection with such public works project, regardless of whether such project consists of one or more contracts.

Please find the attached "Contracting Agency Certification Form" to be completed and returned to the Department of Labor, Wage and Workplace Standards Division, Public Contract Compliance Unit.

 Inquiries can be directed to (860)263-6543.



CONNECTICUT DEPARTMENT OF LABOR
WAGE AND WORKPLACE STANDARDS DIVISION
CONTRACT COMPLIANCE UNIT

CONTRACTING AGENCY CERTIFICATION FORM

I, _____, acting in my official capacity as _____,
authorized representative title

for _____, located at _____,
contracting agency address

do hereby certify that the total dollar amount of work to be done in connection with

_____, located at _____,
project name and number address

shall be \$_____, which includes all work, regardless of whether such project
consists of one or more contracts.

CONTRACTOR INFORMATION

Name: _____

Address: _____

Authorized Representative: _____

Approximate Starting Date: _____

Approximate Completion Date: _____

Signature

Date

Return To: Connecticut Department of Labor
Wage & Workplace Standards Division
Contract Compliance Unit
200 Folly Brook Blvd.
Wethersfield, CT 06109

Date Issued: _____

CONNECTICUT DEPARTMENT OF LABOR
WAGE AND WORKPLACE STANDARDS DIVISION

CONTRACTORS WAGE CERTIFICATION FORM
Construction Manager at Risk/General Contractor/Prime Contractor

I, _____ of _____
Officer, Owner, Authorized Rep. Company Name

do hereby certify that the _____
Company Name

Street

City

and all of its subcontractors will pay all workers on the

Project Name and Number

Street and City

the wages as listed in the schedule of prevailing rates required for such project (a copy of which is attached hereto).

Signed

Subscribed and sworn to before me this _____ day of _____, _____.

Notary Public

Return to:
Connecticut Department of Labor
Wage & Workplace Standards Division
200 Folly Brook Blvd.
Wethersfield, CT 06109

Rate Schedule Issued (Date): _____

In accordance with Connecticut General Statutes, 31-53 Certified Payrolls with a statement of compliance shall be submitted monthly to the contracting agency.

Note: Once you have downloaded these forms and are ready to print them out, set the print function on your PC to the horizontal print orientation.

Note2: Please download both the Payroll Certification for Public Works Projects **and** the Certified Statement of Compliance for a complete package. The Certified Statement of Compliance appears on the same page as the Fringe Benefits Explanation page.

Announcement: The Certified Payroll Form WWS-CPI can now be completed on-line!

- [Certified Payroll Form WWS-CPI \(PDF, 727KB\)](#)
- [Sample Completed Form \(PDF, 101KB\)](#)

[New] In accordance with Section 31-53b(a) of the C.G.S. each contractor shall provide a copy of the OSHA 10 Hour Construction Safety and Health Card for each employee, to be attached to the first certified payroll on the project.

PAYROLL CERTIFICATION FOR PUBLIC WORKS PROJECTS																
In accordance with Connecticut General Statutes, 31-53 Certified Payrolls with a statement of compliance shall be submitted monthly to the contracting agency.					Connecticut Department of Labor Wage and Workplace Standards Division 200 Folly Brook Blvd. Wethersfield, CT 06109											
CONTRACTOR NAME AND ADDRESS: _____																
SUBCONTRACTOR NAME & ADDRESS _____																
WORKER'S COMPENSATION INSURANCE CARRIER _____																
POLICY # _____																
EFFECTIVE DATE: _____																
EXPIRATION DATE: _____																
PAYROLL NUMBER	PERSON/WORKER, ADDRESS and SECTION	Week-Ending Date	PROJECT NAME & ADDRESS	DAY AND DATE							Total Hours	GROSS PAY FOR ALL WORK PERFORMED THIS WEEK	TOTAL DEDUCTIONS		GROSS PAY FOR THIS PREVAILING RATE JOB	CHECK # AND NET PAY
				S	M	T	W	TH	F	S			FICA	WITH-HOLDING		
		WORK CLASSIFICATION		HOURS WORKED EACH DAY							TYPE OF FRINGE BENEFITS Per Hour 1 through 6 (see back)					
		Trade License Type & Number - OSHA 10 Certification Number									CASH					
		10 Certification Number									1. \$					
											2. \$					
											3. \$					
											4. \$					
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12/9/2013 WWS-CP1 *IF REQUIRED

PAGE NUMBER _____ OF _____

OSHA 10 ~ ATTACH CARD TO 1ST CERTIFIED PAYROLL

***FRINGE BENEFITS EXPLANATION (P):**

Bona fide benefits paid to approved plans, funds or programs, except those required by Federal or State Law (unemployment tax, worker's compensation, income taxes, etc.).

Please specify the type of benefits provided:

- 1) Medical or hospital care _____ 4) Disability _____
2) Pension or retirement _____ 5) Vacation, holiday _____
3) Life Insurance _____ 6) Other (please specify) _____

CERTIFIED STATEMENT OF COMPLIANCE

For the week ending date of _____,

I, _____ of _____, (hereafter known as Employer) in my capacity as _____ (title) do hereby certify and state:

Section A:

1. All persons employed on said project have been paid the full weekly wages earned by them during the week in accordance with Connecticut General Statutes, section 31-53, as amended. Further, I hereby certify and state the following:

- a) The records submitted are true and accurate;
- b) The rate of wages paid to each mechanic, laborer or workman and the amount of payment or contributions paid or payable on behalf of each such person to any employee welfare fund, as defined in Connecticut General Statutes, section 31-53 (h), are not less than the prevailing rate of wages and the amount of payment or contributions paid or payable on behalf of each such person to any employee welfare fund, as determined by the Labor Commissioner pursuant to subsection Connecticut General Statutes, section 31-53 (d), and said wages and benefits are not less than those which may also be required by contract;
- c) The Employer has complied with all of the provisions in Connecticut General Statutes, section 31-53 (and Section 31-54 if applicable for state highway construction);
- d) Each such person is covered by a worker's compensation insurance policy for the duration of his employment which proof of coverage has been provided to the contracting agency;
- e) The Employer does not receive kickbacks, which means any money, fee, commission, credit, gift, gratuity, thing of value, or compensation of any kind which is provided directly or indirectly, to any prime contractor, prime contractor employee, subcontractor, or subcontractor employee for the purpose of improperly obtaining or rewarding favorable treatment in connection with a prime contract or in connection with a prime contractor in connection with a subcontractor relating to a prime contractor; and
- f) The Employer is aware that filing a certified payroll which he knows to be false is a class D felony for which the employer may be fined up to five thousand dollars, imprisoned for up to five years or both.

2. OSHA~The employer shall affix a copy of the construction safety course, program or training completion document to the certified payroll required to be submitted to the contracting agency for this project on which such persons name first appears.

(Signature) (Title) Submitted on (Date)

*****THIS IS A PUBLIC DOCUMENT***
DO NOT INCLUDE SOCIAL SECURITY NUMBERS**

***FRINGE BENEFITS EXPLANATION (P):**

Bona fide benefits paid to approved plans, funds or programs, except those required by Federal or State Law (unemployment tax, worker's compensation, income taxes, etc.).

Please specify the type of benefits provided:

- 1) Medical or hospital care Blue Cross
- 2) Pension or retirement _____
- 3) Life Insurance Utopia
- 4) Disability _____
- 5) Vacation, holiday _____
- 6) Other (please specify) _____

CERTIFIED STATEMENT OF COMPLIANCE

For the week ending date of 9/26/09

I, Robert Craft of XYZ Corporation, (hereafter known as

Employer) in my capacity as Owner (title) do hereby certify and state:

Section A:

1. All persons employed on said project have been paid the full weekly wages earned by them during the week in accordance with Connecticut General Statutes, section 31-53, as amended. Further, I hereby certify and state the following:

- a) The records submitted are true and accurate;
- b) The rate of wages paid to each mechanic, laborer or workman and the amount of payment or contributions paid or payable on behalf of each such employee to any employee welfare fund, as defined in Connecticut General Statutes, section 31-53 (h), are not less than the prevailing rate of wages and the amount of payment or contributions paid or payable on behalf of each such employee to any employee welfare fund, as determined by the Labor Commissioner pursuant to subsection Connecticut General Statutes, section 31-53 (f), and said wages and benefits are not less than those which may also be required by contract;
- c) The Employer has complied with all of the provisions in Connecticut General Statutes, section 31-53 (and Section 31-54 if applicable for state highway construction);
- d) Each such employee of the Employer is covered by a worker's compensation insurance policy for the duration of his employment which proof of coverage has been provided to the contracting agency;
- e) The Employer does not receive kickbacks, which means any money, fee, commission, credit, gift, gratuity, thing of value, or compensation of any kind which is provided directly or indirectly, to any prime contractor, prime contractor employee, subcontractor, or subcontractor employee for the purpose of improperly obtaining or rewarding favorable treatment in connection with a prime contract or in connection with a prime contractor in connection with a subcontractor relating to a prime contractor; and
- f) The Employer is aware that filing a certified payroll which he knows to be false is a class D felony for which the employer may be fined up to five thousand dollars, imprisoned for up to five years or both.

2. OSHA--The employer shall affix a copy of the construction safety course, program or training completion document to the certified payroll required to be submitted to the contracting agency for this project on which such employee's name first appears.

Robert Craft owner 10/2/09
 (Signature) (Title) Submitted on (Date)

Section B: Applies to CONNDOT Projects ONLY

That pursuant to CONNDOT contract requirements for reporting purposes only, all employees listed under Section B who performed work on this project are not covered under the prevailing wage requirements defined in Connecticut General Statutes Section 31-53.

Robert Craft owner 10/2/09
 (Signature) (Title) Submitted on (Date)

Note: CTDOL will assume all hours worked were performed under Section A unless clearly delineated as Section B WWS-CPI as such. Should an employee perform work under both Section A and Section B, the hours worked and wages paid must be segregated for reporting purposes.

THIS IS A PUBLIC DOCUMENT
 DO NOT INCLUDE SOCIAL SECURITY NUMBERS



CONNECTICUT DEPARTMENT OF LABOR

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OCCUPATIONAL CLASSIFICATION BULLETIN

The Connecticut Department of Labor has the responsibility to properly determine "job classification" on prevailing wage projects covered under C.G.S. Section 31-53.

Note: This information is intended to provide a sample of some occupational classifications for guidance purposes only. It is not an all-inclusive list of each occupation's duties. This list is being provided only to highlight some areas where a contractor may be unclear regarding the proper classification.

Below are additional clarifications of specific job duties performed for certain classifications:

• ASBESTOS WORKERS

- Applies all insulating materials, protective coverings, coatings and finishes to all types of mechanical systems.

• ASBESTOS INSULATOR

- Handle, install apply, fabricate, distribute, prepare, alter, repair, dismantle, heat and frost insulation, including penetration and fire stopping work on all penetration fire stop systems.

• BOILERMAKERS

- Erects hydro plants, incomplete vessels, steel stacks, storage tanks for water, fuel, etc. Builds incomplete boilers, repairs heat exchanges and steam generators.

• BRICKLAYERS, CEMENT MASONS, CEMENT FINISHERS, MARBLE MASONS, PLASTERERS, STONE MASONS, PLASTERERS, STONE MASONS, TERRAZZO WORKERS, TILE SETTERS

- Lays building materials such as brick, structural tile and concrete cinder, glass, gypsum, terra cotta block. Cuts, tools and sets marble, sets stone, finishes concrete, applies decorative steel, aluminum and plastic tile, applies cements, sand, pigment and marble chips to floors, stairways, etc.

• CARPENTERS, MILLWRIGHTS, PILEDRIVERMEN, LATHERS, RESILEINT FLOOR LAYERS, DOCK BUILDERS, DIKERS, DIVER TENDERS

- Constructs, erects, installs and repairs structures and fixtures of wood, plywood and wallboard. Installs, assembles, dismantles, moves industrial machinery. Drives piling into ground to provide foundations for structures such as buildings and bridges, retaining walls for earth embankments, such as cofferdams. Fastens wooden, metal or rockboard lath to walls, ceilings and partitions of buildings, acoustical tile layer, concrete form builder. Applies firestopping materials on fire resistive joint systems only. Installation of curtain/window walls only where attached to wood or metal studs. Installation of insulated material of all types whether blown, nailed or attached in other ways to walls, ceilings and floors of buildings. Assembly and installation of modular furniture/furniture systems. Free-standing furniture is not covered. This includes free standing: student chairs, study top desks, book box desks, computer furniture, dictionary stand, atlas stand, wood shelving, two-position information access station, file cabinets, storage cabinets, tables, etc.

• CLEANING LABORER

- The clean up of any construction debris and the general cleaning, including sweeping, wash down, mopping, wiping of the construction facility, washing, polishing, dusting, etc., prior to the issuance of a certificate of occupancy falls under the *Labor classification*.

• DELIVERY PERSONNEL

- If delivery of supplies/building materials is to one common point and stockpiled there, prevailing wages are not required. If the delivery personnel are involved in the distribution of the material to multiple locations within the construction site then they would have to be paid prevailing wages for the type of work performed: laborer, equipment operator,

electrician, ironworker, plumber, etc.

- An example of this would be where delivery of drywall is made to a building and the delivery personnel distribute the drywall from one "stockpile" location to further sub-locations on each floor. Distribution of material around a construction site is the job of a laborer/tradesman and not a delivery personnel.

• ELECTRICIANS

- Install, erect, maintenance, alteration or repair of any wire, cable, conduit, etc., which generates, transforms, transmits or uses electrical energy for light, heat, power or other purposes, including the installation or maintenance of telecommunication, LAN wiring or computer equipment, and low voltage wiring. ***License required per Connecticut General Statutes: E-1,2 L-5,6 C-5,6 T-1,2 L-1,2 V-1,2,7,8,9.**

• ELEVATOR CONSTRUCTORS

- Install, erect, maintenance and repair of all types of elevators, escalators, dumb waiters and moving walks. ***License required by Connecticut General Statutes: R-1,2,5,6.**

• FORK LIFT OPERATOR

- Laborers Group 4) Mason Tenders - operates forklift solely to assist a mason to a maximum height of nine (9) feet only.
- Power Equipment Operator Group 9 - operates forklift to assist any trade, and to assist a mason to a height over nine (9) feet.

• GLAZIERS

- Glazing wood and metal sash, doors, partitions, and 2 story aluminum storefronts. Installs glass windows, skylights, store fronts and display cases or surfaces such as building fronts, interior walls, ceilings and table tops and metal store fronts. Installation of aluminum window walls and curtain walls is the "joint" work of glaziers and ironworkers which requires either a blended rate or equal composite workforce.

• IRONWORKERS

- Erection, installation and placement of structural steel, precast concrete, miscellaneous iron, ornamental iron, metal curtain wall, rigging and reinforcing steel. Handling, sorting, and installation of reinforcing steel (rebar). Metal bridge rail (traffic), metal bridge handrail, and decorative security fence installation. Installation of aluminum window walls and curtain walls is the "joint" work of glaziers and ironworkers which requires either a blended rate or equal composite workforce. Insulated metal and insulated composite panels are still installed by the Ironworker.

• INSULATOR

- Installing fire stopping systems/materials for "Penetration Firestop Systems": transit to cables, electrical conduits, insulated pipes, sprinkler pipe penetrations, ductwork behind radiation, electrical cable trays, fire rated pipe penetrations, natural polypropylene, HVAC ducts, plumbing bare metal, telephone and communication wires, and boiler room ceilings. Past practice using the applicable licensed trades, Plumber, Sheet Metal, Sprinkler Fitter, and Electrician, is not inconsistent with the Insulator classification and would be permitted.

• LABORERS

- Acetylene burners, asphalt rakers, chain saw operators, concrete and power buggy operator, concrete saw operator, fence and guard rail erector (except metal bridge rail (traffic), metal bridge handrail, and decorative security fence installation.), hand operated concrete vibrator operator, mason tenders, pipelayers (installation of storm drainage or sewage lines on the street only), pneumatic drill operator, pneumatic gas and electric drill operator, powermen and wagon drill operator, air track operator, block paver, curb setters, blasters, concrete spreaders.

• PAINTERS

- Maintenance, preparation, cleaning, blasting (water and sand, etc.), painting or application of any protective coatings of every description on all bridges and appurtenances of highways, roadways, and railroads. Painting, decorating, hardwood finishing, paper hanging, sign writing, scenic art work and drywall hanging+ for any and all types of building and residential work.

• LEAD PAINT REMOVAL

- Painter's Rate
 1. Removal of lead paint from bridges.
 2. Removal of lead paint as preparation of any surface to be repainted.
 3. Where removal is on a Demolition project prior to reconstruction.
- Laborer's Rate
 1. Removal of lead paint from any surface NOT to be repainted.
 2. Where removal is on a *TOTAL* Demolition project only.

