



415 E. INDEPENDENCE  
TULSA, OK 74106  
(918) 582-0021

# **PROJECT MANUAL FOR**

**IFB #19-026**

**UNIT MODERNIZATION  
AT  
COMANCHE PARK (73-03)  
3608 NORTH QUAKER  
TULSA, OK 74106**

## **PRE-BID CONFERENCE:**

**APRIL 23, 2019, @ 10:00 AM  
AT:  
COMANCHE PARK (73-03)  
3608 NORTH QUAKER  
TULSA, OK 74106**

## **BID OPENING:**

**MAY 7, 2019, @ 10:00 AM  
HOUSING AUTHORITY OF THE CITY OF TULSA  
CONSTRUCTION SERVICES OFFICE  
201 WEST 5<sup>TH</sup> STREET  
SUITE 400  
TULSA, OK 74103**

**ISSUE DATE: APRIL 18, 2019**

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## **INVITATION FOR BIDS**

### **PROJECT IDENTIFICATION**

**IFB 19-026  
UNIT MODERNIZATION  
@  
(73-03) COMANCHE PARK**

Due to the number of units, nature and extent of possible needs for this project, Contractors are **STRONGLY ENCOURAGED** to attend the **Pre-Bid Conference**, which will be held **APRIL 23, 2019, at 10:00AM** on site at Comanche Park, 3608 N. Quaker, Tulsa, OK 74106. This will be the **ONLY** time access to all the units will be made available. Failure to attend the Pre-Bid will not bar you from bidding on this contract, however, items not identified in the sealed bid pricing will be the responsibility of the Contractor. Only “unforeseen” items that could not have been identified by the Contractor or THA Job Representative will be considered for Change Orders.

**THE HOUSING AUTHORITY OF THE CITY OF TULSA** will receive **sealed bids** for the above, until **10:00AM on MAY 7, 2019**, in the **CONSTRUCTION SERVICES OFFICE** of the **TULSA HOUSING AUTHORITY, 201 WEST 5<sup>TH</sup> STREET, SUITE 400, Tulsa, Oklahoma 74103**, at which time and place all bids will be publicly opened and read aloud. No Faxed or Telephoned Bids will be accepted.

**DOCUMENTS ARE ON FILE AND MAY BE EXAMINED AND/OR OBTAINED** from the **HOUSING AUTHORITY OF THE CITY OF TULSA** at the above address, or you may view online at the following website: [www.tulsahousing.org](http://www.tulsahousing.org). Contractor shall be responsible for downloading documents or requesting e-mailed version. Any questions should be directed to Construction Inspector – Bob Rosell @ (918) 581-5936.

A Bid Bond is required with each bid equal to 5% of the total bid submitted. The Bond may be a Surety Company Bond, a Certified Check, Bank Draft or US Government Bonds. All must be payable to the **HOUSING AUTHORITY OF THE CITY OF TULSA**.

**THE HOUSING AUTHORITY OF THE CITY OF TULSA** cannot convey their tax-exempt status to Contractors or Subcontractors. The bidders shall include the applicable City, County, State and Federal taxes in their bid.

**BID RECEIVING:** Each bid shall be placed in an envelope addressed to the **CONSTRUCTION SERVICES OFFICE, HOUSING AUTHORITY OF THE CITY OF TULSA, 201 West 5<sup>th</sup> Street, Suite 400, Tulsa, OK 74103** and **SEALED**. Outside of the envelope shall be plainly marked **"BID DOCUMENTS"** SHOWING CLEARLY, **Date** and **Time** to be opened, **PLUS** the **Site location** and **Item** to be bid. Mail to be opened for BIDS, MUST BE CLEARLY MARKED.

**\*NOTE:** Please reference the HUD Form 5369 – Instructions to Bidders for Contracts Public, and Indian Housing Programs, page 2 of 4, item #5 Late Submissions, Modifications, and Withdrawal of Bid; regarding use of the U.S. Postal Service for bid submissions. Bids Submitted in unmarked Envelopes will not be opened. Bids submitted by FEDEX or UPS should be submitted in an interior sealed envelope with the outside of the envelope plainly marked “BID DOCUMENTS” Showing clearly, Item to be bid, Date and Time to be opened. Bids submitted by FEDEX or UPS that are not contained in a sealed interior envelop will be placed back in the FEDEX or UPS folder and deemed Non-Responsive.

**THE HOUSING AUTHORITY OF THE CITY OF TULSA** reserves the right to reject any or all bids or to waive any informality in the bidding.

**SECTION 01010**  
**SUMMARY OF WORK**  
**PAGE 1 OF 2**

**1.01 WORK INCLUDED**

**Comanche Park consists of Four (4) areas which are shown on the attached Site Map (Areas 2,3,4, and 5) Bidding on the Project will be by Areas. Area 2 -15 Apartments, Areas 3&4 – 14 Apartments, Area 5 – 16 Apartments. Bids will be submitted individually on the 3 Area Groups. Contractors are allowed to submit bids on 1, 2, or all 3 of the Area Groups. A low responsive bidder will be selected from each individual Area Group. The Bid Form provides for Bids on Each of the 3 Area Groups.**

**A list of Apartment addresses with a damage assessment of each Apartment will be distributed to attendees of the Pre-Bid meeting. Due to the total number of apartments, only ~ 12 apartments will be viewed. At the pre-bid meeting, a date and time will be set for viewing the 3 Sections of apartments not inspected.**

Although THA has made every effort to fully identify all possible requirements for this project, failure to visit the site will not relieve the Contractor from the necessity of furnishing materials or performing work that may be required to complete work in accordance with the scope of work without additional cost to THA.

- A. Contractor shall furnish all necessary labor, including skilled workmen in their trade, materials, equipment, and proper **insurance and permits** necessary for the completion for all work per specifications; **Provide THA representative copies of all permits and inspections.**
- B. Contractor's use of tenant provided utilities is strictly prohibited. When use of electricity is necessary, contractor shall provide power by means of portable generator or temporary electric meter. Temporary utilities shall be at the contractor's expense. **Remove all debris daily from the jobsite** – use of site dumpsters is stickily prohibited.
- C. The following summary of work lists all possible needs for units to be addressed under this Contact. Some units may require only minor repairs while others may require extensive modernization to meet HQS requirements.
- D. At a minimum, interiors of **ALL UNITS** shall receive two (2) coats of paint, to match existing, and two (2) coats of wax on the floors.

**Contractors may submit bids on any or all of the three sections.**

**E. INTERIOR:**

**Electric:**

1. Repair/Replace damaged/missing – including breaker panel cover, wiring, outlets & switches, light fixtures, vent-a-hood, bathroom exhaust fan, smoke & CO detector, etc. add receptacle behind gas range. Must meet current code.

**Plumbing:**

2. Repair/Replace damaged/missing bathroom vanities, sinks, toilets, bath tub, and surround, complete with faucets, supply lines and accessory hardware. Replace sinks, toilets, faucets and tubs with matching items. Must match existing laminate and solid oak cabinetry. If Tub/Tile replacements are needed; Ceramic tile tub surrounds are to be replaced with Swanstone surrounds.
3. Replace any damaged drain lines.
4. Replace any damaged water lines.

**Mechanical:**

5. Repair/Replace missing/damaged Furnace, Hot Water Heater, Window A/C. Match existing.

**Drywall:**

6. Repair/Replace damaged ½" Drywall, (5/8" on ceilings, and walls adjacent to other apartments) mud, tape, float, and texture – made ready for painting.

**Flooring:**

7. Repair/Replace any minor surface defects prior to installation. Replace any damaged, missing VCT flooring or 4"

Cove Base. Replacement VCT tile shall be Azrock V-210, 1/8" x 12"x12" (or approved equal). Replacement Cove Base shall be EQUIVALENT TO EXISTING. Vinyl Overlay Stair Tread shall be Flexco (or approved equal). All colors to match existing.

**Finish Carpentry:**

8. Replace damaged doors with casings, & hardware – to match original.
9. Replace missing closet shelves, complete with clothes hanging rods; prime & paint.

**Painting:**

10. Prep, prime & paint – two (2) coats of latex paint on all paintable surfaces to match original, including but not limited to walls, ceilings, trim, doors, shelving, etc.

**Cabinetry:**

11. *Replace damaged / missing* cabinets including counter tops. Must match existing laminate and solid oak cabinetry. All cabinets, and vanities to be purchased and installed by contractor.

**SECTION 01010**  
**SUMMARY OF WORK**  
**PAGE 2 OF 2**

12. Install new **kitchen appliances** (refrigerator, gas range and vent-a-hood) as noted on Apartment assessment sheet. Match existing.
13. **Final cleaning and inspections.** All apartments must be cleaned. Unit must pass HQS Inspection.

**EXTERIOR:**

1. **Windows:** Replace damaged windows with new aluminum windows – to match original.
2. **Security Screens:** Replace damaged or missing – to match original.
3. **Exterior Doors:** Replace *damaged / missing* exterior doors and/or security screen doors, complete with all hardware – to match existing.
4. **Siding** – Remove and Replace damaged siding (first floor only) to match existing, and paint to match.
5. **Trim, Soffit, Ceilings** – Remove and Replace damaged fascia, trim boards, soffits, and porch ceilings (first floor only) paint to match existing.
6. **Lighting** – Replace damaged / missing exterior light fixtures with LED fixtures.
7. **Roofing** – Repair/Replace damaged missing roofing materials, flashing, vent caps, soffit/fascia to match existing.

**1.02 GENERAL CONDITIONS**

General Conditions shall apply to all work under all Divisions of Specifications.

**1.03 QUALITY ASSURANCE**

Prior to start of work, contractor will provide a copy of manufacturer's installation recommendations for all products or systems that require a submittal, as indicated in the project manual.

**1.04 EXAMINATION OF SITE**

Failure to Visit Site will not relieve Contractor from necessity of furnishing materials or performing work that may be required to complete work in accordance with the project manual without additional cost to THA. Due to the number of units, nature and extent of possible needs for this project, Contractors are **STRONGLY ENCOURAGED** to attend the **Pre-Bid Conference**, which will be held **APRIL 23, 2019, at 10:00AM** on site at Comanche Park, 3608 N. Quaker, Tulsa, OK 74106. This will be the **ONLY** time access to all the units will be made available.

**1.05 CONTRACTOR USE OF PREMISES**

- A. Contractor's use of tenant provided utilities is strictly prohibited. When use of electricity is necessary, Contractor shall provide power by means of portable generator or temporary electric meter. Temporary utilities shall be at the Contractor's expense.
- B. Restrict access to extent required, allowing for ongoing activities at site.
- C. Operations of Contractor are limited to areas where work is indicated.
  1. Take precautions to allow for continued operations including resident and public access and other outside activities on the occupied portions of the site.
  2. Noisy and disruptive operations (such as use of jackhammers and other noisy equipment) shall be minimized in close proximity to occupied buildings.
  3. Schedule and coordinate such operations with THA Job Representative.
  4. Upon notification from THA, cease operations that are, in opinion of THA, disruptive to normal operations. Schedule such operations as described above.
- D. Coordinate and schedule any required electrical or other utility outages with THA. Outages shall be allowed only at previously agreed upon times.