• PLUMBERS AND PIPEFITTERS

- Installation, repair, replacement, alteration or maintenance of all plumbing, heating, cooling and piping. ***License required per Connecticut General Statutes: P-1,2,6,7,8,9 J-1,2,3,4 SP-1,2 S-1,2,3,4,5,6,7,8 B-1,2,3,4 D-1,2,3,4.**

• POWER EQUIPMENT OPERATORS

- Operates several types of power construction equipment such as compressors, pumps, hoists, derricks, cranes, shovels, tractors, scrapers or motor graders, etc. Repairs and maintains equipment. ***License required, crane operators only, per Connecticut General Statutes.**

• ROOFERS

- Covers roofs with composition shingles or sheets, wood shingles, slate or asphalt and gravel to waterproof roofs, including preparation of surface. (tear-off and/or removal of any type of roofing and/or clean-up of any and all areas where a roof is to be relaid)

• SHEETMETAL WORKERS

- Fabricate, assemble, install and repair sheetmetal products and equipment in such areas as ventilation, air-conditioning, warm air heating, restaurant equipment, architectural sheet metal work, sheetmetal roofing, and aluminum gutters. Fabrication, handling, assembling, erecting, altering, repairing, etc. of coated metal material panels and composite metal material panels when used on building exteriors and interiors as soffits, fascia, louvers, partitions, wall panel siding, canopies, cornice, column covers, awnings, beam covers, cladding, sun shades, lighting troughs, spires, ornamental roofing, metal ceilings, mansards, copings, ornamental and ventilation hoods, vertical and horizontal siding panels, trim, etc. The sheet metal classification also applies to the vast variety of coated metal material panels and composite metal material panels that have evolved over the years as an alternative to conventional ferrous and non-ferrous metals like steel, iron, tin, copper, brass, bronze, aluminum, etc. Insulated metal and insulated composite panels are still installed by the Iron Worker. Fabrication, handling, assembling, erecting, altering, repairing, etc. of architectural metal roof, standing seam roof, composite metal roof, metal and composite bathroom/toilet partitions, aluminum gutters, metal and composite lockers and shelving, kitchen equipment, and walk-in coolers.

• SPRINKLER FITTERS

- Installation, alteration, maintenance and repair of fire protection sprinkler systems. ***License required per Connecticut General Statutes: F-1,2,3,4.**

• TILE MARBLE AND TERRAZZO FINISHERS

- Assists and tends the tile setter, marble mason and terrazzo worker in the performance of their duties.

• TRUCK DRIVERS

• Definitions:

- 1) "Site of the work" (29 Code of Federal Regulations (CFR) 5.2(l)(b) is the physical place or places where the building or work called for in the contract will remain and any other site where a significant portion of the building or work is constructed, provided that such site is established specifically for the performance of the contract or project;
 - (a) Except as provided in paragraph (l) (3) of this section, job headquarters, tool yards, batch plants, borrow pits, etc. are part of the "site of the work"; provided they are dedicated exclusively, or nearly so, to the performance of the contract or project, and provided they are adjacent to "the site of work" as defined in paragraph (e)(1) of this section;
 - (b) Not included in the "site of the work" are permanent home offices, branch plant establishments, fabrication plants, tool yards etc. of a contractor or subcontractor whose location and continuance in operation are determined wholly without regard to a particular State or political subdivision contract or uncertain and indefinite periods of time involved of a few seconds or minutes duration and where the failure to count such time is due to consideration justified by industrial realities (29 CFR 785.47)
- 2) "Engaged to wait" is waiting time that belongs to and is controlled by the employer which is an integral part of the job and is therefore compensable as hours worked. (29 CFR 785.15)
- 3) "Waiting to be engaged" is waiting time that an employee can use effectively for their own purpose and is not compensable as hours worked. (29 CFR 785.16)
- 4) "De Minimus" is a rule that recognizes that unsubstantial or insignificant periods of time which cannot as a practical administrative matter be precisely recorded for payroll purposes, may be disregarded. This rule applies only where there are uncertain and indefinite periods of time involved of a short duration and where the failure to count such time is due to consideration justified by worksite realities. For example, with respect to truck drivers on prevailing wage sites, this is typically less than 15 minutes at a time.

• Coverage of Truck Drivers on State or Political subdivision Prevailing Wage Projects

- Truck drivers **are covered** for payroll purposes under the following conditions:
 - Truck Drivers for time spent working on the site of the work.
 - Truck Drivers for time spent loading and/or unloading materials and supplies on the site of the work, if such time is not de minimus
 - Truck drivers transporting materials or supplies between a facility that is deemed part of the site of the work and the actual construction site.

- Truck drivers transporting portions of the building or work between a site established specifically for the performance of the contract or project where a significant portion of such building or work is constructed and the physical places where the building or work outlined in the contract will remain.

For example: Truck drivers delivering asphalt are covered under prevailing wage while "engaged to wait" on the site and when directly involved in the paving operation, provided the total time is not "de minimus"

- Truck Drivers **are not** covered in the following instances:
 - Material delivery truck drivers while off "the site of the work"
 - Truck Drivers traveling between a prevailing wage job and a commercial supply facility while they are off the "site of the work"
 - Truck drivers whose time spent on the "site of the work" is de minimus, such as under 15 minutes at a time, merely to drop off materials or supplies, including asphalt.

These guidelines are similar to U.S. Labor Department policies. The application of these guidelines may be subject to review based on factual considerations on a case by case basis.

For example:

- Material men and deliverymen are not covered under prevailing wage as long as they are not directly involved in the construction process. If, they unload the material, they would then be covered by prevailing wage for the classification they are performing work in: laborer, equipment operator, etc.
- Hauling material off site is not covered provided they are not dumping it at a location outlined above.
- Driving a truck on site and moving equipment or materials on site would be considered covered work, as this is part of the construction process.

Any questions regarding the proper classification should be directed to:

*Public Contract Compliance Unit
Wage and Workplace Standards Division
Connecticut Department of Labor
200 Folly Brook Blvd, Wethersfield, CT 06109
(860) 263-6543*

200 Folly Brook Boulevard, Wethersfield, CT 06109 / Phone: 860-263-6000

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**Connecticut Department of Labor
Wage and Workplace Standards Division
FOOTNOTES**

⇒ Please Note: If the “Benefits” listed on the schedule for the following occupations includes a letter(s) (+ a or + a+b for instance), refer to the information below.

Benefits to be paid at the appropriate prevailing wage rate for the listed occupation.

If the “Benefits” section for the occupation lists only a dollar amount, disregard the information below.

Bricklayers, Cement Masons, Cement Finishers, Concrete Finishers, Stone Masons
(Building Construction) and
(Residential- Hartford, Middlesex, New Haven, New London and Tolland Counties)

- a. Paid Holiday: Employees shall receive 4 hours for Christmas Eve holiday provided the employee works the regularly scheduled day before and after the holiday. Employers may schedule work on Christmas Eve and employees shall receive pay for actual hours worked in addition to holiday pay.

Elevator Constructors: Mechanics

- a. Paid Holidays: New Year’s Day, Memorial Day, Independence Day, Labor Day, Veterans’ Day, Thanksgiving Day, Christmas Day, plus the Friday after Thanksgiving.
- b. Vacation: Employer contributes 8% of basic hourly rate for 5 years or more of service or 6% of basic hourly rate for 6 months to 5 years of service as vacation pay credit.

Glaziers

- a. Paid Holidays: Labor Day and Christmas Day.

Power Equipment Operators
(Heavy and Highway Construction & Building Construction)

- a. Paid Holidays: New Year’s Day, Good Friday, Memorial day, Independence Day, Labor Day, Thanksgiving Day and Christmas Day, provided the employee works 3 days during the week in which the holiday falls, if scheduled, and if scheduled, the working day before and the working day after the holiday. Holidays falling on Saturday may be observed on Saturday, or if the employer so elects, on the preceding Friday.

Ironworkers

- a. Paid Holiday: Labor Day provided employee has been on the payroll for the 5 consecutive work days prior to Labor Day.

Laborers (Tunnel Construction)

- a. Paid Holidays: New Year's Day, Memorial Day, Independence Day, Labor Day, Thanksgiving Day and Christmas Day. No employee shall be eligible for holiday pay when he fails, without cause, to work the regular work day preceding the holiday or the regular work day following the holiday.

Roofers

- a. Paid Holidays: July 4th, Labor Day, and Christmas Day provided the employee is employed 15 days prior to the holiday.

Sprinkler Fitters

- a. Paid Holidays: Memorial Day, July 4th, Labor Day, Thanksgiving Day and Christmas Day, provided the employee has been in the employment of a contractor 20 working days prior to any such paid holiday.

Truck Drivers

(Heavy and Highway Construction & Building Construction)

- a. Paid Holidays: New Year's Day, Memorial Day, Independence Day, Labor Day, Thanksgiving Day, Christmas day, and Good Friday, provided the employee has at least 31 calendar days of service and works the last scheduled day before and the first scheduled day after the holiday, unless excused.

Technical Specifications and Plan

TOWN OF STRATFORD
DEPARTMENT OF COMMUNITY/ECONOMIC
DEVELOPMENT

Specifications and Bid Form

Prepared for:

Catholic Charities of Fairfield County
379 & 389 Jackson Ave
Stratford, CT 06615

Prepared by:

East Coast Associates

203-410-4593

June 15, 2015

General Conditions

1. The work write-up is based on the General Conditions and work write-up Specifications. All construction work shall be performed according to the following codes:
 - 2003 International Building Code
 - 2003 International Residential Code
 - 2003 International Existing Building Code
 - 2003 International Mechanical Code
 - 2003 International Plumbing Code
 - 2003 International Energy Conservation Code
 - 2005 National Electrical Code NFPA 70-2005
 - ICC/ANSI A117.1-2003
 - December 31, 2005 Connecticut Supplement
2. It is the intent of this work write-up (Specifications) to produce quality complete work, using standard construction means and methods. Completed work ready and fit for occupancy, inspected and approved, esthetically finished and requiring no additional work. If conditions re found in the field, which are not adequately addressed by this work write-up, the contractor shall appraise the owner and East Coast Associates of such condition prior to submitting a bid and prior the entering into a contact with the owner.
3. All construction work shall be inspected by the Stratford Building Department and East Coast Associates.
4. The awarded Contractor shall be responsible for completion of each item specified in this work write-up. Any change shall be authorized only by the initiation and execution by the Contractor of a formal Change Order, which must be approved by the homeowner, Town of Stratford and East Coast Associates in advance of work being performed in order to avoid dispute regarding cost and scope of work.
5. The Contractor must make known to the homeowner and East Coast Associates any unforeseen conditions, prior to proceeding with work.
6. All plumbing fixtures shall comply with water regulating codes.
7. Shop drawings must be submitted to East Coast Associated for review and approval for all kitchens, baths and any other purpose if required by Regulatory entities.

8. Immediately upon awarding of contact the Contractors shall provide:
- a. Current Connecticut Home Improvement Contractor's Registration
 - b. Insurance Certificate for General Liability and Workman's Compensation Insurance Coverage.
 - c. Sub-Contractor and Major Supplier List including; name, address and telephone number
 - d. Schedule of Values listing all major work categories, this must be approved by the first application for payment.
 - e. Submittals for all items noted in the Specifications for review and approval by Owner and East Coast Associates
 - f. Construction Schedule tracking the work action on a week-by-week basis. Construction Schedule must conform to the homeowner and at no time should the homeowner be left Inconvenienced.

9. In case of ambiguities and inconsistencies between sections, greater quantities and better quality shall take precedence over lesser qualities.

10. The Contractor shall guarantee work performed for a period of (1) one year from the date of completion.

All material warranties shall be given to the owner. The Contractor shall provide all material and labor to correct the deficiency.

Damage to or failure to work due to abuse, misuse or other unusual circumstances shall not be the responsibility of the Contractor to correct.

11. **The Contractor shall employ Lead Safe Work Practices—(LSWP) as promulgated by HUD and EPA in the performance of the work.**

12. The Contractor shall provide homeowner with 5% overage of Attic Stock for flooring, painting and roofing shingles.

13. Remove all construction debris and dispose of property off premises. Do not accumulate debris on premises for a period longer than 72 hours.

SCOPE OF WORK

379 Jackson Avenue (Bethlehem House I)

Current: Four (4) Units

Unit # 1: one (1) two bedroom that will be rehabilitated;

Unit # 2: one (1) two bedroom that will be rehabilitated;

Unit # 3: one (1) four bedroom that will be converted into two (2) two- or one-bedroom apartments;

Unit # 4: one (1) four bedroom that will be converted into two (2) two- or one-bedroom apartments.

Upon completion of the rehabilitation at 379 Jackson Avenue, there will be a total of six (6) units.

389 Jackson Avenue (Bethlehem House II)

Current: Three (3) Units & Office Space

Unit # 2: one (1) two bedroom that will be rehabilitated;

Unit # 3: one (1) two bedroom that will be rehabilitated;

Unit # 4: one (1) two bedroom that will be rehabilitated.

Upon completion of the rehabilitation at 389 Jackson Avenue, there will be a total of three (3) units.

Overall, the rehabilitation will result in an increase from seven (7) to nine (9) units for families.

The rehabilitation and restoration of Bethlehem House I and II (379 and 389 Jackson Avenue) will result in occupancy. All units will be in safe, habitable conditions to continue serving homeless, low-income families in need of transitional housing combined with supportive services.

"OR EQUAL" CLAUSE:

Whenever a material, article or piece of equipment is identified on the plans or in the specifications by reference to manufacturers' or vendors' names, trade names, catalogue numbers, etc., it is intended merely to establish a standard. Any material, article, or equipment of other manufacturers or vendors which will adequately perform the duties imposed by the general design will be considered equally acceptable provided the material, article or equipment so proposed is, in the opinion of the project manager or owner, of equal substance and function. It shall not be installed by the contractor without the project manager's/owner's written approval.

Bethlehem House
379 & 389 Jackson Ave, Stratford, CT

Catholic Charities of Fairfield County, Inc.



379 Jackson Ave



389 Jackson Ave

Bethlehem House I
379 Jackson Avenue
Unit #1

SCOPE OF WORK

Renovate one existing 2 bedroom apartment
Apt #1

-----Perform the necessary demolition to accommodate plans

Total Amount: _____

CARPENTRY

Frame divided wall with metal studs per plan

Total Amount: _____

-----install 1/2 "drywall, tape using three ply system on divided wall and kitchen
Ceiling.

Total Amount -----

----- Remove existing floor covering

Total Amount -----

-----install 1/4 " huan over all existing floors

Total Amount -----

-----provide and install Armstrong or equal vinyl plank flooring on all floor surfaces.
Floor selection by owner

Total Amount -----

___ Provide 1/4" wood trim throughout for new flooring . finish selection by owner **Total
Amount**-----

----- Paint entire unit with primer and two coats using Benjamin Moore paint
Total Amount-----

___ Provide and install new Kraft Maid or equal kitchen cabinets per plan **Total
Amount**-----

___ Install Formica or Wilson Art laminated counter tops per plans **Total Amount**-----

----- Install new Elray or equal sink with Moen or equal faucets **Total Amount**-----

APPLIANCES

___ Install new KENMORE refrigerator and stove per plan **Total Amount**-----

BATHROOM

---Install new Fiberglass tub unit **Total Amount**-----

---Install new American Standard water closet with accessories **Total Amount**-----

----Install Koehler Sink selection by owner **Total Amount**-----

----Install Delta fixtures , selection by owner. **Total Amount** -----

---- Paint using Benjamin Moore Paint ,primer and two coats, color selection by owner. **Total Amount**-----

___ Provide and install new Kraft Maid or equal kitchen cabinets per plan

Total Amount: _____

Total Project Amount: _____

Bethlehem House I
379 Jackson Avenue
Unit #2

SCOPE OF WORK

Renovate one existing 2 bedroom apartment
Apt #1

-----Perform the necessary demolition to accommodate plans

Total Amount: _____

CARPENTRY

Frame divided wall with metal studs per plan

Total Amount: _____

-----install 1/2 "drywall, tape using three ply system on divided wall and kitchen
Ceiling.