**1.06 WORK SEQUENCE**

Before start of construction on site, submit three copies of construction plan regarding access to work, use of site, and phasing of replacement work for acceptance by THA. After acceptance of plan, construction sequencing shall comply with accepted plan unless deviations are accepted in writing.

**END OF SECTION**

**DOCUMENTS 00100**  
**INSTRUCTIONS TO BIDDERS**

**SUPPLEMENT TO INSTRUCTIONS TO BIDDERS**

Each bidder must visit the site(s) and in every way fully inform themselves of the conditions relating to the construction required for the work. Failure to do so will not relieve the successful bidder of his/her obligation to furnish all material and labor necessary to carry out the provision of the Contract. Contractors are **STRONGLY ENCOURAGED** to attend the Pre-Bid Conference. This will be the **ONLY** time access to the units will be made available.

**1.1 FORMAL BID:** Below is a list of the bid forms, which constitute the Formal Bid. If any of these forms are incomplete or missing at the bid opening, the bid may be declared non-responsive and rejected on that basis. *These Forms are located at the back of the Project Manual.*

- **Form of Bid and Addendum Acknowledgment**
- **Form of Bid Bond**
- **Proof of Insurance**
- **Statement of Bidder's Qualifications**
- **Non-Collusive Affidavit**
- **Equal Employment Opportunity**
- **Section 3 Compliance Certificate**
- **Letter of Assurance "A"**
- **Letter of Assurance "B"**
- **Non-Segregated Facilities Certificate**
- **Representations, Certifications, and Other Statements of Bidders (HUD Form 5369-A)**
- **Previous Participation Certification (HUD Form 2530) shall be requested from Lowest Responsive Bidder**
- **Certification of Payment to Influence Federal Transactions (HUD Form) \***
- **Disclosure of Lobbying Activities \***

*\*Required on all Contracts exceeding \$100,000.00*

**1.2 BIDDERS' ADDITIONAL RESPONSIBILITIES:** All provisions of the "Public Competitive Bidding Act of 1974, as Amended" shall apply.

**1.3 LOCATION OF HUD FORM 5369 CLAUSE:** HUD 5369 (Instructions to Bidders) Article 10 Paragraph (a) (Assurance of Completion)

**1.4 LOCATION OF HUD FORM 5369-A CLAUSES:** HUD 5369-A (Representations, Certifications and Other Statements of Bidders) shall be completed and/or signed at the following clauses and **shall be submitted with the bid:**

- **1. (b) (2) (i)**
- **1. (d) (1) and (2)**
- **2. (b) (1) and (2)**
- **4. (b)**
- **7. (a), (b) and (c)**
- **11. (a)**
- **12. (b)**
- **13. (Complete and sign)**

**1.5 ADDENDA:** Any Addenda shall be issued not less than seven (7) days before the time set for the Bid Opening. Questions will not be answered after that point in time.

**1.6 BID GUARANTY:** Bid Guaranty must be issued by Sureties authorized to do business in the State of Oklahoma as per HUD Manual 7485.1 Rev. 4, Paragraph 9-4g. Bids and Bid Guaranties of the three lowest bidders may be kept for a minimum forty-five (45) days. All other Bid Guaranties will be returned as soon as possible.

**END OF SECTION**

## HOUSING AUTHORITY OF THE CITY OF TULSA SPECIAL CONDITIONS

- 1.1 PRECEDENCE:** The conditions and provisions of this section shall take precedent over any conflicting statements made in the General Conditions to this Contract. The follow clauses to the HUD General Conditions have been revised as noted below.
- A. Clause 6: paragraph (a): The Contractor shall, **within three (3) business days prior to the preconstruction conference** or another period of time determined by the Contracting Officer, prepare and submit to the Contracting Officer for approval three copies of a practicable schedule showing the order in which the Contractor proposes to perform the work, and the dates on which the Contractor contemplates starting and completing the several salient features of the work (including acquiring labor, materials, and equipment). The schedule shall be in the form of a **Gantt** chart of suitable scale to indicate appropriately the percentage of work scheduled for completion by any given date during the period. If the Contractor fails to submit a schedule within the time prescribed, the Contracting Officer may withhold approval of progress payments or take other remedies under the contract until the Contractor submits the required schedule.
  - B. Clause 6: paragraph (b): The Contractor shall enter the actual progress on the chart as required by the Contracting Officer, and immediately deliver three copies of the annotated schedule to the Contracting Officer **(at each progress meeting or no later than once a month)**. If the Contracting Officer determines, upon the basis of inspection conducted pursuant to the clause entitled *Inspection and Acceptance of Construction*, herein that the Contractor is not meeting the approved schedule, the Contractor shall take steps necessary to improve its progress, including those that may be required by the Contracting Officer, without additional cost to the PHA. In this circumstance, the Contracting Officer may require the Contractor to increase the number of shifts, overtime operations, days of work, and/or the amount of construction plant, and to submit for approval any supplementary schedule or schedules in chart form as the Contracting Officer deems necessary to demonstrate how the approved rate of progress will be regained.
  - C. Clause 8: Paragraph (a): The Contractor shall **within two (2) business days of discovery**, and before the conditions are disturbed, give a written notice to the Contracting Officer of (1) subsurface or latent physical conditions at the site which differ materially from those indicated in this contract, or (2) unknown physical conditions at the site(s), of an unusual nature, which differ materially from those ordinarily encountered and generally recognized as inhering in work of the character provided for in the contract.
  - D. Clause 20: Paragraph (i): **Contractor shall give Contracting Officer twenty-four (24) hour notice prior to covering work requiring inspection by Contracting Officer.** If any work requiring inspection is covered up without approval of the PHA, it must, if requested by the Contracting Officer, be uncovered at the expense of the Contractor. If at any time before final acceptance of the entire work, the PHA considers it necessary or advisable, to examine work already completed by removing or tearing it out, the Contractor, shall on request, promptly furnish all necessary facilities, labor, and material. If such work is found to be defective or nonconforming in any material respect due to the fault of the Contractor or its subcontractors, the Contractor shall defray all the expenses of the examination and of satisfactory reconstruction. If, however, such work is found to meet the requirements of the contract, the Contracting Officer shall make an equitable adjustment to cover the cost of the examination and reconstruction, including, if completion of the work was thereby delayed, an extension of time.
  - E. Clause 31: paragraph (c): All claims by the Contractor shall be made in writing and submitted to the Contracting Officer for a written decision **within FIVE (5) BUSINESS days after notice of not receiving the award.** Protests against the terms of a solicitation are considered late if submitted after the fifth business day and will not be considered. A claim by the PHA against the Contractor shall be subject to a written decision by the Contracting Officer
- 1.2 INSURANCE:** The Contractor must furnish Certificates of Workers Compensation, General Liability, and Automobile Insurance. THA requires that all Contractors have a minimum of **\$1,000,000.00**, General Liability and Automobile, per occurrence, and THA must be named "Additional Insured" on both of these. **Contract will not be awarded to a Contractor who cannot provide proof of insurance in the required amounts. Proof of insurance's must be included with the sealed bid.**

**DOCUMENTS 00800**  
**SUPPLEMENTARY CONDITIONS**  
**PAGE 2 OF 5**

Upon award of contract the winning bidder must provide a certificate of insurance naming Housing Authority of the City of Tulsa as a named insured, on both GL & Auto, for the duration of this contract. Said certificate must contain a 30-day notice to THA, prior to any cancellation.

- 1.3 MINIMUM RATES OF PAY:** Davis-Bacon and Related Acts or HUD Determined Prevailing Wage Rates for minimum rate of pay is applicable to this project, State, Davis-Bacon and Related Acts or HUD Determined; whichever has the higher rate of pay. Provided, however, that pursuant to HUD Regulations, any State Wage Rate exceeding the corresponding Federal Rates is inapplicable and preempted by the Federal Rates and shall be deemed unenforceable. (Refer to 24 CFR, Par 950, 941, 965 and 968.). **Certified payrolls and minimum wage rates are required for all contracts in excess of \$2,000.00. See following page for applicable wage rates.**

**THE POSTER AND WAGE DECISION MUST BE POSTED IN A PROMINENT, READILY ACCESSIBLE PLACE ON THE JOB SITE.**

- 1.4 SUBSTITUTION OF PRODUCTS, MATERIALS OR METHODS:** All requests for substitutions of products, materials, or methods from that listed in the specifications must be received by the THA, in writing, at least ten (10) days prior to the bid opening date.

Products, materials, or methods may not be substituted unless they were included in the bid in response to an addendum or unless such becomes subsequently unavailable due to reasons beyond the control of the Contractor. Such shall be subject to Housing Authority of the City of Tulsa approval.

In order that the bid may be considered responsive, the Bidder must bid on that which is specified and provide all data requested in this Invitation for Bids and in any addenda.

- 1.5 RESPONSIBILITIES OF THE CONTRACTOR:** The contractor is responsible for claims of damage to tenant's property while working on the premises.
- 1.6 SUPERVISION:** The Contractor shall provide an on site, full-time Superintendent who shall be responsible for all phases of work performed under this Contract. Any THA approved Superintendent may be a "working" Superintendent. Pursuant to HUD's Guidelines, a "working" Superintendent is subject to Davis-Bacon Wage Rates, as referenced herein, only if such Superintendent spends more than 20% of their time performing construction work. If the approved Superintendent is not spending over 20% of their time on the job performing construction work, they are excluded from and not subject to Davis-Bacon Wage Rates. ***In order to maintain effective levels of communication with both the Site Manager and the THA Job Representative, each construction crew will consist of one (1) Supervisor capable of speaking and understanding fluent English. THERE WILL BE NO EXCEPTIONS TO THIS POLICY. It is vital to the project that the Site Manager and the THA Job Representative be able to effectively communicate with the construction crew.***

**1.7 SUB-CONTRACTORS:**

- A. Form 347-Payroll shall be kept daily and submitted to THA weekly for general contractor and subcontractors.
- B. The Contractor is responsible to furnish, upon request, to THA the following information and to keep it on file for a period of three (3) years as required by HUD Manual 1344.1 Page 1-4, Paragraph 1-6, Item d, and Page 3-8 Item C:
  1. Federal and State Tax Identification numbers (HUD Manual 1344.1 Page 3-9, Item 1).
  2. A written Contract with each Sub-Contractor, to which shall be attached the following items (HUD Manual 1344.1, Page 1-4 Paragraph 1-6 Item D, and Pages 2-8, Item 2-7):
  3. Bid tabulation
  4. A copy of HUD Form 5370, General Conditions.
    - a. Copy of the Prevailing Wages determined for this Contract.
  5. A copy of Subcontractor Acceptance, and letter showing THA's acceptance of said subcontractor(s), EEOC, Section 3 and Non-Collusive Affidavit.

- 1.8 SAFETY, CLEANUP AND SPECIAL PROVISIONS:** As required under the terms set forth in this contract, the work shall be performed in a coordinated and safe manner as herein provided and particularly:

**DOCUMENTS 00800**  
**SUPPLEMENTARY CONDITIONS**  
**PAGE 3 OF 5**

- A. Any debris caused by the Contractor shall be removed from the work area daily, placed in the Contractor's containers, and disposed of off site by the Contractor. The use of tenant-owned or THA refuse containers for any purpose is strictly forbidden.
- B. If, during the prosecution of the work by the Contractor, the daily cleanup provisions of the contract are not observed or an unsafe or hazardous condition is created which may adversely affect persons or property, THA may, at its discretion, undertake cleanup and deduct the cost of same from the contract amount. If exercised by THA, this provision does not relieve or release the Contractor and its sureties from any of its responsibilities or obligations under this contract.