Total Amount -----

----- Remove existing floor covering

Total Amount -----

-----install 1/4 " luan over all existing floors

Total Amount -----

-----provide and install Armstrong or equal vinyl plank flooring on all floor surfaces.
Floor selection by owner

Total Amount -----

___ Provide 1/4" wood trim throughout for new flooring , finish selection by owner **Total
Amount**-----

----- Paint entire unit with primer and two coats using Benjamin Moore paint
Total Amount-----

___ Provide and install new Kraft Maid or equal kitchen cabinets per plan **Total
Amount**-----

___ Install Formica or Wilson Art laminated counter tops per plans **Total Amount**-----

----- Install new Elray or equal sink with Moen or equal faucets **Total Amount**-----

APPLIANCES

___ Install new KENMORE refrigerator and stove per plan **Total Amount**-----

BATHROOM

---Install new Fiberglass tub unit **Total Amount**-----

-----Install new American Standard water closet with accessories **Total Amount**-----

----Install Koehler Sink selection by owner **Total Amount**-----

----Install Delta fixtures , selection by owner. **Total Amount** -----

---- Paint using Benjamin Moore Paint ,primer and two coats, color selection by owner. **Total Amount**-----

___ Provide and install new Kraft Maid or equal kitchen cabinets per plan

Total Amount: _____

Total Project Amount: _____

Bethlehem House I
379 Jackson Avenue
Unit #3

SCOPE OF WORK

Convert and renovate one existing 4 bedroom apartment in to two (1) or (2) bedroom apartment

Apt #1

-----Perform the necessary demolition to accommodate plans

Total Amount: _____

CARPENTRY

Frame divided wall with metal studs per plan

Total Amount: _____

-----install ½ “drywall, tape using three ply system on divided wall and kitchen Ceiling.

Total Amount -----

----- Remove existing floor covering

Total Amount -----

-----install ¼ “ luan over all existing floors

Total Amount -----

-----provide and install Armstrong or equal vinyl plank flooring on all floor surfaces. Floor selection by owner

Total Amount -----

___ Provide ¼” wood trim throughout for new flooring , finish selection by owner **Total Amount**-----

----- Paint entire unit with primer and two coats using Benjamin Moore paint

Total Amount-----

___ Provide and install new Kraft Maid or equal kitchen cabinets per plan **Total Amount**-----

___ Install Formica or Wilson Art laminated counter tops per plans **Total Amount**-----

----- Install new Elray or equal sink with Moen or equal faucets **Total Amount**-----

APPLIANCES

___ Install new KENMORE refrigerator and stove per plan **Total Amount**-----

BATHROOM

---Install new Fiberglass tub unit

Total Amount-----

----Install new American Standard water closet with accessories **Total Amount**-----

- Install Koehler Sink selection by owner **Total Amount-----**
- Install Delta fixtures , selection by owner. **Total Amount -----**
- Paint using Benjamin Moore Paint ,primer and two coats, color selection by owner. **Total Amount-----**
- ___ Provide and install new Kraft Maid or equal kitchen cabinets per plan **Total Amount-----**

APARTMENT # 2

- Perform the necessary demolition to accommodate plans **Total Amount-----**
- Frame divided walls using metal studs per plans **Total Amount-----**
- install ½ “drywall, tape using three ply system on divided wall and kitchen Ceiling. **Total Amount-----**
- Remove existing floor covering **Total Amount-----**
- install ¼ “ luan over all existing floors **Total Amount-----**
- provide and install Armstrong or equal vinyl plank flooring on all floor surfaces. Floor selection by owner **Total Amount-----**
- ___ Provide ¼” wood trim throughout for new flooring , finish selection by owner **Total Amount-----**
- Paint entire unit with primer and two coats using Benjamin Moore paint **Total Amount-----**
- ___ Provide and install new Kraft Maid or equal kitchen cabinets per plan **Total Amount-----**
- ___ Install Formica or Wilson Art laminated counter tops per plans **Total Amount-----**
- Install new Elray or equal sink with Moen or equal faucets **Total Amount-----**

APPLIANCES

___ Install new KENMORE refrigerator and stove per plan

Total Amount-----

BATHROOM

---Install new Fiberglass tub unit

Total Amount-----

----Install new American Standard water closet with accessories

Total Amount _____

----Install Koehler Sink selection by owner

Total Amount-----

----Install Delta fixtures , selection by owner.

Total Amount-----

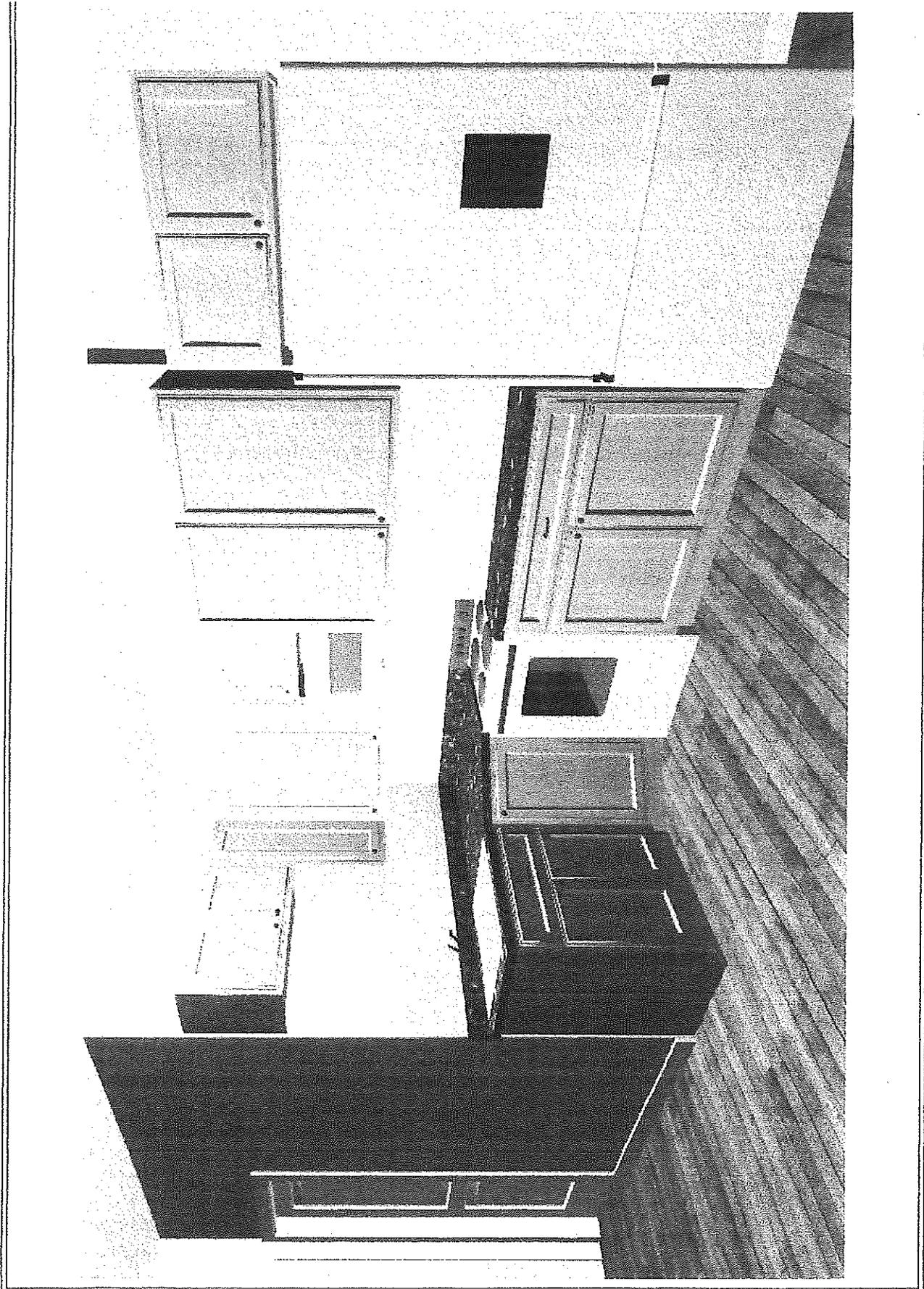
---- Paint using Benjamin Moore Paint ,primer and two coats, color selection by owner.

Total Amount-----

___ Provide and install new Kraft Maid or equal kitchen cabinets per plan

Total Amount: _____

Total Project Amount: _____



Bethlehem House I
379 Jackson Avenue
Unit #4

SCOPE OF WORK

Convert and renovate one existing 4 bedroom apartment in to two (1) or (2) bedroom apartment

Apt #1

-----Perform the necessary demolition to accommodate plans

Total Amount: _____

CARPENTRY

Frame divided wall with metal studs per plan

Total Amount: _____

-----install ½ “drywall, tape using three ply system on divided wall and kitchen Ceiling.

Total Amount -----

----- Remove existing floor covering

Total Amount -----

-----install ¼ “ luan over all existing floors

Total Amount -----

-----provide and install Armstrong or equal vinyl plank flooring on all floor surfaces. Floor selection by owner

Total Amount -----

___ Provide ¼” wood trim throughout for new flooring , finish selection by owner **Total Amount**-----

----- Paint entire unit with primer and two coats using Benjamin Moore paint
Total Amount-----

___ Provide and install new Kraft Maid or equal kitchen cabinets per plan **Total Amount**-----

___ Install Formica or Wilson Art laminated counter tops per plans **Total Amount**-----

----- Install new Elray or equal sink with Moen or equal faucets **Total Amount**-----

APPLIANCES

___ Install new KENMORE refrigerator and stove per plan **Total Amount**-----

BATHROOM

---Install new Fiberglass tub unit **Total Amount**-----

----Install new American Standard water closet with accessories **Total Amount**-----

- Install Koehler Sink selection by owner **Total Amount-----**
- Install Delta fixtures , selection by owner. **Total Amount -----**
- Paint using Benjamin Moore Paint ,primer and two coats, color selection by owner. **Total Amount-----**
- ___ Provide and install new Kraft Maid or equal kitchen cabinets per plan **Total Amount-----**

APARTMENT # 2

- Perform the necessary demolition to accommodate plans **Total Amount-----**
- Frame divided walls using metal studs per plans **Total Amount-----**
- install ½ “drywall, tape using three ply system on divided wall and kitchen Ceiling. **Total Amount-----**
- Remove existing floor covering **Total Amount-----**
- install ¼ “ luan over all existing floors **Total Amount-----**
- provide and install Armstrong or equal vinyl plank flooring on all floor surfaces. Floor selection by owner **Total Amount-----**
- ___ Provide ¼” wood trim throughout for new flooring , finish selection by owner **Total Amount-----**
- Paint entire unit with primer and two coats using Benjamin Moore paint **Total Amount-----**
- ___ Provide and install new Kraft Maid or equal kitchen cabinets per plan **Total Amount-----**
- ___ Install Formica or Wilson Art laminated counter tops per plans **Total Amount-----**
- Install new Elray or equal sink with Moen or equal faucets **Total Amount-----**

APPLIANCES

___ Install new KENMORE refrigerator and stove per plan

Total Amount-----

BATHROOM

---Install new Fiberglass tub unit

Total Amount-----

----Install new American Standard water closet with accessories

Total Amount _____

----Install Koehler Sink selection by owner

Total Amount-----

----Install Delta fixtures , selection by owner.

Total Amount-----

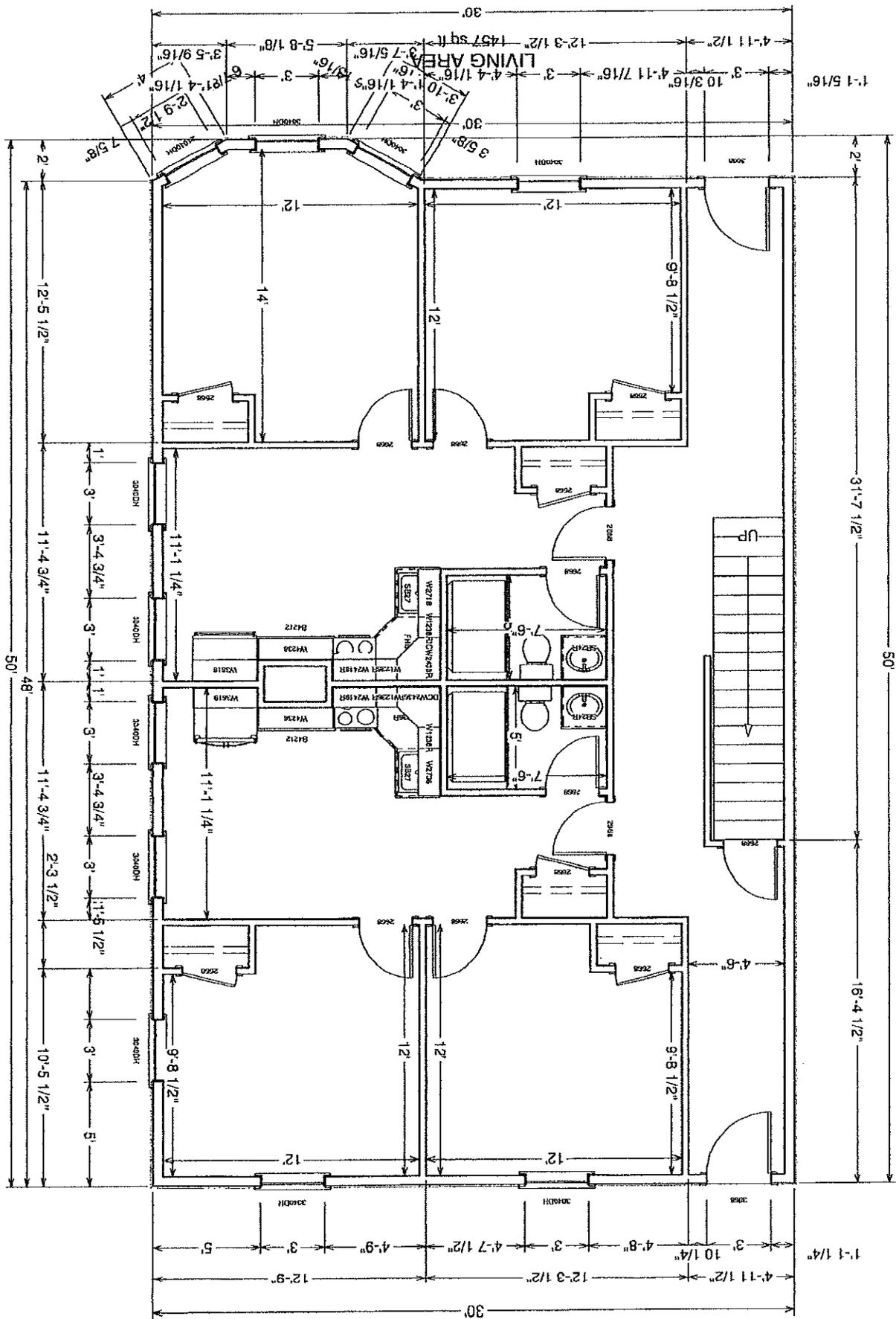
---- Paint using Benjamin Moore Paint ,primer and two coats, color selection by owner.

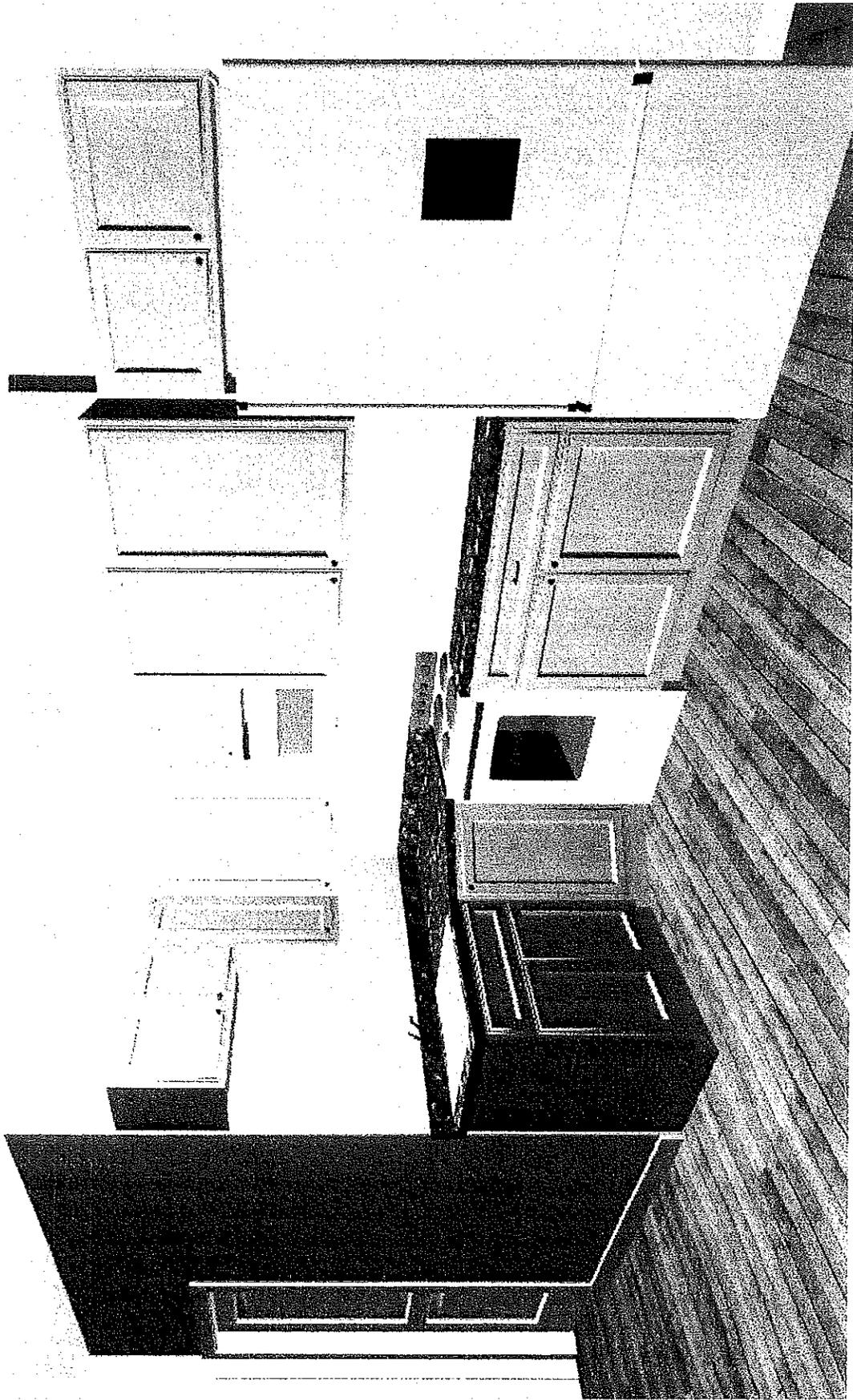
Total Amount-----

___ Provide and install new Kraft Maid or equal kitchen cabinets per plan

Total Amount: _____

Total Project Amount: _____





Bethlehem House II

389 Jackson Avenue

Unit #2

SCOPE OF WORK

Renovate one existing 2 bedroom apartment
Apt #1

-----Perform the necessary demolition to accommodate plans

Total Amount: _____

CARPENTRY

Frame divided wall with metal studs per plan

Total Amount: _____

-----install 1/2 "drywall, tape using three ply system on divided wall and kitchen
Ceiling.