- 1.9 STORAGE OF MATERIALS:** Materials transported to and stored in/on the job site are the Contractor's responsibility until installed and accepted. All tools and equipment stored on the job site shall be the sole responsibility of the Contractor.
- 1.10 OBJECTIONABLE EMPLOYEE:** THA reserves the right to request and expect the Contractor to dismiss from the work any employee whom THA may deem incompetent, careless, insubordinate, or otherwise objectionable.
- 1.11 REQUEST FOR SUPPLEMENTARY INFORMATION:** It shall be the responsibility of the Contractor to make timely requests of THA for any additional information not already in its possession, which should be furnished by THA under the terms of the contract and which the Contractor will require in the planning and execution of the work. Such requests may be submitted in writing from time to time as needed, but each shall be filed in ample time to permit appropriate action to be taken by all parties in order to avoid delays. The Contractor shall be fully responsible for any delay in its work or to that of others arising from failure to comply with the provisions of this section.
- 1.12 COMPLETION AGREEMENT:** Contractor agrees to furnish all labor, materials, permits, insurance and equipment necessary to perform and complete all work per plans and specifications.
- 1.13 ASSURANCE OF COMPLETION:** THA requires per HUD Form 5369, Article 10 (a) (1): A performance and payment bond in a penal sum of one hundred percent (100%) of the contract price.
- 1.14 WORK VERIFICATION FOR PAYMENT:** Before payment is made, work completed must be verified by THA. Before draw of final payment is made, Contractor is to furnish evidence of payment in full of all labor and materials and have a signed lien waiver to verify the same.
- 1.15 PRICE CHANGES: CHANGE ORDERS:** If, during construction, THA authorizes additional work. The total cost to THA for such changes shall not exceed 15% profit and overhead and shall be calculated and presented in writing as described in Sections 9 and 10 of the HUD General Conditions for this project. Any change in price must be agreed upon in writing before work is started. In the event Contractor requests a change to the work of the project (excluding days for completion), Contractor will not be penalized days for completion of the project while awaiting THA's approval of the specific requested change, such delay bearing no fault by the Contractor. Consideration will be given as to days allowed for completion of the project. Consideration as to days to complete the project will be allowed by THA on a case-by-case basis relating to Contractor's continued work on other unrelated aspects of the project.
- 1.16 TIME CHANGES: CHANGE ORDERS:** If the Contractor wishes to make a claim for an increase in the contract time, written notice as provided herein shall be given. The contractor's claim shall include a description of the probable effect of the delay on progress of the work. In the case of a continuing delay, only one claim is necessary. Any change in the contract time shall only be made by the execution of a Change Order.

The Contract construction time was determined by the estimated construction time with additional time added for project days lost due to typical adverse weather conditions in the project vicinity. Consideration was given to the projected starting date and an anticipated schedule of work. Adverse weather conditions include abnormal precipitation, temperature and wind conditions. Claims for additional time may be made when the actual weather conditions at the project site cause delay days which exceed the days indicated on the following chart.

Work Days Lost Included in Contract Time

| January | February | March | April | May | June | July | August | September | October | November | December |
|---------|----------|-------|-------|-----|------|------|--------|-----------|---------|----------|----------|
| 9       | 8        | 6     | 6     | 3   | 3    | 1    | 1      | 1         | 3       | 2        | 4        |

**DOCUMENTS 00800**  
**SUPPLEMENTARY CONDITIONS**  
**PAGE 4 OF 5**

All claims for additional days that exceed the work days lost as indicated on the chart, shall be submitted with documentation from a recognized climatological source such as the Oklahoma Climatological Survey ([www.mesonet.ou](http://www.mesonet.ou)) or the National Oceanic & Atmospheric Administration (NOAA) ([www.noaa.gov](http://www.noaa.gov)). Other sources must be submitted to THA for approval.

All claims for additional time due to adverse weather conditions that exceed the days indicated on the chart shall be submitted with the next monthly payment application.

Weather conditions and lost workdays shall be recorded daily by the Contractor and submitted to THA with the monthly payment applications.

Unused lost weather days, as indicated in the above paragraph and included in the Contract time, shall be used by THA to offset lost time for other approved delay claims.

- 1.17 RETAINAGE:** THA may withhold (10%) of contract on each draw and on final payment for (30) days after date of completion. **No partial payment may be authorized following the date established for contract completion, unless, authorized Change Order first extends the contract completion date.**
- 1.18 PAY REQUESTS:** Check Request will be turned in by Contractor on Monday of each week to be processed by the following Monday. Any Check Request received after 5:00 PM on Monday is subject to be processed the following week. Checks are generally issued within thirty (30) days. No checks shall be released without **all** documents correctly completed as required, including weekly payrolls from the General Contractor and the sub-contractor(s), Certificate and Release, Schedule of Amounts, Periodic Estimate for Partial Payment, Schedule of Stored Materials, Summary of Stored Materials, and Schedule of Change Orders.
- 1.19 APPLICABLE TAXES:** THA is not allowed to extend its tax-deferred status. Contractors and subcontractors are obligated to pay all applicable taxes.
- 1.20 TIME FOR COMPLETION:** The work shall be commenced at the time stipulated in the "Notice to Proceed" to the Contractor. **IT IS THE INTENT OF THA TO HAVE THESE UNITS TURNED WITHIN One Hundred Twenty (120) CALENDAR DAYS, OR SOONER.** Regular working hours are from 7:30 AM to 4:00 PM, Monday through Friday, excluding holidays\*, due to the urgency of the project, extended hours may be agreed upon, in writing, by both parties. **\*(1.New Year's Day:** January 1; **2.Martin Luther King Jr.'s Birthday:** Third Monday in January; **3.Good Friday:** Friday before Easter; **4.Memorial Day:** Last Monday in May; **5.Independence Day:** July 4; **6.Labor Day:** First Monday in September; **7.Veteran's Day:** November 11; **8.Thanksgiving Day:** Fourth Thursday in November; **9.Day Following Thanksgiving Day:** Fourth Friday in November; **10. Christmas Eve:** December 24; **11. Christmas Day:** December 25) **\*\*Note: If a designated holiday falls on a Saturday, THA offices will be closed the previous Friday. If a designated holiday falls on a Sunday, THA offices will be closed the following Monday.**
- 1.21 LIQUIDATED DAMAGES:**
1. Liquidated damages are intended to compensate THA for expenses incurred by THA due to the Contractor's failure to complete the work of the contract within the authorized number of calendar days pursuant to the contract. Such amounts are not to be considered as penalties.
  2. Per HUD General Conditions (HUD Form 5370): If the Contractor fails to complete the work within the time specified in the Contract, or any extension, as specified in the clause entitled Default of this Contract, the Contractor shall pay to the PHA as liquidated damages the sum of \$250.00 per day for each day of delay. If different completion dates are specified in the Contract for separate parts or stages of the work, the amount of liquidated damages shall be assessed on those parts or stages delayed. To the extent that the Contractor's delay or nonperformance is excused under another clause in this Contract, liquidated damages shall not be due the PHA. The Contractor remains liable for damages caused other than by delay.
  3. The Contractor agrees:
    - a. To pay, liquidated damages for each calendar day beyond the number of calendar days authorized for completion of the work of the contract, and
    - b. To authorize THA to deduct liquidated damages from any money due or coming due to the Contractor.

**DOCUMENTS 00800**  
**SUPPLEMENTARY CONDITIONS**  
**PAGE 5 OF 5**

If no monies are due to the Contractor, THA shall have the right to recover liquidated damages from the Contractor, from the surety, or from both the Contractor and the surety.

4. Liquidated damages will not be assessed for any days covered by an approved and agreed upon time extension. Deductions or payment of liquidated damages will not release the Contractor from further obligations and liabilities to complete the entire contractor.

- 1.22 COMMUNICATIONS:** All notices, demands, requests, instructions, approvals, proposals and claims must be in writing. Any notice to or demand upon the Contractor shall be sufficiently given or delivered at the office of the Contractor stated on the signature page of the contract (or at other office as he/she may from time to time designate in writing to THA) or deposited in the United States mail in a sealed, postage-prepaid envelope, or if delivered with charges prepaid to any telegraph company for transmission, in each case addressed to such office.
- All papers required to be delivered to THA shall, unless otherwise specified in writing to the Contractor, be delivered to the Housing Authority of the City of Tulsa, 415 East Independence, Tulsa Oklahoma 74106, and any notice to or demand upon THA shall be sufficiently given if so delivered or deposited in the United States mail in a sealed, postage-prepaid envelope, or delivered with charges prepaid to any telegraph company for transmission to said THA at such other address as THA may subsequently specify in writing to the Contractor for such purpose. Any such notice shall be deemed to have been given as of the time of actual delivery; or, in the case of mailing, when the same should have been received in due course of post or in the case of telegrams, at the time of actual receipt, as the case may be.
- The Contractor shall designate, in writing, at the time of execution of the contract, the name of its duly authorized representative with whom THA may conduct all business in connection with the operating of the contract. The Contractor shall also designate, in writing, its duly authorized superintendent to whom the THA representative may give written "FIELD NOTICE", which will consist of instructions regarding compliance with the provisions of this contract. List address and telephone number of person(s) authorized to receive messages during normal working hours.
- 1.23 BUILDING PERMITS:** The CONTRACTOR shall obtain the City of Tulsa Permits for this work. From that time forward, the Contractor shall be responsible for all required contact with the City of Tulsa as a result of his/her receipt of this Permit. THA will receive copies of any permits acquired.
- 1.24 INSPECTION FEES:** Inspection Fees charges by the City of Tulsa to THA have been waived by City Ordinance No. 13639 with the exception of any fees incurred because of sewer work. Therefore, Contractors are instructed not to figure these costs in the bid. However, Contractors must continue to apply for permits and call for all inspections as required by code. Permits will be made out and mailed to THA and there will be no charge for the fees by the City of Tulsa. In order to eliminate confusion between HUD's Tulsa FHA Office and THA at the City Inspection Department, the Contractor must present the THA Contract Number and/or Purchase Order Number.
- 1.25 INSPECTION BY OTHERS:** The workmanship and materials used are subject to inspection by the related governing entities in addition to THA personnel.
- 1.26 GUARANTY:** Workmanship and materials are to be guaranteed by the Contractor for a period of one (1) year after acceptance by THA.
- 1.27 INDEMNIFICATION:** The following indemnification clause is a contractual obligation to which all contractors are subject:
- As and from the date hereof, the contractor agrees to defend, indemnify and hold THA harmless from any all claims or lawsuits that may arise from the contractor's activities under the provisions of this contract that are attributable to the negligent or otherwise wrongful acts or omissions, including breach of specific contractual duties, of the contractor of the contractor's independent subcontractors, agents, employees or officers.
- Nothing herein shall be construed to obligate the contractor to protect, indemnify and save THA, its officers and employees harmless from and against liabilities, losses, damages, costs, expenses (including attorney's fees), causes of action, suits, negligent or wrongful acts or omissions of THA or any of its agents, employees or officers.
- 1.28 DEFECT BOND:** THA requires a bond against defective workmanship and materials for 100% of contract price for a period of one (1) year after acceptance by THA.