Total Amount -----

----- Remove existing floor covering

Total Amount -----

-----install 1/4 " luan over all existing floors

Total Amount -----

-----provide and install Armstrong or equal vinyl plank flooring on all floor surfaces.
Floor selection by owner

Total Amount -----

___ Provide 1/4" wood trim throughout for new flooring , finish selection by owner **Total
Amount**-----

----- Paint entire unit with primer and two coats using Benjamin Moore paint
Total Amount-----

___ Provide and install new Kraft Maid or equal kitchen cabinets per plan **Total
Amount**-----

___ Install Formica or Wilson Art laminated counter tops per plans **Total Amount**-----

----- Install new Elray or equal sink with Moen or equal faucets **Total Amount**-----

APPLIANCES

___ Install new KENMORE refrigerator and stove per plan **Total Amount**-----

BATHROOM

---Install new Fiberglass tub unit **Total Amount**-----

----Install new American Standard water closet with accessories **Total Amount**-----

----Install Kohler Sink selection by owner **Total Amount-----**

----Install Delta fixtures , selection by owner. **Total Amount -----**

---- Paint using Benjamin Moore Paint ,primer and two coats, color selection by owner.

Total Amount-----

___ Provide and install new Kraft Maid or equal kitchen cabinets per plan

Total Amount: _____

Total Project Amount: _____

Bethlehem House II

389 Jackson Avenue

Unit #3

SCOPE OF WORK

Renovate one existing 2 bedroom apartment
Apt #1

-----Perform the necessary demolition to accommodate plans

Total Amount: _____

CARPENTRY

Frame divided wall with metal studs per plan

Total Amount: _____

-----install 1/2 "drywall, tape using three ply system on divided wall and kitchen
Ceiling.

Total Amount -----

----- Remove existing floor covering

Total Amount -----

-----install 1/4 " luan over all existing floors

Total Amount -----

-----provide and install Armstrong or equal vinyl plank flooring on all floor surfaces.
Floor selection by owner

Total Amount -----

___ Provide 1/4" wood trim throughout for new flooring , finish selection by owner **Total Amount**-----

----- Paint entire unit with primer and two coats using Benjamin Moore paint

Total Amount-----

___ Provide and install new Kraft Maid or equal kitchen cabinets per plan **Total Amount**-----

___ Install Formica or Wilson Art laminated counter tops per plans **Total Amount**-----

----- Install new Elray or equal sink with Moen or equal faucets **Total Amount**-----

APPLIANCES

___ Install new KENMORE refrigerator and stove per plan **Total Amount**-----

BATHROOM

---Install new Fiberglass tub unit **Total Amount**-----

----Install new American Standard water closet with accessories **Total Amount**-----

---Install Kohler Sink selection by owner **Total Amount-----**

---Install Delta fixtures , selection by owner. **Total Amount -----**

--- Paint using Benjamin Moore Paint ,primer and two coats, color selection by owner.

Total Amount-----

___ Provide and install new Kraft Maid or equal kitchen cabinets per plan

Total Amount: _____

Total Project Amount: _____

Bethlehem House II

389 Jackson Avenue

Unit #4

SCOPE OF WORK

Renovate one existing 2 bedroom apartment
Apt #1

-----Perform the necessary demolition to accommodate plans

Total Amount: _____

CARPENTRY

Frame divided wall with metal studs per plan

Total Amount: _____

-----install ½ "drywall, tape using three ply system on divided wall and kitchen
Ceiling.

Total Amount -----

----- Remove existing floor covering

Total Amount -----

-----install ¼ " luan over all existing floors

Total Amount -----

-----provide and install Armstrong or equal vinyl plank flooring on all floor surfaces.
Floor selection by owner

Total Amount -----

___ Provide ¼" wood trim throughout for new flooring , finish selection by owner **Total
Amount**-----

----- Paint entire unit with primer and two coats using Benjamin Moore paint
Total Amount-----

___ Provide and install new Kraft Maid or equal kitchen cabinets per plan **Total
Amount**-----

___ Install Formica or Wilson Art laminated counter tops per plans **Total Amount**-----

----- Install new Elray or equal sink with Moen or equal faucets **Total Amount**-----

APPLIANCES

___ Install new KENMORE refrigerator and stove per plan **Total Amount**-----

BATHROOM

---Install new Fiberglass tub unit **Total Amount**-----

----Install new American Standard water closet with accessories **Total Amount**-----

---Install Koehler Sink selection by owner **Total Amount-----**

---Install Delta fixtures , selection by owner. **Total Amount -----**

--- Paint using Benjamin Moore Paint ,primer and two coats, color selection by owner.

Total Amount-----

___ Provide and install new Kraft Maid or equal kitchen cabinets per plan

Total Amount: _____

Total Project Amount: _____

Environmental Condition(s)
Pre-Renovation Asbestos Inspection

PRE-RENOVATION ASBESTOS INSPECTION

PERFORMED AT:

**379 Jackson Avenue
Stratford, CT 06615**

PREPARED FOR:

**Mr. Chris Bandecchio
Department of Community Development
Town of Stratford
Stratford, CT 06615**

PREPARED BY:



ENVIRONMENTAL, LLC

**P. O. BOX 423
STRATFORD, CONNECTICUT 06615
(203) 378-5020**

**Inspection Date: September 22, 2015
Report Date: September 30, 2015**

1.0 INTRODUCTION

On September 22nd 2015, AMC Environmental, LLC conducted a pre-renovation asbestos inspection at 379 Jackson Avenue located in Stratford, CT. The scope of this inspection is limited to the materials described below.

Asbestos Containing Materials

The asbestos inspection was conducted in accordance with the USEPA National Emission Standard for Hazardous Air Pollutants Act (NESHAP) as amended November 20, 1990. The NESHAP final rule requires the identification and removal of all regulated ACM in a building prior to removal or demolition.

Asbestos inspection performed by: Jason Pringle
State of Connecticut licensed Asbestos Inspector
License # 000269

2.0 BUILDING DESCRIPTION

The subject building located at 379 Jackson Avenue, Stratford, CT is a 3-story structure of wood frame construction. The building has a full basement. The interior walls and ceiling are of sheetrock and joint compound, and two coat plaster on lath construction. The window frames and sashes are of vinyl construction. The floors are finished with various resilient flooring finishes. The exterior facade consisted of vinyl siding.

3.0 ASBESTOS CONTAINING MATERIALS

Inspection

This asbestos-containing materials inspection was limited to the materials that would be disturbed during the upcoming renovation project. Semi-destructive testing techniques are utilized during the inspection process. This included cutting through various layers of flooring and wall sheathing to sample and verify layers of suspect ACM. Suspect building materials that are inaccessible for inspection and sampling are assumed to be ACM for the purpose of this report. These suspect materials are generally located inside the walls of the structure.

During the inspection, the Inspector documents the location, class, and friability of each suspect material. Friability is an industry term that measures a material's resilience. Material that can be easily crumbled, pulverized, or reduced to powder when dried is defined as being friable. For a full list of ACM and Materials needing to be re-tested or assumed **see table 1**. For a full list of all non-asbestos containing materials tested **see table 2 (Appendix A)**.

Bulk Sampling

The United States Environmental Protection Agency (USEPA) has separated ACM into three categories. These categories are: Thermal System Insulation (TSI), Surfacing Materials, and Miscellaneous materials. TSI includes all materials that are used to prevent heat loss or gain, or water condensation on mechanical systems. Examples of TSI are pipe covering, boiler insulation, duct wrap, and mudded fitting cement. Surfacing includes any material that sprayed, troweled, or otherwise to an existing surface. Surfacing applications are commonly used in fireproofing and acoustical applications. All other material fall into the miscellaneous category such as vinyl floor tiles, ceiling tiles and drywall. All sampling methods and sampling quantities are collected at AMC's discretion and meet or exceed requirements set by the USEPA.

Bulk Sample Analysis

Samples of suspect materials are transmitted directly to an independent, State of Connecticut Department of Public Health (DPH), laboratory for analysis by Polarized Light Microscopy (PLM). PLM is the acceptable method of analysis in accordance with the Environmental Protection Agency (EPA) "Interim Method for the Determination of Asbestos in Bulk Insulation", 40 CFR 763, Subpart F, Appendix A EPA 600/M4-82-020. The Inspector collected "sets" of samples for each homogenous material sampled. Each sample is analyzed in the set until one sample is determined to contain asbestos (more than 1%). Sample analyses are reported in percentage of asbestos. The USEPA defines ACM as any material that contains more than 1 % asbestos, by way of PLM. "NAD", refers to "No asbestos Detected", and "DNA" refers to "Did Not Analyze" due to stop at first positive. The State of Connecticut Department of Public Health, the USEPA, as well as the United States Department of Labor regulate any material determined to contain greater than 1% of asbestos.

Friable ACM

Other analytical methods are recommended for certain friable material samples. The Point Count Method can further analyze friable materials shown to contain less than 10% asbestos by PLM analysis. Recommended, by the United States Environmental Protection Agency, the Point Count Method is accepted as providing accurate analytical results when determining the percent content of bulk samples with very low asbestos concentrations. Friable material containing less than 1% asbestos must be analyzed by the (PLM) Point Count Method.

Non-Friable ACM

Non-friable asbestos samples showing percentages containing less than 1%, NAD, or "TRACE", should be confirmed by the "NOB TEM ELAP 198.4 Method". This procedure is recommended by the USEPA. If the results from this analysis determine asbestos content to still be less than 1 %, the sample is considered not to be asbestos containing.

4.0 Conclusion

During the course of the building inspection, ninety-nine (99) samples of suspect ACM were collected, all of which were analyzed by PLM "stop on first positive".

From the ninety-nine (99) samples, nine (9) types of ACM were identified. The materials identified were all documented to be asbestos containing. A complete inventory of identified ACM is provided in the Asbestos Containing Materials Summary Table (Table 1).

5.0 RECOMMENDATIONS CONCERNING ASBESTOS

Laws govern all asbestos activities undertaken in the State of Connecticut. AMC Environmental, LLC suggests the following to ensure compliance with state, federal, or local asbestos regulations and to reduce possible liabilities.

- State of Connecticut, Department of Public Health; Standards for Asbestos Abatement (19a-332-1a through 19a-332a-16).
- State of Connecticut Licensure and Training Requirements for Persons Engaged in Asbestos Abatement and Consultation Services Section 20-440-1 through 20-440-9.
- The Federal Regulation governing asbestos is Title 40 of the Code of Federal Regulations (40 CFR), Part 61, Subpart M, Demolition and/or Renovation of Facilities with Asbestos-Containing Materials.

The following recommendations pertain to asbestos removal projects.

- A Licensed Asbestos Project Designer should develop a plan or specification to ensure asbestos is removed in a safe and proper manner. At a minimum, these specifications should include an effective asbestos removal plan, a thorough health and safety plan, reference to applicable legal standards, necessary regulatory notification, adequate insurance requirements and proper bidding procedures.
- A Licensed Project Monitor should monitor the asbestos removal. At a minimum, monitoring activities should include air sampling (before, during and after), inspection of contractor work practices and maintaining a daily monitoring log to thoroughly document removal activities.
- A Licensed Contractor must perform the asbestos removal.

Inaccessible Areas

All areas appeared to be accessible at the time of the assessment.

Disclaimer

Any work performed by AMC Environmental, LLC was done using the degree of care and skill ordinarily exercised under similar circumstances by members of the profession practicing in the same or similar capacity. The standard of care shall exclusively be judged as of the date of services rendered and not according to later standards. The conclusions and recommendations contained in this report are based on limited environmental sampling and visual observations, and were arrived at in accordance with generally accepted standards of industrial hygiene practice. No other warranty, expressed or implied, is made.

Report Written By: Jason Pringle
CT Inspector License No. 000506

TABLE 1
ASBESTOS CONTAINING MATERIALS SUMMARY

TABLE 1
ASBESTOS CONTAINING MATERIALS
SUMMARY TABLE

379 Jackson Avenue
 Stratford, CT 06615

AMC Tracking # ASB092215		Laboratory: EMSL Analytical, Inc.		Lab # 241504274					
LOCATION(S)	MATERIAL TYPE	SAMPLE #	CLASS	BULK SAMPLE ANALYSIS RESULTS				F/NF	Estimated Quantity
				PLM	PLM PC	TEM NOB	ACM		
Room 104, 305	Green Linoleum (Gray)	B0922-25 B0922-26 B0922-27	MISC	20% Chrysotile			YES	NF	700 sq. ft.
Room 107	White Linoleum (Gray)	B0922-52 B0922-53 B0922-54	MISC	15% Chrysotile			YES	NF	350 sq. ft.
Room 202, 207	Patterned Linoleum (Gray)	B0922-58 B0922-59 B0922-60	MISC	12% Chrysotile			YES	NF	700 sq. ft.
KEY:									
NA - Not Analyzed NAD - No Asbestos Detected F - Friable NF - Non-Friable TSI - Thermal Systems Insulation SURF - Type of Surfacing Material MISC - Miscellaneous Material			SF - Square Feet LF - Linear Feet Chrys - Chrysotile Amos - Amosite Anth - Anthophyllite Trem - Tremolite Croc - Crocidolite						

*** Please Note: Quantities are estimates. Determination of exact quantities for bidding purposes is the sole responsibility of the contractor**

Samples Analyzed By EPA Method 600/R-93/116 (PLM)
IN ACCORDANCE WITH STATE OF CONNECTICUT REGULATIONS Section 19a333-5

NOTE Polarized Light Microscopy may not consistently detect asbestos in samples of roofing, flashing, floor tile, mastic and similar non-organically bound materials. Transmission Electron Microscopy is currently the only method that can definitely determine if this material contains asbestos > 0.1% by weight. However, the State of Connecticut Regulations state that bulk samples shall not be composited for analysis and shall be analyzed for asbestos content by polarized light microscopy (PLM), using the "Interim Method for the Determination of Asbestos in Bulk Insulation Samples" found at Appendix A to subpart F in 40 CFR Part 763 as amended, or the current EPA method for the analysis of asbestos in building materials by polarized light microscopy.