**END OF SECTION**

General Decision Number: OK190007 01/04/2019 OK7

Superseded General Decision Number: OK20180007

State: Oklahoma

Construction Type: Residential

County: Tulsa County in Oklahoma.

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 \$10.60 for calendar year 2019 applies to all contracts subject to the Davis-Bacon Act for which the contract is awarded (and any 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 \$10.60 per hour (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 2019. If this contract is covered by the EO and a classification considered necessary for performance of work on the contract does not appear on this wage determination, the contractor must pay workers in that classification at least the wage rate determined through the conformance process set forth in 29 CFR 5.5(a)(1)(ii) (or the EO minimum wage rate, if it is higher than the conformed wage rate). The EO minimum wage rate will be adjusted annually. Please note that this EO applies to the above-mentioned types of contracts entered into by the federal government that are subject to the Davis-Bacon Act itself, but it does not apply to contracts subject only to the Davis-Bacon Related Acts, including those set forth at 29 CFR 5.1(a)(2)-(60). Additional information on contractor requirements and worker protections under the EO is available at [www.dol.gov/whd/govcontracts](http://www.dol.gov/whd/govcontracts).

|                     |                  |
|---------------------|------------------|
| Modification Number | Publication Date |
| 0                   | 01/04/2019       |

\* SUOK1997-004 09/01/1997

|                                             | Rates   | Fringes |
|---------------------------------------------|---------|---------|
| Air Conditioning & Heating<br>Mechanic..... | \$ 7.25 |         |
| BRICKLAYER.....                             | \$ 8.93 |         |
| CARPENTER.....                              | \$ 7.25 |         |
| CEMENT MASON/CONCRETE FINISHER....          | \$ 7.25 |         |
| Drywall Installer.....                      | \$ 7.50 |         |
| ELECTRICIAN.....                            | \$ 7.25 |         |
| FLOOR LAYER: CARPET (SOFT)                  |         |         |

|                                                                         |         |
|-------------------------------------------------------------------------|---------|
| FLOOR.....                                                              | \$ 7.36 |
| Ironworker.....                                                         | \$ 7.25 |
| LABORER                                                                 |         |
| Laborers.....                                                           | \$ 7.25 |
| Pipelayers.....                                                         | \$ 7.25 |
| PAINTER: Brush Only.....                                                | \$ 7.25 |
| PLUMBER/PIPEFITTER.....                                                 | \$ 7.25 |
| Power equipment operators:                                              |         |
| Concrete pump.....                                                      | \$ 7.25 |
| Tractors.....                                                           | \$ 7.25 |
| ROOFER, Including Built Up,<br>Composition and Single Ply<br>Roofs..... |         |
|                                                                         | \$ 7.79 |
| Sheet metal worker.....                                                 | \$ 7.25 |
| Tile setter finisher.....                                               | \$ 7.25 |
| TILE SETTER.....                                                        | \$ 9.50 |

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WELDERS - Receive rate prescribed for craft performing operation to which welding is incidental.

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Note: Executive Order (EO) 13706, Establishing Paid Sick Leave for Federal Contractors applies to all contracts subject to the Davis-Bacon Act for which the contract is awarded (and any solicitation was issued) on or after January 1, 2017. If this contract is covered by the EO, the contractor must provide employees with 1 hour of paid sick leave for every 30 hours they work, up to 56 hours of paid sick leave each year. Employees must be permitted to use paid sick leave for their own illness, injury or other health-related needs, including preventive care; to assist a family member (or person who is like family to the employee) who is ill, injured, or has other health-related needs, including preventive care; or for reasons resulting from, or to assist a family member (or person who is like family to the employee) who is a victim of, domestic violence, sexual assault, or stalking. Additional information on contractor requirements and worker protections under the EO is available at [www.dol.gov/whd/govcontracts](http://www.dol.gov/whd/govcontracts).

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)).

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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.

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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

**SECTION 01005**  
**ADMINISTRATIVE PROVISIONS**  
**PAGE 1 OF 2**

**1.01 REQUIREMENTS INCLUDED**

- |                            |                                       |
|----------------------------|---------------------------------------|
| A. Work Covered.           | E. Value Engineering                  |
| B. Application for Payment | F. Reference Standards                |
| C. Coordination            | G. Attendance at Pre-Bid Requirements |
| D. Field Engineering       |                                       |

**1.02 WORK COVERED BY CONTRACT DOCUMENTS:**

Unit Modernization at Comanche Park – 3608 North Quaker, Tulsa, OK 74106.

**1.03 APPLICATIONS FOR PAYMENT**

- A. Construct the Work under a Request for Partial Payment or Lump Sum Contract.
- B. Submit to the Contracting Officer one (1) copy of each application under procedures of Article 27. Payments, Page 8 of HUD-5370, General Conditions.
- C. Contents and Format: That provided by the Contracting Officer. All requests for payment will be itemized per THA requirements. (Schedule of Values, Change Orders and Stored Materials).
- D. Retainage: THA will maintain 10% retainage as noted in Paragraph (f) on page 8 of HUD-5370, General Conditions for thirty (30) days after date of substantial completion, unless billed in lump sum. Prior to final payment, Contractor shall furnish evidence of payment in full to workmen and suppliers, and may verify the same by furnishing lien waivers. THA must verify work completed prior to payment.

**1.04 WORK VERIFICATION FOR PAYMENT:**

- A. Before payment is made, work completed must be verified and accepted by THA. Before draw of final payment is made, contractor is to furnish evidence of payment in full of all labor and materials and have a signed lien waiver to verify the same.
- B. No checks shall be released without all documents correctly completed as required, weekly payrolls from the General Contractor and the sub-contractor, Certificate and Release, Schedule of Amounts, periodic estimate for Partial Payments, Schedule of Stored Materials, Summary of Stored Materials, and Schedule of Change Orders, only documents applicable need be turned in.

**1.05 COORDINATION**

- A. Coordinate work of the various Sections of Specifications to assure efficient and orderly sequence of installation of construction elements, with provisions for accommodating future maintenance work. Coordinate with Management for access to units.
- B. Verify characteristics of elements of interrelated operating equipment are compatible; coordinate work of various Sections have interdependent responsibilities for installing, connecting to and placing in service, such equipment.
- C. Execute cutting and patching to integrate elements of Work.

**1.06 WAGE RATES:** Pages 15 -18 of this Project Manual.**1.07 MINIMUM RATES OF PAY:**

Davis-Bacon and Related Acts or HUD Determined Prevailing Wage Rates for minimum rate of pay is applicable to this construction project and are attached, both State and Davis-Bacon and Related Acts or HUD Determined, whichever has the higher rate of pay. Provided, however, that pursuant to HUD Regulations, Any State Wage Rate that exceed the corresponding Federal Rates is inapplicable and preempted by the Federal Rates and shall be deemed unenforceable. (Refer to 24 CFR, Parts 950, 941, 965 and 968.)

**SECTION 01005**  
**ADMINISTRATIVE PROVISIONS**  
**PAGE 2 OF 2**

**1.08 REFERENCE STANDARDS**

- A. For products specified by association or trade standards, comply with requirements of the standard, except when more rigid requirements are specified or required by applicable codes.
- B. The date of the standard is that in effect as of the date of the THA - Contractor Agreement, except when a specific date is specified.

**1.09 APPLICABLE TAXES:**

THA is not allowed to extend its tax-deferred status. Contractors and subcontractors are obligated to pay all applicable taxes.

**1.10 PRE-BID:**

Attendance is highly recommended, but **not** required. Scope of Work and Bid Forms will be reviewed at Pre-Bid and can be accessed at [www.tulsahousing.org](http://www.tulsahousing.org). Due to the number of units, nature and extent of possible needs for this project, Contractors are **STRONGLY ENCOURAGED** to attend the **Pre-Bid Conference**, which will be held **APRIL 23, 2019, at 10:00AM** on site at Comanche Park, 3608 N. Quaker, Tulsa, OK 74106. This will be the **ONLY** time access to all the units will be made available. Failure to attend the Pre-Bid will not bar you from bidding on this contract, however, items not identified in the sealed bid pricing will be the responsibility of the Contractor. Only "unforeseen" items that could not have been identified by the Contractor or THA Job Representative will be considered for Change Orders.

**1.11 ADDITIONAL CLAUSE ADDED TO CONTRACT**

Will apply to low bidder at contract implementation:

**VALUE ENGINEERING:**

The Contractor is encouraged to develop, prepare, and submit value engineering change proposals (VECP's) voluntarily to save money or improve performance under this contract. A VECP is a proposal that requires a change to the instant contract to implement and results in reducing the contract price or estimated cost without impairing essential functions or characteristics, provided that it does not involve a change in deliverable end item quantities only or a change only to the contract type. The contractor shall share in any net acquisition savings realized from accepted VECP's, in accordance with the sharing rates described below.

Net acquisition savings means total acquisition savings, including instant, concurrent, and future contract savings, less HA costs. Instant contract savings are the net cost reductions on this contract, concurrent savings are measurable net reductions in the prices of other contracts ongoing at the time the VECP is accepted, and future contract savings are the product of the future unit cost reduction multiplied by the number of future contract units scheduled for delivery during the sharing period.

As a minimum, the contractor shall include in each VECP the following information: (I) a description of the difference between the existing contract requirement and the proposed requirement, the comparative advantages and disadvantages of each, a justification when an item's function or characteristics are being altered, the effect of the change on the end item's performance; (ii) a list and analysis of the contract requirements that must be changed if the VECP is accepted, including any suggested specification revisions; (iii) a separate, detailed cost estimate for the VECP, compared with current costs; (iv) a description and estimate of the costs that HA may incur in implementing the VECP; (v) a statement of the time by which a contract modification accepting the VECP must be issued in order to achieve the maximum cost reduction, noting any effect on contract completion time or delivery; (vi) identification of any previous submission of the VECP.

RECEIVED BY \_\_\_\_\_

TITLE \_\_\_\_\_ DATE \_\_\_\_\_

**END OF SECTION**

**SECTION 01015  
EXISTING CONDITIONS**

**1.01 EXISTING CONDITIONS**

- A. Dimensions: Contractor shall verify dimensions at site for built-in work, and for work adjoining that of other trades and for dimensions shown to existing structures or installations.
- B. Possession, use, and responsibility for site: Keep the building site free of rubbish at all times. Remove all waste and site debris promptly.
- C. Salvage material: Materials requiring demolition or to be “removed” shall be stockpiled for the Owner’s review. All material not reused or retained by the Owner shall be considered debris and removed from the project site at the Contractor’s expense.
- D. Existing conditions: In submitting a bid, Contractor acknowledges that he has visited the site and reviewed existing conditions. While every attempt has been made to identify locations of work items, the Contractor is to remedy as specified all problems discovered that are of the same nature as Work Items listed in the Specifications.
- E. Demolition:
  - 1. Contractor shall use extreme care in the demolition, removal, repair or relocation of existing items in order to protect remaining items from damage. Replace any items or areas so damaged with matching, new items of equal quality.
  - 2. Where operations involve the demolition, removal or repair of existing items in the exterior envelope of existing structures, the Contractor shall provide temporary protection as required to maintain the structure in a weather tight, structurally sound, environmentally stable condition at the end of each day and/or end of activity that is associated with these operations.
- F. Temporary / trial use: Contractor may, at no extra cost to Owner, assign qualified personnel to perform equipment tests for Owner’s benefit.