TABLE 2
NON-ASBESTOS CONTAINING MATERIALS

TABLE 2
NON-ASBESTOS CONTAINING MATERIALS
SUMMARY TABLE

379 Jackson Avenue
Stratford, CT 06615

AMC Tracking # ASB092215		Lab: EMSL	Lab # 241504274
Sample #	Sample Location	Sample Description	
B0922-01	Room 101	Plaster Skim Coat	
B0922-01A	Room 101	Plaster Base Coat	
B0922-02	Room 101	Plaster Skim Coat	
B0922-02A	Room 101	Plaster Base Coat	
B0922-03	Room 101	Plaster Skim Coat	
B0922-03A	Room 101	Plaster Base Coat	
B0922-04	Room 101	Plaster Skim Coat	
B0922-04A	Room 101	Plaster Base Coat	
B0922-05	Room 301	Plaster Skim Coat	
B0922-05A	Room 301	Plaster Base Coat	
B0922-06	Room 301	Plaster Skim Coat	
B0922-06A	Room 301	Plaster Base Coat	
B0922-07	Room 301	Plaster Skim Coat	
B0922-07A	Room 301	Plaster Base Coat	
B0922-08	Room 301	Plaster Skim Coat	
B0922-08A	Room 301	Plaster Base Coat	
B0922-09	Room 301	Plaster Skim Coat	
B0922-09A	Room 301	Plaster Base Coat	
B0922-10	Room 101	Sheetrock	
B0922-11	Room 301	Sheetrock	
B0922-12	Room 304	Sheetrock	
B0922-13	Room 101	Joint Compound	
B0922-14	Room 101	Joint Compound	
B0922-15	Room 304	Joint Compound	
B0922-16	Room 101	Gray Cove Base	
B0922-16A	Room 101	Cove Base Adhesive	
B0922-17	Room 301	Cove Base	
B0922-17A	Room 301	Cove Base Adhesive	
B0922-18	Room 301	Cove Base	
B0922-18A	Room 301	Cove Base Adhesive	
B0922-19	Room 301	White 12x12 Floor Tile	
B0922-19A	Room 301	Floor Tile Adhesive	
B0922-20	Room 301	White 12x12 Floor Tile	
B0922-20A	Room 301	Floor Tile Adhesive	
B0922-21	Room 301	White 12x12 Floor Tile	
B0922-21A	Room 301	Floor Tile Adhesive	
B0922-22	Room 304	Wood Floor Tile	
B0922-23	Room 304	Wood Floor Tile	
B0922-24	Room 304	Wood Floor Tile	

Non-Asbestos Containing Material Cont'd

AMC Tracking # ASB092215		Lab: EMSL	Lab # 241504274
Sample #	Sample Location	Sample Description	
B0922-28	Room 105	Yellow Ceramic Wall Tile	
B0922-28A	Room 105	Grout	
B0922-29	Room 105	Yellow Ceramic Wall Tile	
B0922-29A	Room 105	Grout	
B0922-30	Room 105	Yellow Ceramic Wall Tile	
B0922-30A	Room 105	Grout	
B0922-31	Room 308	White Ceramic Wall Tile	
B0922-31A	Room 308	Grout	
B0922-32	Room 308	White Ceramic Wall Tile	
B0922-32A	Room 308	Grout	
B0922-33	Room 308	White Ceramic Wall Tile	
B0922-33A	Room 308	Grout	
B0922-34	Room 309	White Ceramic Wall Tile	
B0922-34A	Room 309	Grout	
B0922-35	Room 309	White Ceramic Wall Tile	
B0922-35A	Room 309	Grout	
B0922-36	Room 309	White Ceramic Wall Tile	
B0922-36A	Room 309	Grout	
B0922-37	Room 309	Gray Ceramic Wall Tile	
B0922-37A	Room 309	Grout	
B0922-38	Room 309	Gray Ceramic Wall Tile	
B0922-38A	Room 309	Grout	
B0922-39	Room 309	Gray Ceramic Wall Tile	
B0922-39A	Room 309	Grout	
B0922-40	Room 101	Red Ceramic Wall Tile	
B0922-40A	Room 101	Grout	
B0922-41	Room 101	Red Ceramic Wall Tile	
B0922-41A	Room 101	Grout	
B0922-42	Room 101	Red Ceramic Wall Tile	
B0922-42A	Room 101	Grout	
B0922-43	Room 104	Wood Linoleum	
B0922-44	Room 104	Wood Linoleum	
B0922-45	Room 104	Wood Linoleum	
B0922-46	Room 105	Multi-colored Floor Tile	
B0922-47	Room 105	Grout	
B0922-47A	Room 105	Multi-colored Floor Tile	
B0922-48	Room 105	Grout	
B0922-48A	Room 105	Multi-colored Floor Tile	
B0922-49	Room 107	Gray 12x12 Linoleum Tile	
B0922-50	Room 107	Gray 12x12 Linoleum Tile	
B0922-51	Room 107	Gray 12x12 Linoleum Tile	
B0922-55	Room 202	Marble Rolled Flooring	
B0922-56	Room 202	Marble Rolled Flooring	
B0922-57	Room 202	Marble Rolled Flooring	
B0922-61	Room 207	Tan 12x12 Floor Tile	

Non-Asbestos Containing Material Cont'd

AMC Tracking # ASB092215		Lab: EMSL	Lab # 241504274
Sample #	Sample Location	Sample Description	
B0922-62	Room 207	Tan 12x12 Floor Tile	
B0922-63	Room 207	Tan 12x12 Floor Tile	
B0922-64	Room 207	12x12 Floor Tile	
B0922-65	Room 207	12x12 Floor Tile	
B0922-66	Room 207	12x12 Floor Tile	

**Samples in italic and bold documented <1% asbestos. Further testing using TEM NOB method is recommended, if not further analyzed samples can be considered non-asbestos containing and can be discarded as construction debris. However OSHA work practices and regulations apply.*

GENERAL STATEMENTS CONCERNING ASBESTOS INSPECTIONS IN BUILDINGS:

- This survey may not have evaluated internal linings or gaskets, if any exist. Before any work is scheduled on a boiler, which would affect these areas (i.e. demolition), samples of linings and gaskets should be analyzed for asbestos content.
- This inspection does not represent that all ACM that may be present in or behind walls, ceilings, and floors have been discovered. Review all existing heating and plumbing plans before starting any demolition projects. Ensure that there is a contingency plan for asbestos found during demolitions. Unit prices should be included for any material that may be discovered.
- Equipment that operates at high temperature such as kilns, muffle furnaces, flood and arc lights may be insulated with asbestos-containing materials such as block, panels, fabric, braid or gasket.
- Cement pipes (roof drains, sewerage drains, etc.) may contain asbestos. Prior to any cutting, sanding, drilling or removal of these materials, bulk sample(s) should be collected and analyzed at an accredited laboratory.
- The interior of fire doors may be filled with ACM as a fire retardant. Take the necessary precautions or have bulk samples analyzed before cutting, drilling or otherwise affecting the original integrity of the door.
- Certain other materials including, but not limited to, paint, varnish, tape, ceramic tiles and cement have been known to contain asbestos; cutting, sanding, drilling or removal of these materials may release asbestos fibers.

APPENDIX A

LABORATORY RESULTS

**EMSL Analytical, Inc.**

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Phone: (203) 378-5020
 Fax: (203) 375-7344
 Received: 09/22/15 2:20 PM
 Analysis Date: 9/23/2015
 Collected:

Project: 379 JACKSON AVE, STRATFORD, CT

Test Report: Asbestos Analysis of Bulk Materials via EPA 600/R-93/116 Method using Polarized Light Microscopy

Sample	Description	Appearance	Non-Asbestos		Asbestos
			% Fibrous	% Non-Fibrous	% Type
B0922-01 241504274-0001	Plaster skim coat	White Non-Fibrous Homogeneous		100% Non-fibrous (other)	None Detected
B0922-01A 241504274-0002	Plaster base coat	Gray Non-Fibrous Homogeneous		20% Quartz 80% Non-fibrous (other)	None Detected
B0922-02 241504274-0003	Plaster skim coat	White Non-Fibrous Homogeneous		100% Non-fibrous (other)	None Detected
B0922-02A 241504274-0004	Plaster base coat	Gray Non-Fibrous Homogeneous		30% Quartz 70% Non-fibrous (other)	None Detected
B0922-03 241504274-0005	Plaster skim coat	White Non-Fibrous Homogeneous		100% Non-fibrous (other)	None Detected
B0922-03A 241504274-0006	Plaster base coat	Gray Fibrous Homogeneous	<1% Synthetic	30% Quartz 70% Non-fibrous (other)	None Detected
B0922-04 241504274-0007	Plaster skim coat	White Non-Fibrous Homogeneous		100% Non-fibrous (other)	None Detected
B0922-04A 241504274-0008	Plaster base coat	Gray Fibrous Homogeneous	<1% Synthetic	15% Quartz 85% Non-fibrous (other)	None Detected

Analyst(s)

 Kristin Lopez (32)
 Lauren Brennan (61)



 Gloria V. Oriol, Laboratory Manager
 or other approved signatory

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 Project: 379 JACKSON AVE, STRATFORD, CT

Test Report: Asbestos Analysis of Bulk Materials via EPA 600/R-93/116 Method using Polarized Light Microscopy

Sample	Description	Appearance	Non-Asbestos		Asbestos
			% Fibrous	% Non-Fibrous	% Type
B0922-05 241504274-0009	Plaster skim coat	White Non-Fibrous Homogeneous		100% Non-fibrous (other)	None Detected
B0922-05A 241504274-0010	Plaster base coat	Gray Fibrous Homogeneous	2% Synthetic	20% Quartz 78% Non-fibrous (other)	None Detected
B0922-06 241504274-0011	Plaster skim coat	White Non-Fibrous Homogeneous		100% Non-fibrous (other)	None Detected
B0922-06A 241504274-0012	Plaster base coat	Gray Non-Fibrous Homogeneous		20% Quartz 80% Non-fibrous (other)	None Detected
B0922-07 241504274-0013	Plaster skim coat	White Non-Fibrous Homogeneous		100% Non-fibrous (other)	None Detected
B0922-07A 241504274-0014	Plaster base coat	Gray Non-Fibrous Homogeneous		25% Quartz 75% Non-fibrous (other)	None Detected
B0922-08 241504274-0015	Plaster skim coat	White Non-Fibrous Homogeneous		100% Non-fibrous (other)	None Detected
B0922-08A 241504274-0016	Plaster base coat	Gray Non-Fibrous Homogeneous		25% Quartz 75% Non-fibrous (other)	None Detected

Analyst(s)
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Sample	Description	Appearance	Non-Asbestos		Asbestos
			% Fibrous	% Non-Fibrous	% Type
B0922-09 241504274-0017	Plaster skim coat	White Non-Fibrous Homogeneous		100% Non-fibrous (other)	None Detected
B0922-09A 241504274-0018	Plaster base coat	Gray Non-Fibrous Homogeneous		20% Quartz 80% Non-fibrous (other)	None Detected
B0922-10 241504274-0019	Sheetrock	Gray Fibrous Homogeneous	5% Cellulose	95% Non-fibrous (other)	None Detected
B0922-11 241504274-0020	Sheetrock	Gray Fibrous Homogeneous	5% Cellulose	95% Non-fibrous (other)	None Detected
B0922-12 241504274-0021	Sheetrock	Gray Fibrous Homogeneous	4% Cellulose	96% Non-fibrous (other)	None Detected
B0922-13 241504274-0022	Joint compound	White Non-Fibrous Homogeneous		45% Ca Carbonate 55% Non-fibrous (other)	None Detected
B0922-14 241504274-0023	Joint compound	White Non-Fibrous Homogeneous		40% Ca Carbonate 60% Non-fibrous (other)	None Detected
B0922-15 241504274-0024	Joint compound	White Non-Fibrous Homogeneous		35% Ca Carbonate 65% Non-fibrous (other)	None Detected

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Test Report: Asbestos Analysis of Bulk Materials via EPA 600/R-93/116 Method using Polarized Light Microscopy

Sample	Description	Appearance	Non-Asbestos		Asbestos
			% Fibrous	% Non-Fibrous	% Type
B0922-16 241504274-0025	Gray cove base	Gray Non-Fibrous Homogeneous		100% Non-fibrous (other)	None Detected
B0922-16A 241504274-0026	Cove base adhesive	Yellow Non-Fibrous Homogeneous		100% Non-fibrous (other)	None Detected
B0922-17 241504274-0027	Cove base	Gray Non-Fibrous Homogeneous		100% Non-fibrous (other)	None Detected
B0922-17A 241504274-0028	Cove base adhesive	Yellow Non-Fibrous Homogeneous	<1% Cellulose	100% Non-fibrous (other)	None Detected
B0922-18 241504274-0029	Cove base	Gray Non-Fibrous Homogeneous		100% Non-fibrous (other)	None Detected
B0922-18A 241504274-0030	Cove base adhesive	Tan Non-Fibrous Homogeneous	<1% Cellulose	100% Non-fibrous (other)	None Detected
B0922-19 241504274-0031	White 12x12 floor tile	White Non-Fibrous Homogeneous		30% Ca Carbonate 70% Non-fibrous (other)	None Detected
B0922-19A 241504274-0032	Floor tile adhesive	Yellow Non-Fibrous Homogeneous	<1% Cellulose	100% Non-fibrous (other)	None Detected

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Test Report: Asbestos Analysis of Bulk Materials via EPA 600/R-93/116 Method using Polarized Light Microscopy

Sample	Description	Appearance	Non-Asbestos		Asbestos
			% Fibrous	% Non-Fibrous	% Type
B0922-20 241504274-0033	White 12x12 floor tile	White Non-Fibrous Homogeneous		35% Ca Carbonate 65% Non-fibrous (other)	None Detected
B0922-20A 241504274-0034	Floor tile adhesive	Gray/Yellow Non-Fibrous Homogeneous	5% Cellulose	95% Non-fibrous (other)	None Detected
B0922-21 241504274-0035	White 12x12 floor tile	White Non-Fibrous Homogeneous		30% Ca Carbonate 70% Non-fibrous (other)	None Detected
B0922-21A 241504274-0036	Floor tile adhesive	Yellow Non-Fibrous Homogeneous	4% Cellulose	96% Non-fibrous (other)	None Detected
B0922-22 241504274-0037	Wood floor tile	Brown/Black Non-Fibrous Homogeneous		30% Ca Carbonate 70% Non-fibrous (other)	None Detected
B0922-23 241504274-0038	Wood floor tile	Brown/Black Non-Fibrous Homogeneous		30% Ca Carbonate 70% Non-fibrous (other)	None Detected
B0922-24 241504274-0039	Wood floor tile	Brown Non-Fibrous Homogeneous		25% Ca Carbonate 75% Non-fibrous (other)	None Detected
B0922-25 241504274-0040	Green linoleum	Gray Fibrous Homogeneous		80% Non-fibrous (other)	20% Chrysotile

This is a composite result of both vinyl and backing layers.

Analyst(s)
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Sample	Description	Appearance	Non-Asbestos		Asbestos
			% Fibrous	% Non-Fibrous	% Type
B0922-26 241504274-0041	Green linoleum				Stop Positive (Not Analyzed)
B0922-27 241504274-0042	Green linoleum				Stop Positive (Not Analyzed)
B0922-28 241504274-0043	Yellow ceramic wall tile	Yellow Non-Fibrous Homogeneous		100% Non-fibrous (other)	None Detected
B0922-28A 241504274-0044	Grout	Beige Non-Fibrous Homogeneous		100% Non-fibrous (other)	None Detected
B0922-29 241504274-0045	Yellow ceramic wall tile	Yellow Non-Fibrous Homogeneous		100% Non-fibrous (other)	None Detected
B0922-29A 241504274-0046	Grout	Beige Non-Fibrous Homogeneous		100% Non-fibrous (other)	None Detected
B0922-30 241504274-0047	Yellow ceramic wall tile	Yellow Non-Fibrous Homogeneous		100% Non-fibrous (other)	None Detected
B0922-30A 241504274-0048	Grout	Tan/Beige Non-Fibrous Homogeneous	<1% Cellulose	100% Non-fibrous (other)	None Detected
B0922-31 241504274-0049	White ceramic floor tile	Gray/White Non-Fibrous Homogeneous		100% Non-fibrous (other)	None Detected

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Sample	Description	Appearance	Non-Asbestos		Asbestos
			% Fibrous	% Non-Fibrous	% Type
B0922-31A 241504274-0050	Grout	White Non-Fibrous Homogeneous		5% Quartz 95% Non-fibrous (other)	None Detected
B0922-32 241504274-0051	White ceramic floor tile	Gray/White Non-Fibrous Homogeneous		100% Non-fibrous (other)	None Detected
B0922-32A 241504274-0052	Grout	White Non-Fibrous Homogeneous		3% Quartz 97% Non-fibrous (other)	None Detected
B0922-33 241504274-0053	White ceramic floor tile	Gray/White Non-Fibrous Homogeneous		100% Non-fibrous (other)	None Detected
B0922-33A 241504274-0054	Grout	White Non-Fibrous Homogeneous		5% Quartz 95% Non-fibrous (other)	None Detected
B0922-34 241504274-0055	White ceramic wall tile	Tan/White Non-Fibrous Homogeneous		100% Non-fibrous (other)	None Detected
B0922-34A 241504274-0056	Grout	White Non-Fibrous Homogeneous		100% Non-fibrous (other)	None Detected
B0922-35 241504274-0057	White ceramic wall tile	Tan/White Non-Fibrous Homogeneous		100% Non-fibrous (other)	None Detected

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Gloria V. Oriol, Laboratory Manager
or other approved signatory

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Samples analyzed by EMSL Analytical, Inc. Wallingford, CT NVLAP Lab Code 200700-0.