**END OF SECTION**

**SECTION 01091**  
**REFERENCE STANDARDS**  
**PAGE 1 OF 2**

**1.1 QUALITY ASSURANCE**

- A. Reference Standards: For products or workmanship specified or indicated by association, trade or Federal Standards comply with requirements of standard, except when more rigid requirements are specified or are required by applicable codes.
- B. No provision of any referenced standard specification, manual or code (whether or not specifically incorporated by reference in the Contract Documents) shall be effective to change duties and responsibilities of THA or Contractor or any of their consultants, agents or employees from those set forth in Contract Documents, nor shall it be effective to assign to Contracting Officer any duty or authority to supervise or direct furnishing or performance of Work or any duty or authority to undertake responsibilities contrary to provisions of General Conditions.
- C. Where wording of referenced standard is permissive, or where requirements of more than one reference standard apply, provide under more restrictive and higher requirement.
- D. Comply with recommendations of reference standards even though they are not mandatory in standard.
- E. Notify Contracting Officer of any conflicts between referenced standards and requirements specified in Specifications or indicated on Drawings before proceeding with work.
- F. Detailed Requirements: Be familiar with and verify detailed requirements of referenced standards to verify that items and their installation provided under Work of this Contract meet or exceed standard's requirements.
- G. Tolerances: Tolerances may vary from standards of different sections. Make adjustments necessary to assure proper fitting of different elements. Tolerances may be plus or minus as indicated but in sum shall be compensating, not cumulative.
- H. Effective Date: Date of standard is that in effect as of documents date except when specific date is specified or when standard is part of applicable code which includes edition date.
- I. Copies: When required by individual sections obtain copy of standard. Maintain copy at job site during work.
- J. Certificates: When required by Contract Documents, or when requested in writing by Contracting Officer, submit Certificate of Compliance or Manufacturer's Certificate that materials or workmanship, or both comply with requirements of referenced standard.

**SECTION 01091**  
**REFERENCE STANDARDS**  
**PAGE 2 OF 2**

**1.2 REFERENCE STANDARD SOURCES**

Reference Standards: For copies of specifications and standards referenced in specifications, contact respective organization listed below:

**AAMA**

American Architectural Manufacturers  
 Association  
 1540 E. Dundee Road  
 Suite 310  
 Palatine, IL 60067

708/202-1350

FAX 708/202-1480

**ANSI**

American National Standards Institute  
 Inc.  
 11 West 42<sup>nd</sup> Street  
 New York, NY 10036

212/642-4900

FAX 212/302-1286

**ASME**

American Society of Mechanical  
 Engineers  
 345 East 47<sup>th</sup> Street  
 New York, NY 10017

212/644-7722

**ASTM**

American Society for Testing and  
 Materials  
 1916 Race Street  
 Philadelphia, PA 19103-1187

215/299-5585

FAX 215/977-9679

**AWS**

American Welding Society  
 PO Box 351040  
 Miami, FL 33135

800/334-9353

FAX 305/443-7559

**(On NIBS CCB)** = Have documents on National Institute of Building Sciences Construction Criteria Base (NIBS CCS) program of company discs (CD-ROM). Information about the NIBS CCB program is available from the National Institute of Building Sciences, 1201 L Street NW, Suite 400, Washington, DC20005, 202/289-7800.

**END OF SECTION**

**SECTION 01200  
PROJECT MEETINGS****PART 1 GENERAL****1.01 REQUIREMENTS INCLUDED**

- A. Attendance at the pre-bid meeting is strongly recommended in order to view project properties.
- B. Participation **IS** required at preconstruction conference.
- C. Contractor administration of progress meetings and pre-installation conferences required.

**1.02 RELATED REQUIREMENTS**

- A. Section 01005 - Administrative Provisions- Coordination of Work.
- B. Section 01300 - Submittals: Progress Schedules; shop drawings, product data, and samples.
- C. Section 01400 - Quality Control.
- D. Section 01700 - Contract Close Out: Project Record Documents.

**1.03 PREBID AND PRECONSTRUCTION CONFERENCES**

- A. THA Contracting Officer will administer pre-bid conference at THA offices for clarification of THA and Contractor responsibilities in use of site and for review of administrative procedures. The bidders *may* then be taken to the site to review the buildings.
- B. THA Contracting officer will administer the preconstruction conference at THA offices. Project start and completion date will be determined and other administrative procedural responsibilities will be reviewed.

**1.04 PROJECT MEETINGS**

Schedule and administer Project meetings through progress of the Work as deemed necessary by the THA Contracting Officer.

**PART 2 PRODUCTS - NOT USED****PART 3 EXECUTION - NOT USED**

**END OF SECTION**

**SECTION 01340****SUBMITTALS****PAGE 1 OF 6****PART 1 - GENERAL****1.01 MANUFACTURED ARTICLES:**

Manufactured articles, materials, equipment to be applied, installed, connected, erected, used, cleaned, conditioned as directed by manufacturer's printed instructions unless otherwise specified. Where materials are specified by more than one name for one use, select any of those specified. Keep copies of such printed recommendations at job site, and deliver one to Owner.

**1.02 COST SCHEDULES:**

- A. Schedule of costs to be prepared by Contractor within TEN (10) days of award of contract showing cost of each work item of construction with overhead and profit added to each item. List cost of bond (to be paid in full in first request for payment), insurance and general conditions separately. Submit on HUD Form 51000, Schedule of Amounts for Contract Payments.
- B. In addition to HUD form 51000 and if different than that Form, Contractor shall prepare a Schedule of Work Items Costs within TEN (10) days of award of contract showing cost of each work item of construction, itemized as per the headings of HUD Form 51000, with overhead and profit added to each item. List cost of bond separately, to be paid in full in first request for payment. This Schedule shall be approved and used as the basis for Change Order adjustments to the contract. If this information is not different than HUD Form 51000, submit letter with that Form so stating.

**1.03 CONSTRUCTION SCHEDULE:**

In addition to above and within thirty (30) days of award of contract or initial endorsement, submit HUD Form 5372, "Anticipated Monthly Value & Actual Schedule Progress form".

**1.04 SUBCONTRACTOR LIST:**

Prepare a list of proposed subcontractors including material suppliers. Submit for approval before sub-contracts are awarded. No sub-contractors to be employed on work unless approved by Owner.

**1.05 MONTHLY REQUESTS FOR PARTIAL PAYMENT:**

Submit four copies of each of the following for each month's request for partial payment:

- A. Submit completed HUD Form 51001 each month. Under the "Description of Item" section, add the following column headings; "Quantity, Unit Price, Unit Total". Under the "Completed to Date" section, add the following column headings: "Quantity, Unit Value Completed". "Quantity, Unit Price, and Unit Total: to correspond to previously submitted HUD Form 51000. Quantity completed for General Conditions line item on this form to correspond to total percentage of work completed to date.
- B. Submit completed HUD Form 5372 each month with updated information.
- C. Submit completed HUD Form 51003 for each subcontractor and General Contractor for each month either entity requisitions payment for any respective new stored materials. Submit copies of applicable material invoices with this form.
- D. Submit completed HUD Form 51004, cumulative summary of HUD 51003 Forms, for each month a HUD Form 51003 is submitted.

**SECTION 01340****SUBMITTALS****PAGE 2 OF 6****1.06 CHANGE ORDERS:**

If during construction, Owner authorizes additional work, total cost to Owner for such changes shall be calculated and presented as described in Sections 9 and 10 of the HUD General Conditions for this project and as follows:

- A. Provide detailed estimates listing all items of labor and material with quantities and unit prices extended for each item. This applies to all sub-contract work as well as work done by the General Contractor and to all estimates.
- B. Fee for Contractor or sub-contractor shall not exceed Commission or combined Overhead & Profit listed in Section 29-changes, paragraph (F) (1-3) for determining equitable adjustment of fees of HUD General Conditions. Overhead listed in this section to apply "To Contractor and/or the subcontractor for that portion of the work performed with their respective forces-" shall not exceed ten (10) per cent of the cost of the work.
- C. Total cost to Owner to be as outlined in HUD General Conditions, Section 29.
- D. Material and labor line item totals shall not exceed the unit costs stated in Schedule of Work Item Costs. TOTAL COSTS FOR CHANGE ORDERS SHALL NOT EXCEED 15% P/O.

**1.07 SHOP DRAWINGS AND SAMPLES:**

Transmit each shop drawing, sample, or submittal to THA with Contractor's transmittal form or letter, not by sub-contractor's or supplier's form. Identify each item submitted with Contractor's name, date, project, material, quantity and other pertinent data. Submittals shall consist of two (2) stages.

**1.08 SHOP DRAWINGS - FIRST STAGE SUBMITTAL**

- A. Material list identifying materials and equipment to be used. Submit not less than three (3) copies to Owner for approval within thirty (30) days after award of contract, one copy to be returned. Materials found to be acceptable and not requiring further clarification shall be approved on basis of the materials listed. Materials rejected must be re-submitted as an amendment to the material list. Material requiring the submittal of additional information will be marked for second stage submittal. Material list shall include:
  - 1. Specification sub-section number and title.
  - 2. Manufacturers, type, model and size.
  - 3. Identification of vendor for specifically fabricated items such as structural or miscellaneous steel, reinforcing, doors and frames, millwork, etc.
- B. Samples, colors, patterns, textures for approval or selection: Submit all materials required for color selection or approval. No selections possible by Owner until all materials received so complete coordination possible. Submit sufficient samples to show range of shades, tones, values, pattern, texture and other features as specified or directed. Label or tag each sample or set of samples indicating:
  - 1. Manufacturer, brand name, catalog or manufacturer's no.
  - 2. Project title.
  - 3. Intended use.

Two copies manufacturer's catalog sheets showing illustrated cuts of items furnished, scale details, sizes, dimensions, capacities, controls, performance characteristics, wiring diagrams and all other pertinent information. One copy of approved and/or disapproved submissions will be returned to Contractor. Contractor shall make corrections as required and furnish two corrected copies to Owner and others as needed.