Initial report from 09/23/2015 15:59:14



EMSL Analytical, Inc.

29 North Plains Highway, Unit # 4, Wallingford, CT 06492
Phone/Fax: 203-284-5948 / (203) 284-5978
<http://www.EMSL.com> wallingfordlab@emsl.com

EMSL Order: 241504274
CustomerID: AMCT50
CustomerPO:
ProjectID:

Attn: **Jason Pringle**
AMC Environmental, LLC
PO Box 423

Stratford, CT 06615

Project: 379 JACKSON AVE, STRATFORD, CT

Phone: (203) 378-5020
Fax: (203) 375-7344
Received: 09/22/15 2:20 PM
Analysis Date: 9/23/2015
Collected:

Test Report: Asbestos Analysis of Bulk Materials via EPA 600/R-93/116 Method using Polarized Light Microscopy

Sample	Description	Appearance	Non-Asbestos		Asbestos
			% Fibrous	% Non-Fibrous	% Type
B0922-35A 241504274-0058	Grout	Beige Non-Fibrous Homogeneous		100% Non-fibrous (other)	None Detected
B0922-36 241504274-0059	White ceramic wall tile	White/Yellow Non-Fibrous Homogeneous		100% Non-fibrous (other)	None Detected
B0922-36A 241504274-0060	Grout	Beige Non-Fibrous Homogeneous		100% Non-fibrous (other)	None Detected
B0922-37 241504274-0061	Gray ceramic floor tile	Gray Non-Fibrous Homogeneous		100% Non-fibrous (other)	None Detected
B0922-37A 241504274-0062	Grout	Gray Non-Fibrous Homogeneous		20% Quartz 80% Non-fibrous (other)	None Detected
B0922-38 241504274-0063	Gray ceramic floor tile	Gray Non-Fibrous Homogeneous		100% Non-fibrous (other)	None Detected
B0922-38A 241504274-0064	Grout	Gray Non-Fibrous Homogeneous		10% Quartz 90% Non-fibrous (other)	None Detected
B0922-39 241504274-0065	Gray ceramic floor tile	Gray Non-Fibrous Homogeneous		100% Non-fibrous (other)	None Detected

Analyst(s)
Kristin Lopez (32)
Lauren Brennan (61)


Gloria V. Oriol, Laboratory Manager
or other approved signatory

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Test Report: Asbestos Analysis of Bulk Materials via EPA 600/R-93/116 Method using Polarized Light Microscopy

Sample	Description	Appearance	Non-Asbestos		Asbestos
			% Fibrous	% Non-Fibrous	% Type
B0922-39A 241504274-0066	Grout	Gray Non-Fibrous Homogeneous		4% Quartz 96% Non-fibrous (other)	None Detected
B0922-40 241504274-0067	Red ceramic tile	Gray/Red Non-Fibrous Homogeneous		100% Non-fibrous (other)	None Detected
B0922-40A 241504274-0068	Grout	Gray Non-Fibrous Homogeneous	<1% Cellulose	20% Quartz 80% Non-fibrous (other)	None Detected
B0922-41 241504274-0069	Red ceramic tile	Gray Non-Fibrous Homogeneous		100% Non-fibrous (other)	None Detected
B0922-41A 241504274-0070	Grout	Gray Non-Fibrous Homogeneous	<1% Cellulose	10% Quartz 90% Non-fibrous (other)	None Detected
B0922-42 241504274-0071	Red ceramic tile	Gray Non-Fibrous Homogeneous		100% Non-fibrous (other)	None Detected
B0922-42A 241504274-0072	Grout	Gray Non-Fibrous Homogeneous		10% Quartz 90% Non-fibrous (other)	None Detected
B0922-43 241504274-0073	Wood linoleum	Brown/Tan Fibrous Homogeneous	40% Synthetic	60% Non-fibrous (other)	None Detected

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Test Report: Asbestos Analysis of Bulk Materials via EPA 600/R-93/116 Method using Polarized Light Microscopy

Sample	Description	Appearance	Non-Asbestos		Asbestos
			% Fibrous	% Non-Fibrous	% Type
B0922-44 241504274-0074	Wood linoleum	Brown/Tan Fibrous Homogeneous	40% Synthetic	60% Non-fibrous (other)	None Detected
B0922-45 241504274-0075	Wood linoleum	Brown/Tan Fibrous Homogeneous	35% Synthetic	65% Non-fibrous (other)	None Detected
B0922-46 241504274-0076	Multi-colored floor tile	Gray Non-Fibrous Homogeneous		100% Non-fibrous (other)	None Detected
B0922-46A 241504274-0077	Grout	Gray Fibrous Homogeneous	2% Cellulose	15% Quartz 83% Non-fibrous (other)	None Detected
B0922-47 241504274-0078	Multi-colored floor tile	Gray Non-Fibrous Homogeneous		100% Non-fibrous (other)	None Detected
B0922-47A 241504274-0079	Grout	Gray Fibrous Homogeneous	2% Cellulose	15% Quartz 83% Non-fibrous (other)	None Detected
B0922-48 241504274-0080	Multi-colored floor tile	Gray Non-Fibrous Homogeneous		100% Non-fibrous (other)	None Detected
B0922-48A 241504274-0081	Grout	Gray Non-Fibrous Homogeneous	<1% Cellulose	10% Quartz 90% Non-fibrous (other)	None Detected

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AMC Environmental, LLC Fax: (203) 375-7344
PO Box 423 Received: 09/22/15 2:20 PM
Stratford, CT 06615 Analysis Date: 9/23/2015
 Collected:
 Project: 379 JACKSON AVE, STRATFORD, CT

Test Report: Asbestos Analysis of Bulk Materials via EPA 600/R-93/116 Method using Polarized Light Microscopy

Sample	Description	Appearance	Non-Asbestos		Asbestos
			% Fibrous	% Non-Fibrous	% Type
B0922-49 241504274-0082	Gray 12x12 linoleum tile	Gray Non-Fibrous Homogeneous		40% Ca Carbonate 60% Non-fibrous (other)	None Detected
B0922-50 241504274-0083	Gray 12x12 linoleum tile	Gray Non-Fibrous Homogeneous		45% Ca Carbonate 55% Non-fibrous (other)	None Detected
B0922-51 241504274-0084	Gray 12x12 linoleum tile	Gray Non-Fibrous Homogeneous		30% Ca Carbonate 70% Non-fibrous (other)	None Detected
B0922-52 241504274-0085	White linoleum	Gray Fibrous Homogeneous	5% Cellulose	80% Non-fibrous (other)	15% Chrysotile
This is a composite result of both vinyl and backing layers.					
B0922-53 241504274-0086	White linoleum				Stop Positive (Not Analyzed)
B0922-54 241504274-0087	White linoleum				Stop Positive (Not Analyzed)
B0922-55 241504274-0088	Marble rolled flooring	White Fibrous Homogeneous	3% Glass	97% Non-fibrous (other)	None Detected
B0922-56 241504274-0089	Marble rolled flooring	White Fibrous Homogeneous	4% Glass	96% Non-fibrous (other)	None Detected

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Test Report: Asbestos Analysis of Bulk Materials via EPA 600/R-93/116 Method using Polarized Light Microscopy

Sample	Description	Appearance	Non-Asbestos		Asbestos
			% Fibrous	% Non-Fibrous	% Type
B0922-57 241504274-0090	Marble rolled flooring	White Non-Fibrous Homogeneous	5% Glass	95% Non-fibrous (other)	None Detected
B0922-58 241504274-0091	Patterned linoleum	Gray Fibrous Homogeneous	8% Cellulose	80% Non-fibrous (other)	12% Chrysotile
This is a composite result of both vinyl and backing layers.					
B0922-59 241504274-0092	Patterned linoleum				Stop Positive (Not Analyzed)
B0922-60 241504274-0093	Patterned linoleum				Stop Positive (Not Analyzed)
B0922-61 241504274-0094	Tan 12x12 floor tile	Gray Non-Fibrous Homogeneous		30% Ca Carbonate 70% Non-fibrous (other)	None Detected
B0922-62 241504274-0095	Tan 12x12 floor tile	Gray Non-Fibrous Homogeneous		30% Ca Carbonate 70% Non-fibrous (other)	None Detected
B0922-63 241504274-0096	Tan 12x12 floor tile	Gray Non-Fibrous Homogeneous		30% Ca Carbonate 70% Non-fibrous (other)	None Detected
B0922-64 241504274-0097	12x12 ceiling tile	Brown Fibrous Homogeneous	99% Cellulose	1% Non-fibrous (other)	None Detected

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Project: 379 JACKSON AVE, STRATFORD, CT

Test Report: Asbestos Analysis of Bulk Materials via EPA 600/R-93/116 Method using Polarized Light Microscopy

Sample	Description	Appearance	Non-Asbestos		Asbestos
			% Fibrous	% Non-Fibrous	% Type
B0922-65 241504274-0098	12x12 ceiling tile	Brown Fibrous Homogeneous	99% Cellulose	1% Non-fibrous (other)	None Detected
B0922-66 241504274-0099	12x12 ceiling tile	Brown Fibrous Homogeneous	99% Cellulose	1% Non-fibrous (other)	None Detected

Analyst(s)

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 Lauren Brennan (61)



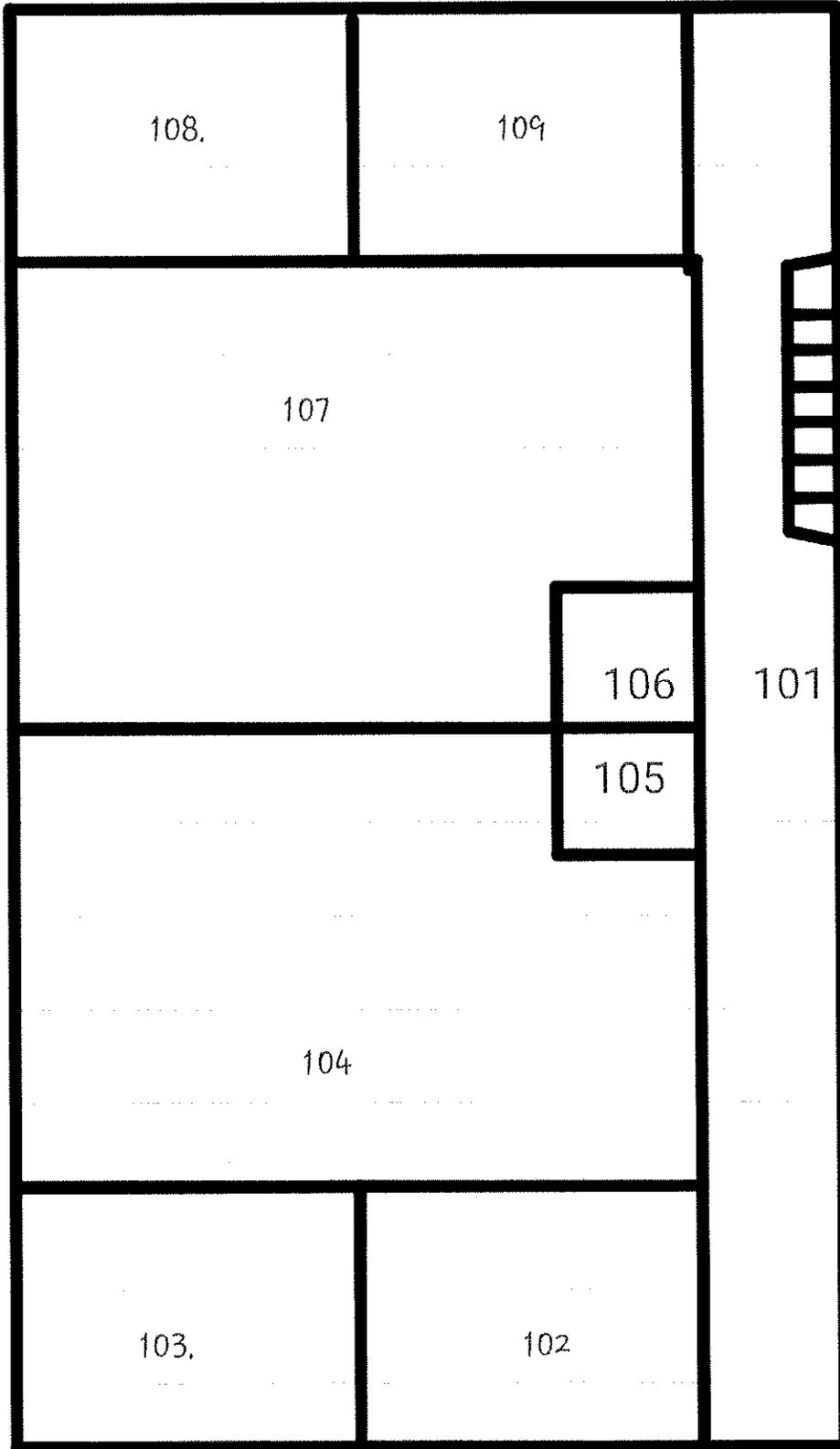
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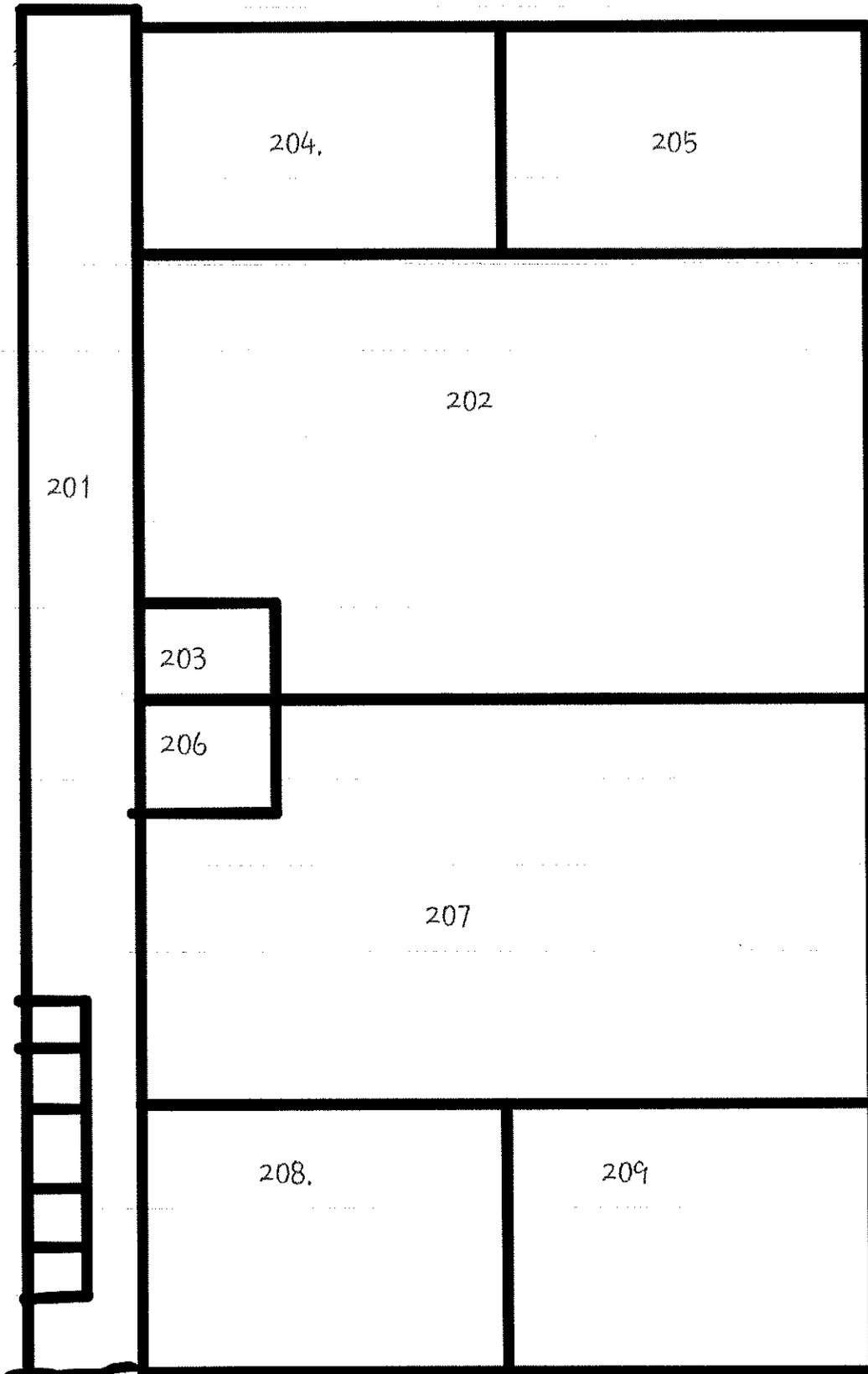
Initial report from 09/23/2015 15:59:14