**SECTION 01340**  
**SUBMITTALS**  
**PAGE 3 OF 6**

**1.09 SHOP DRAWINGS -SECOND STAGE SUBMITTALS:**

Detailed information cuts and drawings covering specific items of equipment, systems, fabricated items, and installation details. Second stage submitted within thirty (30) days or in sufficient time so as not to cause delay in the work as follows:

- A. Standard Manufactured Items: Two copies manufacturer's catalog sheets showing illustrated cuts of items furnished, scale details, sizes, dimensions, capacities, controls, performance characteristics, wiring diagrams and all other pertinent information. One copy of approved and/or disapproved submissions will be returned to Contractor. Contractor shall make corrections as required and furnish two corrected copies to Owner and others as needed.
- B. Drawings of fabricated items: Submit one reproducible transparency of each drawing and one blue or black line print for architectural items. Submit two blue or black line prints for structural, mechanical and electrical items. Provide space (4" x 4") at right of tracing (or as additional border on transparency) for stamps. After checking, Owner will keep print for his record and return transparency to Contractor. When resubmission is required, correct original tracing, resubmit new transparency and print for approval. When approval is obtained, Owner will return transparency to Contractor. Contractor shall obtain prints as required by him for distribution as needed.

**SECTION 01340  
SUBMITTALS  
SAMPLE FORM  
PAGE 4 OF 6**

**GENERAL CONTRACTORS  
REQUEST FOR SUBSTITUTION  
(Submit 2 copies)**

Date: \_\_\_\_\_ Request No. \_\_\_\_\_

To: THA Complex: \_\_\_\_\_ No: \_\_\_\_\_

(Name and Address of Contractor) \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

Hereby request approval of the following product or system as an “approved substitution”.  
NAME AND DESCRIPTION OF SPECIFIED PRODUCT OR SYSTEM:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

SPECIFICATION SECTION NO: \_\_\_\_\_ PAGE (S): \_\_\_\_\_

PARAGRAPH (S): \_\_\_\_\_ DRAWING NO.(S): \_\_\_\_\_

DETAIL OR SECTION NO.(S) \_\_\_\_\_

**SECTION 01340  
SUBMITTALS  
SAMPLE FORM  
PAGE 5 OF 6**

Use separate form for each submittal.

**SPECIFIED PRODUCT**

**Product Characteristics:**

Material: \_\_\_\_\_  
 Flammability: \_\_\_\_\_  
 Smoke Density: \_\_\_\_\_  
 Moisture Absorption: \_\_\_\_\_  
 Elasticity: \_\_\_\_\_  
 Water Resistance: \_\_\_\_\_  
 Substrate Compatibility: \_\_\_\_\_  
 Installation On: \_\_\_\_\_  
 Concrete: \_\_\_\_\_  
 Steel Frame: \_\_\_\_\_  
 Wood Studs: \_\_\_\_\_  
 Drywall: \_\_\_\_\_

**Test Reports:**

Is exact condition covered? \_\_\_\_\_  
 Rated Assembly? \_\_\_\_\_

**Restrictions:** \_\_\_\_\_

Substrate: \_\_\_\_\_

**Environmental Restrictions:** \_\_\_\_\_

Outside Air Temperature \_\_\_\_\_  
 Inside Air Temperature \_\_\_\_\_  
 Relative Humidity \_\_\_\_\_  
 Wind Load \_\_\_\_\_  
 Equipment Loads \_\_\_\_\_  
 Moisture Test Req'd? \_\_\_\_\_

**Guarantee:** \_\_\_\_\_

**Availability:** \_\_\_\_\_

**Costs:** \_\_\_\_\_

**SPECIFIED PRODUCT**

**Product Characteristics:**

Material: \_\_\_\_\_  
 Flammability: \_\_\_\_\_  
 Smoke Density: \_\_\_\_\_  
 Moisture Absorption: \_\_\_\_\_  
 Elasticity: \_\_\_\_\_  
 Water Resistance: \_\_\_\_\_  
 Substrate Compatibility: \_\_\_\_\_  
 Installation On: \_\_\_\_\_  
 Concrete: \_\_\_\_\_  
 Steel Frame: \_\_\_\_\_  
 Wood Studs: \_\_\_\_\_  
 Drywall: \_\_\_\_\_

**Test Reports:**

Is exact condition covered? \_\_\_\_\_  
 Rated Assembly? \_\_\_\_\_

**Restrictions:** \_\_\_\_\_

Substrate: \_\_\_\_\_

**Environmental Restrictions:** \_\_\_\_\_

Outside Air Temperature \_\_\_\_\_  
 Inside Air Temperature \_\_\_\_\_  
 Relative Humidity \_\_\_\_\_  
 Wind Load \_\_\_\_\_  
 Equipment Loads \_\_\_\_\_  
 Moisture Test Req'd? \_\_\_\_\_

**Guarantee:** \_\_\_\_\_

**Availability:** \_\_\_\_\_

**Costs:** \_\_\_\_\_

**REASON FOR NOT GIVING PRIORITY TO SPECIFIED ITEMS:**

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**SUBSTITUTION AFFECTS OTHER MATERIALS OR SYSTEMS:**

\_\_\_\_\_ YES \_\_\_\_\_ NO - IF YES ATTACH COMPLETE DATA.

**SECTION 01340**  
**SUBMITTALS**  
**SAMPLE FORM**  
**PAGE 6 OF 6**

SUBSTITUTION REQUIRES DIMENSIONAL REVISION OR REDESIGN OF STRUCTURE OR MEP WORK:

YES \_\_\_\_\_ NO \_\_\_\_\_ - IF YES, ATTACH COMPLETE DATA.

**SAVINGS OR CREDIT TO OWNER FOR ACCEPTING SUBSTITUTE:**

\$ \_\_\_\_\_

THE ATTACHED DAT IS FURNISHED HEREWITH TO SUPPORT EVALUATION OF SUBSTITUTE:

CATALOG DWGS SAMPLES

TESTS REPORTS OTHER

THE UNDERSIGNED HEREBY CERTIFIES THAT THE SUBSTITUTION HAS BEEN FULLY CHECK AND COORDINATED WITH THE CONTRACT DOCUMENTS.

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

FIRM NAME: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

PHONE: \_\_\_\_\_ FAX: \_\_\_\_\_

**THE FOLLOWING TO BE COMPLETED BY THE ARCHITECT/THA REPRESENTATIVE:**

SUMMARY:

SUBSTITUTION APPROVED: \_\_\_\_\_ YES \_\_\_\_\_ NO

APPROVED WITH RESTRICTIONS:

1. \_\_\_\_\_

2. \_\_\_\_\_

SUBMITTAL REQUIRED: \_\_\_\_\_ YES \_\_\_\_\_ NO

REMARKS: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**END OF SECTION**

## SECTION 01400 QUALITY CONTROL

### PART 1 GENERAL

#### 1.01 REQUIREMENTS INCLUDED

- A. General Quality Control
- B. Workmanship
- C. Manufacturer's instructions and Certificates.

#### 1.02 RELATED REQUIREMENTS

- A. Section 01005 - Administrative Provisions: Applicability of reference standards.
- B. Section 01300 - Submittals: Manufacturer's Instructions.

#### 1.03 QUALITY CONTROL, GENERAL

Maintain quality control over suppliers, manufacturers, products, services, site conditions, and workmanship, to produce work of specified quality as judged in the units visited at the pre-bid conference. Persons skilled in their trade must perform Work. Work shall be done in a timely manner without unnecessary delay.

#### 1.04 WORKMANSHIP

- A. Comply with industry standards except when more restrictive tolerances or specified requirements indicate more rigid standards or more precise workmanship.
- B. Perform work by persons qualified to produce workmanship of specified quality.
- C. Secure products in place with positive anchorage devices designed and sized to withstand stresses, vibrations, and racking.

#### 1.05 MANUFACTURER'S INSTRUCTIONS

Comply with instructions in full detail, including each step in sequence. Should instructions conflict with Contract Documents, request clarification from THA before proceeding.

#### 1.06 MANUFACTURER'S CERTIFICATES

When required by individual Specifications Section, submit manufacturer's certificate, in duplicate, those products meet or exceed specified requirements.

**PART 2       -       PRODUCTS       -       NOT USED**

**PART 3       -       EXECUTION       -       NOT USED**

**END OF SECTION**

## SECTION 01600 MATERIAL AND EQUIPMENT

### 1.01 REQUIREMENTS INCLUDED

- |                                |                           |                  |
|--------------------------------|---------------------------|------------------|
| A. Products                    | C. Storage and Protection | E. Substitutions |
| B. Transportation and Handling | D. Product Option         |                  |

### 1.02 RELATED REQUIREMENTS

- A. Section 01005 - Administrative Provisions: Reference Standards
- B. Section 01400 - Quality Control
- C. Section 01700 - Contract Close Out: Operation and maintenance data: Warranties and bonds.

### 1.04 PRODUCTS

- A. Products include material, equipment, and systems.
- B. Comply with Specifications and referenced standards as minimum requirements.

### 1.05 TRANSPORTATION AND HANDLING

- A. Transport products by methods to avoid product damage; deliver in undamaged condition in manufacturer's unopened containers or packaging, dry.
- B. Provide equipment and personnel to handle products by methods to prevent soiling or damage.
- C. Contractor shall be aware of vandalism and theft and is advised not to leave tools or materials unattended at the job site.

### 1.06 STORAGE AND PROTECTION

Store products in accordance with manufacturer's instructions, with seals and labels intact and legible. Store sensitive products in weather-tight enclosures; maintain within temperature and humidity ranges required by manufacturer's instructions.

### 1.07 PRODUCT OPTIONS

- A. Products specified by Reference Standards or description only: any product meeting those standards.
- B. Products specified by naming one or more manufacturers with a provision for substitution: Submit a request for substitution for any manufacturer not specifically named.
- C. Products specified by naming several manufacturers: Products of named manufacturers meeting specifications: No options, no substitutions allowed.

### 1.08 SUBSTITUTIONS

- A. After bidding, substitutions will be considered only when a product becomes unavailable due to no fault of the Contractor.
- B. Document each request with complete data on substitution form substantiating compliance of proposed substitution with Contract Documents.
- C. Request constitutes a representation that Contractor:
  - 1. Has investigated proposed product and determined that it meets or exceeds, in all respects, specified product.
  - 2. Will provide the same warranty for substitution as for specified product.
  - 3. Will coordinate installation and make other changes that may be required for Work to be complete in all respects.
  - 4. Waives claims for additional costs that may subsequently become apparent.
- D. THA will determine acceptability of proposed substitution, and will notify Contractor of acceptable or rejection in writing within a reasonable time.

**END OF SECTION**

**SECTION 01700  
CONTRACT CLOSE-OUT****1.01 REQUIREMENTS INCLUDED**

- A. Close-Out Procedures.
- B. Project Record Documents.

**1.02 RELATED REQUIREMENTS**

Document HUD-5370 - General Conditions: Fiscal Provisions, legal submittals, and other administrative requirements.

**1.03 CLOSE-OUT PROCEDURES**

When Contractor considers work has reached final completion, submit written certification that Contract Documents have been reviewed, Work has been inspected, and that work is complete in accordance with Contract Documents and is ready for THA to inspect.

**1.04 FINAL CLEANING**

- A. Execute final cleaning prior to final project assessment.
- B. Remove waste and surplus materials, rubbish, and construction facilities from the Project and from the site. Contractor shall not use waste containers at the site.
- C. Clean exterior surfaces exposed to view of all foreign substances.
- D. Clean interior surfaces exposed to view; remove temporary labels, stains and foreign substances.

**1.05 PROJECT RECORD DOCUMENTS**

- A. Store documents separate from those used for construction. Keep documents current; do not permanently conceal work until required information has been recorded.
- B. At Contract Close-Out:
  - 1. Submit documents with transmittal letter containing date, Project title, Contractor's name and address, list of documents, and signature of Contractor.
  - 2. Submit set of drawings reflecting changes as indicated on Project Record Drawings.

**END OF SECTION**

**SECTION 02050  
DEMOLITION****PART 1 GENERAL****1.01 WORK INCLUDED**

- A. Apply for and obtain all necessary permits with local authorities to perform the building mod – 6 units at Comanche Park, including but not limited to: demolition, structural, plumbing, electrical, and mechanical. A copy of the permit(s) as well as all inspection stickers shall be delivered to the THA representative.
- B. Contractor to provide a dumpster for all construction debris, not determined to be salvaged by THA. The dumpster is to be emptied periodically on a regular basis so as to not over flow or create a hazardous environment.
- C. Demolition all damaged areas of the units and properly dispose of all debris, including but not limited to:
  - 1. All Loose debris found in apartment, appliances, fixtures, furniture, etc.
  - 2. Damaged drywall, doors, windows, etc. and all other components damaged – both interior and exterior of the unit including fixtures, electrical, plumbing, and mechanical, windows, siding, etc.

**1.02 CERTIFICATES**

- A. All Federal, State, and Local Certificates, Permits, Licenses, and Records of Compliance will be turned over to THA as soon as they are received by Contractor, unless needed for job site posting.

**PART 2 PRODUCTS -NOT USED****PART 3 EXECUTION****3.01 SALVAGE MATERIAL**

- A. **Prior to commencement of demolition activity, Contractor shall provide a written inventory of all reusable material to THA Contract Coordinator.** Upon approval of said inventory contractor shall clearly mark all reusable items in advance of demolition. Identification to be securely attached to each salvageable item, and to read “To be reused. Do not destroy”.

**3.02 PROTECTION**

- A. Contractor shall use extreme care in the demolition, removal, repair or relocation of existing items in order to protect remaining items from damage. Replace any item or areas so damaged with matching, new items of equal quality.
- B. Where operations involve the demolition, removal or repair of existing items in the exterior envelope of existing structures, the Contractor shall provide temporary protection as required to maintain the structure in a stable condition at the end of each day and/or end of activity that is associated with these operations.
- C. Where operations involve the demolition, removal, repair or relocation of existing utilities, the contractor shall notify the **THA Job Representative of his plan for disruption of services**, time involved and plans for coordinating his work with the Owner. Contractor shall receive the THA Job Representative’s approval prior to commencing these operations.
- D. Do not close or obstruct egress width to any building or site exit. If egress is to be closed or obstructed contractor is to provide temporary means of egress.

**3.03 CLEAN UP**

- A. Remove all debris **daily** from the job site.
- B. Use of site dumpsters is **strictly prohibited**.

**END OF SECTION**

**SECTION 06100**  
**ROUGH CARPENTRY**  
**FRAMING, TRIM, DOORS, SIDING, SOFFITS & CEILINGS**

**PART 1 GENERAL**

**1.01 WORK INCLUDED**

- A. Replace rotten, water damaged frame or block materials as needed.
- B. Miscellaneous wood framing or blocking as needed for repairs to the sheetrock.
- C. Provide blocking for all cabinets, fixtures, shelves, closet rods, etc.
- D. Repair / Replace damaged / missing exterior doors, including damaged security screen doors, and hardware, to match original.
- E. Replace damaged soffits, fascia, trim, porch ceilings to match original.

**1.01 RELATED WORK**

- A. 02050 – Demolition
- B. 05500 – Metal Fabrications
- C. 07000 – Thermal & Moisture Protection
- D. 09250 – Gypsum Wallboard Systems
- E. 09900 – Painting
- F. 15000 – Mechanical Work
- G. 16000 – Electrical Work

**1.03 REGULATORY REQUIREMENTS**

Conform to applicable sections of the code having jurisdiction.

**PART 2 - PRODUCTS**

**2.01 MATERIALS**

- A. All Framing materials shall be Douglas Fir, or Southern Pine, number 2 structural grade or better.
- B. Each piece delivered to the job site shall be properly graded, stamped as specified in those rules or in lieu thereof, accompany each shipment with inspection certificate issued by appropriate inspecting bureau or association. All wood material surfaced four sides (S4S), moisture content 19% maximum.
- C. All bottom plates shall be treated lumber.
- D. Plywood shall be 1/2" CDX or equal.

**2.02 ACCESSORIES**

- A. The Contractor shall supply and use only screws, spikes, and staples of type for interior locations, high humidity locations, and treated wood; plain finish for other interior locations; size and type to suit application.
- B. Bolts, nuts, washers, lags and screws: medium carbon steel, size and type to suit application; galvanized for exterior locations, high humidity locations and treated wood; plain finish for other interior locations.
- C. Fasteners: toggle bolt type for anchorage to hollow masonry, if required. Expansion shield and lag bolt type for anchorage to solid masonry or concrete. Bolts or power activated type for anchorage to steel.

**2.03 SHOP TREATMENT OF WOOD MATERIALS**

- A. Kiln dry wood after pressure treatment to maximum 19 percent moisture content, if required. Where surfaces are to be painted maximum moisture content shall be 12 percent.

**END OF SECTION**

**SECTION 06100  
ROUGH CARPENTRY  
SIDING AND SOFFITS**

**PART 1 GENERAL**

**1.01 WORK INCLUDED**

- A. After removal of all damaged siding, supply and Install wall sheathing as needed for a solid nailing surface for Siding attachment. Install building wrap prior to siding installation per manufactures instructions.
- A. **Siding** – Remove and Replace damaged exterior siding, fiber cement with lap pattern to match existing, according to manufacturer’s instructions. Paint to match existing.
- B. Soffits & Ceilings – Remove/Replace damaged Fascia, soffits and porch ceilings with fiber cement material. Paint to match existing.

**1.02 SUBMITTALS**

- A. Comply with requirements of Section 01300-Submittals.
- B. Product Data: Submit manufacturer’s product data including installation instructions.
- C. Samples: Submit samples of hardboard siding for Owner’s approval.
- D. Certification: Submit manufacturer’s certification indicating hardboard siding and fascia meets specified requirements.
- E. Maintenance instructions: Submit manufacturer’s maintenance instructions for hardboard siding.

**1.03 WARRANTIES**

Furnish a written warranty against defective workmanship that may develop within one (1) year from date of acceptance by owner.

**PART 2 – PRODUCTS**

**2.01 MATERIALS**

- A. Fiber Cement siding shall match existing in all features and dimensions.
- B. Wall sheathing – match existing thickness, replacement sheathing to be exterior OSB material.
- C. Trim as necessary to replace damaged existing trim, to be installed as trim or ending surface for Plank Siding.

**3.01 INSTALLATION**

- A. Install house wrap vapor barrier over all new wall sheathing prior to siding installation.
- B. Remove wood trim and replace to match existing as needed to install new siding.
- C. Face nail Siding every 2’ on center, in addition to utilizing a nailing pattern according to manufacturer’s recommendations.
- D. Stagger siding butt joints a minimum of 2’ from other butt joints.
- E. Replace any wall sheathing that is not solid, and can’t support siding being nailed into it.
- F. Replace all damaged fascia with new material to match existing.

**3.05 CLEAN UP**

- A. Remove all debris immediately from the job site.
- B. Use of project dumpsters is strictly prohibited.

**END OF SECTION**

## **SECTION 07000 THERMAL AND MOISTURE PROTECTION**

### **PART 1 – GENERAL**

#### **PART 1- GENERAL**

##### **1.01 WORK INCLUDED**

- A. Installation of new R-13 fiberglass batt insulation in the walls where sheetrock was removed.
- B. Install new blown-in insulation in the attic to reach an R-30

##### **1.02 RELATED SECTIONS**

- A. Section 02050 Demolition
- B. Section 06100 Rough Carpentry

##### **1.03 SUBMITTALS**

- A. Comply with requirements of Section 01300-Submittals.
- B. Product Data: Submit manufacturer's product data including installation instructions.
- C. Certification: Submit manufacturer's certification indicating insulation meets specified requirements.

##### **1.04 DELIVERY, STORAGE AND HANDLING**

- A. Delivery: Deliver materials to site in manufacturer's original, unopened containers and packaging with labels clearly indicating manufacturer and material.
- B. Store materials indoors in a clean, dry area protected from damage and in accordance with manufacturer's instructions.

##### **1.06 REGULATORY REQUIREMENTS**

- A. Conform to applicable sections of the code having jurisdiction.

### **PART 2 – PRODUCTS**

#### **2.01 MATERIALS**

- B. Batt insulation shall be preformed glass fiber type with six (6) mil thick membrane vapor barrier of polyethylene with an R-13 thermal barrier.

#### **2.02 ACCESSORIES**

- A. The Contractor shall provide and use nails and staples of type and size to suit application.

### **PART 3 – EXECUTION**

#### **3.01 INSTALLATION**

- A. Install all materials and products in strict accordance with the manufacturer's written instructions and recommendations.
- B. Trim insulation neatly to fit spaces using batts free from damage; leave no gaps or voids. Verify adjacent materials are dry and ready to receive installation.
- C. Acceptance of Work is subject to the approval of the THA representative.

**END OF SECTION**

**SECTION 07311**  
**ROOF SHINGLES**  
**PAGE 1 OF 3**

**PART 1 - GENERAL**

**1.01 WORK INCLUDED**

- A. As needed, replace laminated shingles.
- B. As needed, replace all damaged roof decking (match existing).
- C. Verify all installations are true, level and plumb. Utilize a string-line as necessary to ensure straight lines of installed materials.
- D. Decking is NOT to be permitted to sag or buckle, and will need to be removed and replaced if it does.
- E. As needed, replace all associated flashings, and drip edge per specifications.
- F. As needed, install drip edge color matched to fascia or Weathered Wood shingle color.
- G. As needed, install new synthetic roofing underlayment
- H. As needed, install new ridge vent system, including soffit vents per specifications.

**1.02 RELATED WORK**

- A. Rough Wood Framing.
- B. Flashing and Sheet Metal.
- C. Thermal and Moisture Protection.
- D. Miscellaneous Mechanical and Plumbing Roof Penetrations and Flashing.
- E. Painting.

**1.03 REGULATORY REQUIREMENTS**

Conform to applicable sections of the code having jurisdiction.

**1.04 REFERENCES:**

- A. ANSI/ASTM d225 - asphalt shingles surfaces with mineral granules.
- B. ANSI/ASTM d226 - asphalt-saturated organic felt used in roofing and waterproofing.
- C. ANSI/ASTM d249 - asphalt roll roofing surfaced with mineral granules.
- D. ANSI/ASTM d2822 - asphalt roof cement.
- E. ANSI/ASTM a361 - sheet steel, zinc-coated (galvanized) by the hot-dip process for roofing.

**1.05 SUBMITTALS:**

- A. Submit manufacturer's installation instructions and material and color samples equivalent to Weathered Wood.