APPENDIX B
DIAGRAM

379 Jackson 1st Flr



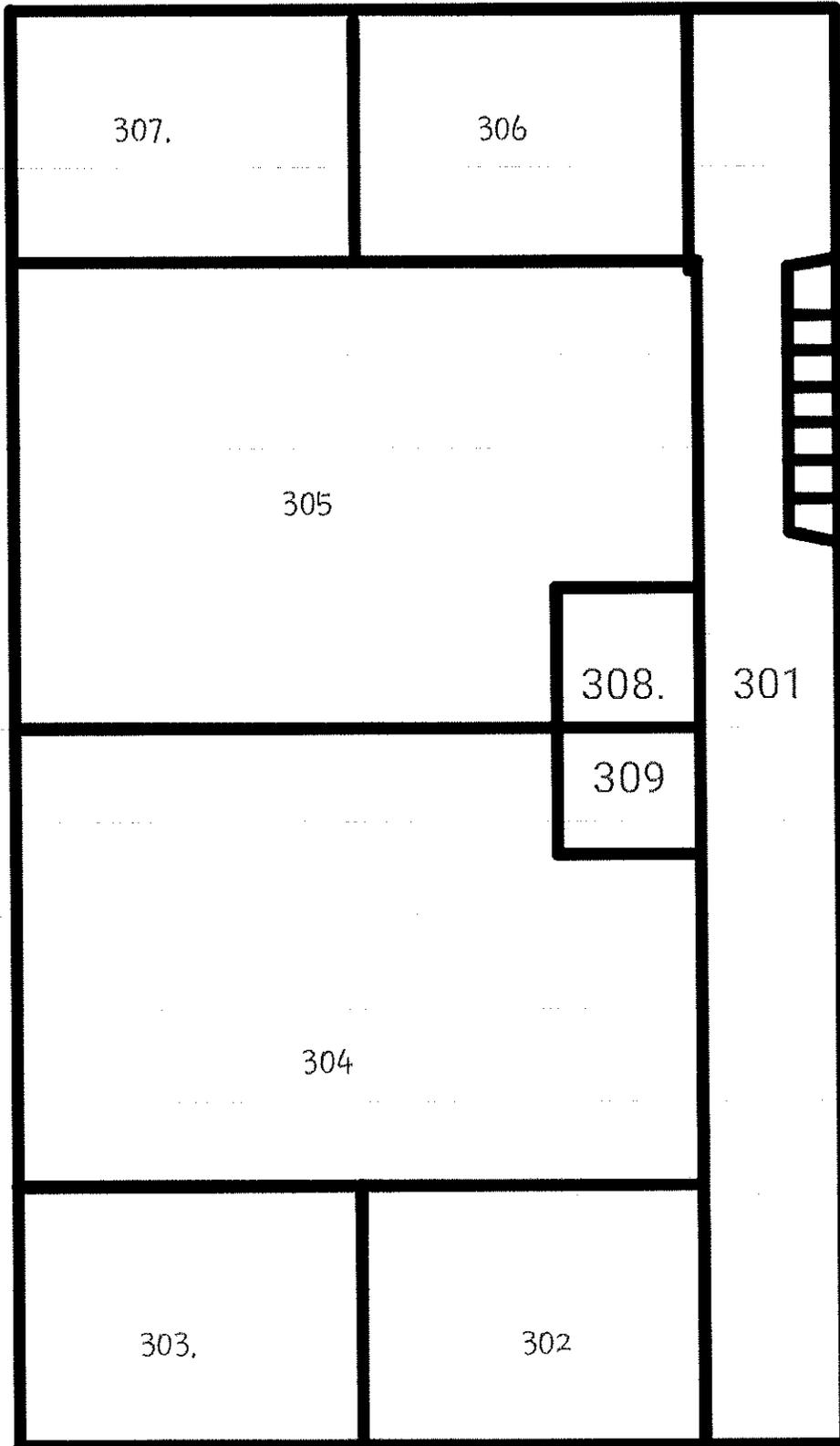
379 Jackson. 2nd flr.



Side A



379 Jackson, 3rd. Flr.



APPENDIX C
ACCREDITATIONS

United States Department of Commerce
National Institute of Standards and Technology



Certificate of Accreditation to ISO/IEC 17025:2005

NVLAP LAB CODE: 200700-0

EMSL Analytical, Inc.
Wallingford, CT

*is accredited by the National Voluntary Laboratory Accreditation Program for specific services,
listed on the Scope of Accreditation, for:*

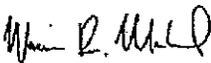
BULK ASBESTOS FIBER ANALYSIS

*This laboratory is accredited in accordance with the recognized International Standard ISO/IEC 17025:2005.
This accreditation demonstrates technical competence for a defined scope and the operation of a laboratory quality
management system (refer to joint ISO-ILAC-IAF Communique dated January 2009).*

2015-01-01 through 2015-12-31

Effective dates




For the National Institute of Standards and Technology

PRE-RENOVATION ASBESTOS INSPECTION

PERFORMED AT:

**389 Jackson Avenue
Stratford, CT 06615**

PREPARED FOR:

**Mr. Chris Bandecchio
Department of Community Development
Town of Stratford
Stratford, CT 06615**

PREPARED BY:



ENVIRONMENTAL, LLC

**P. O. BOX 423
STRATFORD, CONNECTICUT 06615
(203) 378-5020**

**Inspection Date: September 22, 2015
Report Date: September 30, 2015**

1.0 INTRODUCTION

On September 22nd 2015, AMC Environmental, LLC conducted a pre-renovation asbestos inspection at 389 Jackson Avenue located in Stratford, CT. The scope of this inspection is limited to the materials described below.

Asbestos Containing Materials

The asbestos inspection was conducted in accordance with the USEPA National Emission Standard for Hazardous Air Pollutants Act (NESHAP) as amended November 20, 1990. The NESHAP final rule requires the identification and removal of all regulated ACM in a building prior to removal or demolition.

Asbestos inspection performed by: Jason Pringle
State of Connecticut licensed Asbestos Inspector
License # 000269

2.0 BUILDING DESCRIPTION

The subject building located at 389 Jackson Avenue, Stratford, CT is a 2-story structure of wood frame construction. The building has a full basement. The interior walls and ceiling are of sheetrock and joint compound construction. The window frames and sashes are of vinyl construction. The floors are finished with various resilient flooring finishes. The exterior facades consist of vinyl siding.

3.0 ASBESTOS CONTAINING MATERIALS

Inspection

This asbestos-containing materials inspection was limited to the materials that would be disturbed during the upcoming renovation project. Semi-destructive testing techniques are utilized during the inspection process. This included cutting through various layers of flooring and wall sheathing to sample and verify layers of suspect ACM. Suspect building materials that are inaccessible for inspection and sampling are assumed to be ACM for the purpose of this report. These suspect materials are generally located inside the walls of the structure.

During the inspection, the Inspector documents the location, class, and friability of each suspect material. Friability is an industry term that measures a material's resilience. Material that can be easily crumbled, pulverized, or reduced to powder when dried is defined as being friable. For a full list of ACM and Materials needing to be re-tested or assumed, **see table 1**. For a full list of all non-asbestos containing materials tested **see table 2 (Appendix A)**.

Bulk Sampling

The United States Environmental Protection Agency (USEPA) has separated ACM into three categories. These categories are: Thermal System Insulation (TSI), Surfacing Materials, and Miscellaneous materials. TSI includes all materials that are used to prevent heat loss or gain, or water condensation on mechanical systems. Examples of TSI are pipe covering, boiler insulation, duct wrap, and mudded fitting cement. Surfacing includes any material that sprayed, troweled, or otherwise to an existing surface. Surfacing applications are commonly used in fireproofing and acoustical applications. All other material fall into the miscellaneous category such as vinyl floor tiles, ceiling tiles and drywall. All sampling methods and sampling quantities are collected at AMC's discretion and meet or exceed requirements set by the USEPA.

Bulk Sample Analysis

Samples of suspect materials are transmitted directly to an independent, State of Connecticut Department of Public Health (DPH), laboratory for analysis by Polarized Light Microscopy (PLM). PLM is the acceptable method of analysis in accordance with the Environmental Protection Agency (EPA) "Interim Method for the Determination of Asbestos in Bulk Insulation", 40 CFR 763, Subpart F, Appendix A EPA 600/M4-82-020. The Inspector collected "sets" of samples for each homogenous material sampled. Each sample is analyzed in the set until one sample is determined to contain asbestos (more than 1%). Sample analyses are reported in percentage of asbestos. The USEPA defines ACM as any material that contains more than 1 % asbestos, by way of PLM. "NAD", refers to "No asbestos Detected", and "DNA" refers to "Did Not Analyze" due to stop at first positive. The State of Connecticut Department of Public Health, the USEPA, as well as the United States Department of Labor regulate any material determined to contain greater than 1% of asbestos.

Friable ACM

Other analytical methods are recommended for certain friable material samples. The Point Count Method can further analyze friable materials shown to contain less than 10% asbestos by PLM analysis. Recommended, by the United States Environmental Protection Agency, the Point Count Method is accepted as providing accurate analytical results when determining the percent content of bulk samples with very low asbestos concentrations. The (PLM) Point Count Method must analyze friable material containing less than 1% asbestos.

Non-Friable ACM

Non-friable asbestos samples showing percentages containing less than 1%, the "NOB TEM ELAP 198.4 Method" should confirm NAD, or "TRACE". This procedure is recommended by the USEPA. If the results from this analysis determine asbestos content to still be less than 1 %, the sample is considered not to be asbestos containing.

4.0 Conclusion

During the course of the building inspection, thirty-six (36) samples of suspect ACM were collected, all of which were analyzed by PLM "stop on first positive".

From the thirty-six (36) samples, nine (9) types of ACM were identified. The materials identified were all documented to be asbestos containing. A complete inventory of identified ACM is provided in the Asbestos Containing Materials Summary Table (Table 1).

5.0 RECOMMENDATIONS CONCERNING ASBESTOS

Laws govern all asbestos activities undertaken in the State of Connecticut. AMC Environmental, LLC suggests the following to ensure compliance with state, federal, or local asbestos regulations and to reduce possible liabilities.

- State of Connecticut, Department of Public Health; Standards for Asbestos Abatement (19a-332-1a through 19a-332a-16).
- State of Connecticut Licensure and Training Requirements for Persons Engaged in Asbestos Abatement and Consultation Services Section 20-440-1 through 20-440-9.
- The Federal Regulation governing asbestos is Title 40 of the Code of Federal Regulations (40 CFR), Part 61, Subpart M, Demolition and/or Renovation of Facilities with Asbestos-Containing Materials.

The following recommendations pertain to asbestos removal projects.

- A Licensed Asbestos Project Designer should develop a plan or specification to ensure asbestos is removed in a safe and proper manner. At a minimum, these specifications should include an effective asbestos removal plan, a thorough health and safety plan, reference to applicable legal standards, necessary regulatory notification, adequate insurance requirements and proper bidding procedures.
- A Licensed Project Monitor should monitor the asbestos removal. At a minimum, monitoring activities should include air sampling (before, during and after), inspection of contractor work practices and maintaining a daily monitoring log to thoroughly document removal activities.
- A Licensed Contractor must perform the asbestos removal.

Inaccessible Areas

All areas appeared to be accessible at the time of the assessment.

Disclaimer

Any work performed by AMC Environmental, LLC was done using the degree of care and skill ordinarily exercised under similar circumstances by members of the profession practicing in the same or similar capacity. The standard of care shall exclusively be judged as of the date of services rendered and not according to later standards. The conclusions and recommendations contained in this report are based on limited environmental sampling and visual observations, and were arrived at in accordance with generally accepted standards of industrial hygiene practice. No other warranty, expressed or implied, is made.

Report Written By: Jason Pringle
CT Inspector License No. 000506

TABLE 1
ASBESTOS CONTAINING MATERIALS SUMMARY

TABLE 1
ASBESTOS CONTAINING MATERIALS
SUMMARY TABLE

389 Jackson Avenue
 Stratford, CT 06615

AMC Tracking # ASB092215		Laboratory: EMSL Analytical, Inc.		Lab #241504282					
LOCATION(S)	MATERIAL TYPE	SAMPLE #	CLASS	BULK SAMPLE ANALYSIS RESULTS				F/NF	Estimated Quantity
				PLM	PLM PC	TEM NOB	ACM		
Room 201, 204	White 12x12 Floor Tile	B0922-10 B0922-11 B0922-12	MISC	2% Chrysotile			YES	NF	520 sq. ft.
Room 206	Gray 12x12 Floor Tile	B0922-22 B0922-23 B0922-24	MISC	3% Chrysotile			YES	NF	400 sq. ft.
Room 103,106	Tan 12x12 Floor Tile	B0922-25 B0922-26 B0922-27	MISC	3% Chrysotile			YES	NF	800 sq. ft.
KEY:									
NA - Not Analyzed			SF - Square Feet						
NAD - No Asbestos Detected			LF - Linear Feet						
F - Friable			Chrys - Chrysotile						
NF - Non-Friable			Amos - Amosite						
TSI - Thermal Systems Insulation			Anth - Anthophyllite						
SURF - Type of Surfacing Material			Trem - Tremolite						
MISC - Miscellaneous Material			Croc - Crocidolite						

*** Please Note: Quantities are estimates. Determination of exact quantities for bidding purposes is the sole responsibility of the contractor**

Samples Analyzed By EPA Method 600/R-93/116 (PLM)
IN ACCORDANCE WITH STATE OF CONNECTICUT REGULATIONS Section 19a333-5

NOTE Polarized Light Microscopy may not consistently detect asbestos in samples of roofing, flashing, floor tile, mastic and similar non-organically bound materials. Transmission Electron Microscopy is currently the only method that can definitely determine if this material contains asbestos > 0.1% by weight. However, the State of Connecticut Regulations state that bulk samples shall not be composited for analysis and shall be analyzed for asbestos content by polarized light microscopy (PLM), using the "Interim Method for the Determination of Asbestos in Bulk Insulation Samples" found at Appendix A to subpart F in 40 CFR Part 763 as amended, or the current EPA method for the analysis of asbestos in building materials by polarized light microscopy.

TABLE 2
NON-ASBESTOS CONTAINING MATERIALS

TABLE 2
NON-ASBESTOS CONTAINING MATERIALS
SUMMARY TABLE

389 Jackson Avenue
Stratford, CT 06615

AMC Tracking # ASB092215		Lab: EMSL	Lab # 241504282
Sample #	Sample Location	Sample Description	
B0922-01	Room 201	Sheetrock	
B0922-02	Room 204	Sheetrock	
B0922-03	Room 206	Sheetrock	
B0922-04	Room 201	Joint Compound	
B0922-05	Room 204	Joint Compound	
B0922-06	Room 206	Joint Compound	
B0922-07	Room 201	Gray Cove Base	
B0922-07A	Room 201	Cove Base Adhesive	
B0922-08	Room 204	Gray Cove Base	
B0922-08A	Room 204	Cove Base Adhesive	
B0922-09	Room 206	Gray Cove Base	
B0922-09A	Room 206	Cove Base Adhesive	
B0922-13	Room 202	Yellow Linoleum	
B0922-14	Room 202	Yellow Linoleum	
B0922-15	Room 202	Yellow Linoleum	
B0922-16	Room 203	Brown 12x12 Floor Tile	
B0922-17	Room 203	Brown 12x12 Floor Tile	
B0922-18	Room 203	Brown 12x12 Floor Tile	
B0922-19	Room 205	Tan Ceramic Tile	
B0922-19A	Room 205	Grout	
B0922-20	Room 205	Tan Ceramic Tile	
B0922-20A	Room 205	Grout	
B0922-21	Room 205	Tan Ceramic Tile	
B0922-21A	Room 205	Grout	
B0922-22A	Room 206	Adhesive	
B0922-23A	Room 206	Adhesive	
B0922-24A	Room 206	Adhesive	

****Samples in italic and bold documented <1% asbestos. Further testing using TEM NOB method is recommended, if not further analyzed samples can be considered non-asbestos containing and can be discarded as construction debris. However OSHA work practices and regulations apply.***

GENERAL STATEMENTS CONCERNING ASBESTOS INSPECTIONS IN BUILDINGS:

- This survey may not have evaluated internal linings or gaskets, if any exist. Before any work is scheduled on a boiler, which would affect these areas (i.e. demolition), samples of linings and gaskets should be analyzed for asbestos content.
- This inspection does not represent that all ACM that may be present in or behind walls, ceilings, and floors have been discovered. Review all existing heating and plumbing plans before starting any demolition projects. Ensure that there is a contingency plan for asbestos found during demolitions. Unit prices should be included for any material that may be discovered.
- Equipment that operates at high temperature such as kilns, muffle furnaces, flood and arc lights may be insulated with asbestos-containing materials such as block, panels, fabric, braid or gasket.
- Cement pipes (roof drains, sewerage drains, etc.) may contain asbestos. Prior to any cutting, sanding, drilling or removal of these materials, bulk sample(s) should be collected and analyzed at an accredited laboratory.
- The interior of fire doors may be filled with ACM as a fire retardant. Take the necessary precautions or have bulk samples analyzed before cutting, drilling or otherwise affecting the original integrity of the door.
- Certain other materials including, but not limited to, paint, varnish, tape, ceramic tiles and cement have been known to contain asbestos; cutting, sanding, drilling or removal of these materials may release asbestos fibers.

APPENDIX A

LABORATORY RESULTS

**EMSL Analytical, Inc.**

29 North Plains Highway, Unit # 4, Wallingford, CT 06492
 Phone/Fax: 203-284-5948 / (203) 284-5978
<http://www.EMSL.com> wallingfordlab@emsl.com

EMSL Order: 241504282
 CustomerID: AMCT50
 CustomerPO:
 ProjectID:

Attn: **Jason Pringle**
AMC Environmental, LLC
PO Box 423

Stratford, CT 06615

Phone: (203) 378-5020
 Fax: (203) 375-7344
 Received: 09/23/15 12:10 PM
 Analysis Date: 9/24/2015
 Collected:

Project: 389 JACKSON AVE, STRATFORD, CT

Test Report: Asbestos Analysis of Bulk Materials via EPA 600/R-93/116 Method using Polarized Light Microscopy

Sample	Description	Appearance	Non-Asbestos		Asbestos
			% Fibrous	% Non-Fibrous	% Type
B0922-01 241504282-0001	Sheetrock	White Fibrous Homogeneous	5% Cellulose	95% Non-fibrous (other)	None Detected
B0922-02 241504282-0002	Sheetrock	White Fibrous Homogeneous	3% Cellulose	97% Non-fibrous (other)	None Detected
B0922-03 241504282-0003	Sheetrock	White Fibrous Homogeneous	3% Cellulose	97% Non-fibrous (other)	None Detected
B0922-04 241504282-0004	Joint compound	White Non-Fibrous Homogeneous		40% Ca Carbonate 60% Non-fibrous (other)	None Detected
B0922-05 241504282-0005	Joint compound	White Non-Fibrous Homogeneous		40% Ca Carbonate 60% Non-fibrous (other)	None Detected
B0922-06 241504282-0006	Joint compound	White Non-Fibrous Homogeneous		45% Ca Carbonate 55% Non-fibrous (other)	None Detected
B0922-07 241504282-0007	Gray cove base	Gray Non-Fibrous Homogeneous		100% Non-fibrous (other)	None Detected
B0922-07A 241504282-0008	Cove base adhesive	Tan Non-Fibrous Homogeneous	<1% Cellulose	100% Non-fibrous (other)	None Detected

Analyst(s)
 Kristin Lopez (9)
 Lauren Brennan (21)


 Gloria V. Oriol, Laboratory Manager
 or other approved signatory

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 Samples analyzed by EMSL Analytical, Inc. Wallingford, CT NVLAP Lab Code 200700-0.

Initial report from 09/24/2015 11:49:32

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Sample	Description	Appearance	Non-Asbestos		Asbestos
			% Fibrous	% Non-Fibrous	% Type
B0922-08 241504282-0009	Gray cove base	Gray Non-Fibrous Homogeneous		100% Non-fibrous (other)	None Detected
B0922-08A 241504282-0010	Cove base adhesive	Beige Non-Fibrous Homogeneous	<1% Cellulose	100% Non-fibrous (other)	None Detected
B0922-09 241504282-0011	Gray cove base	Gray Non-Fibrous Homogeneous		100% Non-fibrous (other)	None Detected
B0922-09A 241504282-0012	Cove base adhesive	Tan Non-Fibrous Homogeneous	<1% Cellulose	100% Non-fibrous (other)	None Detected
B0922-10 241504282-0013	White 12x12 floor tile	Beige Non-Fibrous Homogeneous		98% Non-fibrous (other)	2% Chrysotile
B0922-11 241504282-0014	White 12x12 floor tile				Stop Positive (Not Analyzed)
B0922-12 241504282-0015	White 12x12 floor tile				Stop Positive (Not Analyzed)
B0922-13 241504282-0016	Yellow linoleum	Yellow Fibrous Homogeneous	10% Glass	90% Non-fibrous (other)	None Detected
B0922-14 241504282-0017	Yellow linoleum	Yellow Fibrous Homogeneous	8% Glass	92% Non-fibrous (other)	None Detected

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 Lauren Brennan (21)


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Sample	Description	Appearance	Non-Asbestos		Asbestos
			% Fibrous	% Non-Fibrous	% Type
B0922-15 241504282-0018	Yellow linoleum	Yellow Fibrous Homogeneous	10% Glass	90% Non-fibrous (other)	None Detected
B0922-16 241504282-0019	Brown 12x12 FT	Brown Non-Fibrous Homogeneous		30% Ca Carbonate 70% Non-fibrous (other)	None Detected
B0922-17 241504282-0020	Brown 12x12 FT	Brown Non-Fibrous Homogeneous		100% Non-fibrous (other)	None Detected
B0922-18 241504282-0021	Brown 12x12 FT	Brown Non-Fibrous Homogeneous		30% Ca Carbonate 70% Non-fibrous (other)	None Detected
B0922-19 241504282-0022	Tan ceramic tile	Gray Non-Fibrous Homogeneous		100% Non-fibrous (other)	None Detected
B0922-19A 241504282-0023	Grout	Brown Non-Fibrous Homogeneous		10% Quartz 90% Non-fibrous (other)	None Detected
B0922-20 241504282-0024	Tan ceramic tile	Gray Non-Fibrous Homogeneous		100% Non-fibrous (other)	None Detected
B0922-20A 241504282-0025	Grout	Brown Non-Fibrous Homogeneous		15% Quartz 85% Non-fibrous (other)	None Detected

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 or other approved signatory

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Sample	Description	Appearance	Non-Asbestos		Asbestos
			% Fibrous	% Non-Fibrous	% Type
B0922-21 241504282-0026	Tan ceramic tile	Gray Non-Fibrous Homogeneous		100% Non-fibrous (other)	None Detected
B0922-21A 241504282-0027	Grout	Brown Non-Fibrous Homogeneous	<1% Cellulose	10% Quartz 90% Non-fibrous (other)	None Detected
B0922-22 241504282-0028	Gray 12x12 floor tile	Beige Non-Fibrous Homogeneous		97% Non-fibrous (other)	3% Chrysotile
B0922-22A 241504282-0029	Adhesive	Tan Non-Fibrous Homogeneous	<1% Cellulose	100% Non-fibrous (other)	None Detected
B0922-23 241504282-0030	Gray 12x12 floor tile				Stop Positive (Not Analyzed)
B0922-23A 241504282-0031	Adhesive	Tan Non-Fibrous Homogeneous		100% Non-fibrous (other)	None Detected
B0922-24 241504282-0032	Gray 12x12 floor tile				Stop Positive (Not Analyzed)
B0922-24A 241504282-0033	Adhesive	Tan Non-Fibrous Homogeneous	<1% Cellulose	100% Non-fibrous (other)	None Detected
B0922-25 241504282-0034	Tan 12x12 floor tile	Gray Non-Fibrous Homogeneous		97% Non-fibrous (other)	3% Chrysotile

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Sample	Description	Appearance	Non-Asbestos		Asbestos
			% Fibrous	% Non-Fibrous	% Type
B0922-26 241504282-0035	Tan 12x12 floor tile				Stop Positive (Not Analyzed)
B0922-27 241504282-0036	Tan 12x12 floor tile				Stop Positive (Not Analyzed)

Analyst(s)

Kristin Lopez (9)
Lauren Brennan (21)



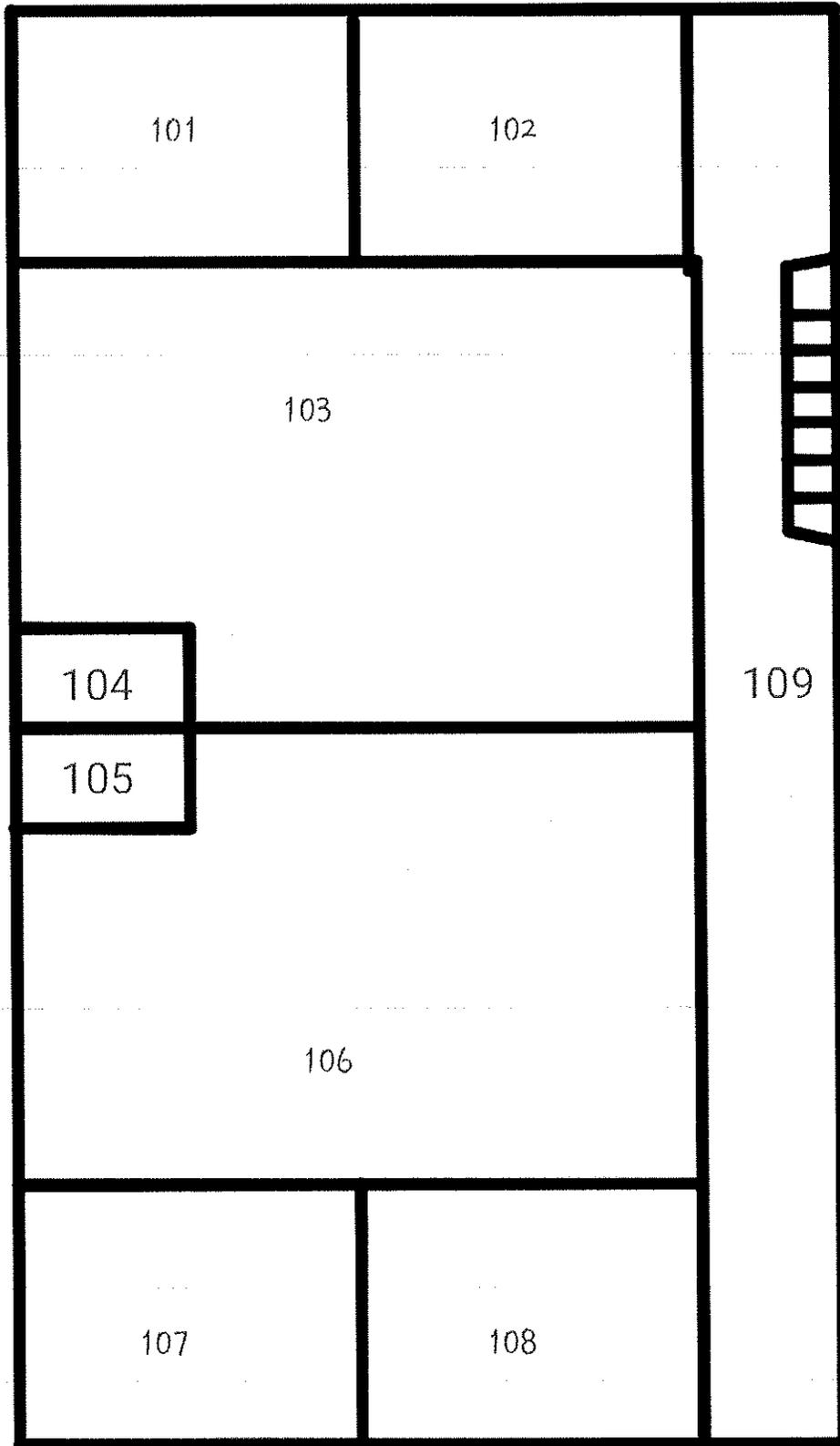
Gloria V. Oriol, Laboratory Manager
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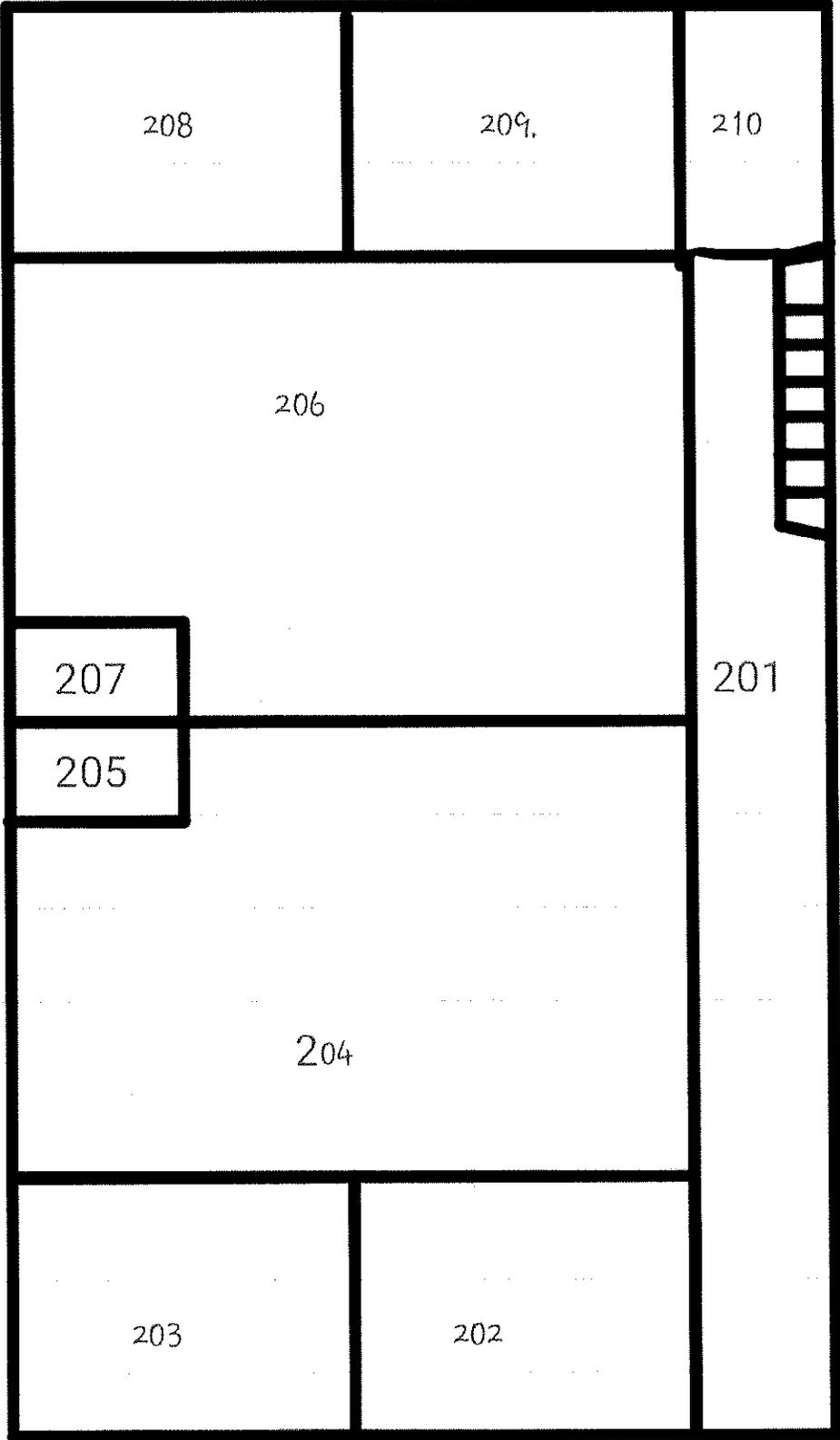
Initial report from 09/24/2015 11:49:32

APPENDIX B
DIAGRAM

389 Jackson 1st Flr



389 Jackson 2nd Flr



APPENDIX C
ACCREDITATIONS

United States Department of Commerce
National Institute of Standards and Technology



Certificate of Accreditation to ISO/IEC 17025:2005

NVLAP LAB CODE: 200700-0

EMSL Analytical, Inc.
Wallingford, CT

*is accredited by the National Voluntary Laboratory Accreditation Program for specific services,
listed on the Scope of Accreditation, for:*

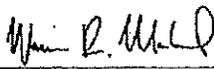
BULK ASBESTOS FIBER ANALYSIS

*This laboratory is accredited in accordance with the recognized International Standard ISO/IEC 17025:2005.
This accreditation demonstrates technical competence for a defined scope and the operation of a laboratory quality
management system (refer to joint ISO-ILAC-IAF Communique dated January 2009).*

2015-01-01 through 2015-12-31

Effective dates




For the National Institute of Standards and Technology