**PART 2 - PRODUCTS**

**2.01 MATERIALS**

- A. Asphalt Shingles for designated buildings for this project shall be Laminate, Minimum 50 year Warranty, ASTM D3161 (110 mph wind), ASTM 3018 Type I, Algae Resistant, Weathered Wood or Similar Color. Acceptable Manufacturers Products – GAF Timberline; Owens Corning Oakridge; Atlas Pinnacle; Certainteed Landmark; Malarkey Legacy Scotchguard.  
**Starter Shingles/Strips shall be used – GAF Pro-Start, Owens Corning Starter Strip Plus or equivalent. Inverted 3 Tab shingles will not be used as starter course.**
- C. Synthetic Underlayment: Owens Corning ProArmor, GAF felt buster, or approved equal.
- D. Asphaltic Bitumen shall be ASTM D312, Type I, Asphalt Primer: ASTM D41.
- E. Plastic cement: ANSI/ASTM d2822; asphaltic type with mineral fiber components.
- F. Lap cement: fibrated cutback asphalt type, as recommended for use as an adhesive in the cold application of asphalt roofing or underlayment; free of toxic solvents.
- G. Nails: standard round wire shingle type of hot-dipped zinc-coated steel; minimum 13/64 inch head diameter and 0.080 inch shank diameter; minimum 1 1/4 inch long of sufficient length to penetrate through roof sheathing. Staples will not be utilized.
- H. Metal Shingle Edge flashing: 24 gauge steel sheet, zinc-coated (galvanized) by the Hot Dip Process, 3 inch wide minimum, factory formed with drip edge or as recommended for use with asphalt shingles by manufacturer.

**SECTION 07311**  
**ROOF SHINGLES**  
**PAGE 2 OF 3**

- I. Ridge Vent: GAF Cobra, Owens Corning VentSure or approved equal. **Ridge cap shingles will cover top of Ridge vent. Three (3) tab shingles will not be used to cover Ridge Vents.**

**2.01 ACCESSORIES**

The Contractor shall provide all required accessories as recommended by shingle manufacturer.

**3.00 EXECUTION**

- A. **Install all materials and products in strict accordance with the manufacturer's written instructions and recommendations.**
- B. Verify roof is dry, clean and smooth, free of depressions, waves or projections that will adversely affect the finish work.
- C. Trim materials neatly to fit spaces using new materials free from damage; leave no gaps and voids. Verify adjacent materials are dry and ready to receive installation.
- D. Seal all joints free of air pockets, foreign embedded matter, ridges and sags.
- E. Any and all flashing affected shall be replaced with new material. Place eave edge and gable edge flashing tight with fascia boards. Weather lap joints two (2) inches and seal with plastic cement.
- F. Apply 18 inch wide strip of underlayment with eave edge flush with face of flashing. Secure in place and lap ends minimum six (6) inches.
- G. Starting from eave edge of starter strip, lay additional 36 inch wide strips of underlayment; weather lap plies minimum six (6) inches and nail or staple in place. Lap ends minimum six (6) inches and stagger end joints of each consecutive ply.
- H. Weather lap and seal items projecting through or mounted on roof with plastic cement; weather lap a minimum of four (4) inches over roof underlayment.
- I. Install new shingles in straight coursing pattern with five (5) inch weather exposure to produce double thickness over entire roof area. Provide double course of shingles at eaves. Project first course of shingles 3/4 inch beyond face of fascia boards. Extend shingles 1/2 inch beyond face of gable edge fascia boards. Stagger each successive course of shingles 5".
- J. Valleys:
1. With valley leak barrier already in place, apply the first course of shingles along the eaves of one of the intersecting roof planes and across the valley. Extend the end shingle at least 12" onto the adjoining roof.
  2. Apply the succeeding courses in the same manor, extending them across the valley and on to the adjoining roof. Press the shingles tightly into the valley. Use normal shingle fastening methods except that no fastener should be within 6" of the valley centerline and two fasteners should be placed at the end of each shingle crossing the valley.
  3. Install the lower or lesser slope first so that water will run over the joint and not into it. Then apply shingles on the adjoining roof plane, starting along the eaves and crossing the valley onto the previously applied shingles.
  4. Clip the shingles being installed no less than 2" back from the center line, following a chalk line snapped over the shingles to insure a neat installation.
  5. Trim 1" at a 45 degree angle from the upper corner of each end shingle to direct water into the valley.
- K. Install Ridge vents with two inch roofing nails and Ridge Cap shingles designed with the purpose of capping ridge vents with minimum of 1 3/4 inch roofing nails.
- L. Clean adjoining surfaces before applying caulking and sealant; insure surfaces are dry.
- M. Clean all spillage and excess roofing materials from adjacent or surrounding areas of Work and ensure prevention of damage to surrounding or adjacent materials and surfaces.

**SECTION 07311**  
**ROOF SHINGLES**  
**PAGE 3 OF 3**

**PART 1 – GENERAL**

**1.01 WORK INCLUDED**

- A. Supply and Install metal roof flashing and vent flashing on the areas of the buildings where existing roof flashing is missing, dented or damaged – including metal wrapping of barge rafters as necessary and/or damaged. Paint to match existing.

**PART 2 – PRODUCTS**

**2.01 MATERIALS**

- A. Metal Shingle Edge Flashing: 24 gauge steel sheet, Zinc coated (galvanized) by the Hot Dip Process or factory painted, 1-1/2" x 1-1/2" wide minimum, **factory formed with drip edge** or as recommended by manufacturer.
- 1. Aluminum Coil: 0.019 inch thick standard building sheet of textured finish in accordance with ASTM B209.

**PART 3 – EXECUTION**

**3.02 CLEAN UP**

- A. Remove all debris immediately from the job site.
- B. Use of Site dumpsters is strictly prohibited.**

**END OF SECTION**

**SECTION 07920  
CAULKING AND SEALING****PART 1 – GENERAL****1.01 WORK INCLUDED**

- A. Caulk or seal all joints as required to provide a positive barrier against passage of air or moisture.

**1.02 SUBMITTALS**

- A. Submit manufacturer's data, installation instructions, and color selection for sealant.

**1.03 DELIVERY**

- A. Deliver, store, and handle materials to prevent inclusion of foreign materials or damage of materials by water or breakage. Deliver and store packaged materials in original packages until ready to use.

**1.01 RELATED WORK**

- A. Section 07600 Flashing and Sheet Metal

**PART 2 – PRODUCTS****2.01 CAULKING SEALANT**

- A. 35 Year Acrylic Latex Silicone for non-paintable surfaces.
- B. 35 Year Acrylic Latex for paintable surfaces

**PART 3 – EXECUTION****3.01 INSPECTION**

- A. Examine sub-surfaces to receive work and report in writing any conditions detrimental to satisfactory application.
- B. Work shall be inspected and approved by THA representative before being covered up.
- C. No installation of materials to occur at temperatures lower than 40 degrees F.

**3.02 FAILURE**

- A. The following types of failures will be adjudged defective Work: Leakage, hardening, cracking, crumbling, melting, shrinking or running of sealant, or staining of adjacent work by caulking.

**3.03 APPLICATION**

- A. Minimum joint width to be ¼ inch, or according to manufacturer's instructions Fill deep spaces with backing, according to manufacture's instructions, leaving recess equal to width of joint, as recommended by manufacturer. Fill recess with caulking.
- B. Back-up materials to provide necessary joint backing to control depth of sealant in joint in accordance with manufacturer's recommendations. Apply caulk with hand-gun applicator.
- C. Use gun nozzles of proper size to fill joints. Drive material in with sufficient pressure to fill joints solid. Keep caulking material at proper temperature while using.
- D. Neatly point finish of caulking joints on flush surfaces with beading tool. Remove excess material.
- E. Neatly point finish of caulking joints in internal corners with coving tool. Remove excess material, caulk where exposed; free of wrinkles, uniformly smooth, make caulked joints water tight.

**END OF SECTION**

**SECTION 08520  
ALUMINUM WINDOWS**

**PART 1 - GENERAL**

**1.01 WORK INCLUDED**

- A. Remove/Replace all damaged or missing windows per specs below.
- B. Aluminum Windows shall be sliding and single hung, (to match existing windows) aluminum frame.
- C. Materials - Aluminum shall be of proper alloy for commercial window construction. All extruded sections shall be of 6063-T5 aluminum alloy.
- D. The insulated glass units shall be two panes of double strength glass, separated by a minimum .500" air space for optimum insulation. All insulated glass units shall meet the requirements of the ASTM E 774 specification, Class "A".
  - 1. Top and bottom of new window frames shall have a minimum of 3 screws each; sides shall have 4 screws each.
  - 2. Metal mounting brackets with metal snap trim, factory finish color to be selected by owner, shall be acceptable in the absence of wooden frame members at attachment points.
- E. Manufacturers: Thermal Windows Series 500, Diamond Windows Series 170 or approved equal.

**1.02 RELATED WORK**

- A. Hardware and fasteners.
- B. Security screens
- C. Rough carpentry.
- D. Finish carpentry.
- E. Cleaning.
- F. Painting.

**No windows shall be installed until the corresponding security screen has been delivered and is ready to set immediately.**

**1.03 INSTALLATION**

- A. Verify all related items of work are placed and ready to receive window installation. Install window in accordance with manufacturer's instructions and prevailing industry standards in a neat and workman like manner.
- B. Interior gaps between window frame and sheetrock up to 1/4" may be filled with caulk. Gaps larger than 1/4" will require sheetrock repair to reduce crack to 1/4" or less.
- C. Install new exterior and interior trim around windows, to match original. Paint new trim to match existing.

**END OF SECTION**

**SECTION 08660  
WINDOW SECURITY SCREENS**

**PART 1 - GENERAL**

**1.01 WORK INCLUDED**

- A. Contractor shall replace any damaged or missing window screens with new aluminum window security screens complete with hardware.
- B. Security screen frames shall be without divided light separators.
- C. Screens to comply with applicable fire codes for egress from interior.

**1.02 RELATED WORK**

- A. Rough carpentry
- B. Aluminum replacement window

**1.03 SUBMITTALS**

- A. Submit a window security screen sample for approval.
- B. Submit manufacturer's specifications for approval.

**1.04 APPROVED MANUFACTURERS:**

- A. Armored Guard Security Screens (877) 372-7336, Olney Sales, Inc. (800) 687-3147 or approved equal.

**PART 2 - PRODUCTS**

**2.01 METAL WINDOW SCREENS**

- A. Screen: Heavy type 12 mesh T304 stainless steel .028 diameter wire.
- C. Screen Frames: Aluminum 6063-T5 extruded or zinc/impregnated, G-90 galv. steel with two, spring loaded handle locks or slide bars for easy operations.
- D. Main frame & mullions finish to be baked polyester powder coat finish at factory. Color of these components to match other new frames at this site.

**3.01 INSTALLATION**

- A. Securely fasten window screens in place to straight, plumb and level condition, without distortion of window or window frame, and make final adjustments for proper operation.
- B. Field verify measurements and existing conditions.

**END OF SECTION**

**SECTION 09250  
GYPSUM WALLBOARD SYSTEMS**

**PART 1 - GENERAL**

**1.01 WORK INCLUDED**

- A. Repair or replace with new gypsum drywall ceilings and walls of unit.
- B. Tape and bed all newly installed or repaired drywall; Texture to match original finish.

**1.02 RELATED WORK**

- A. 02050 – Demolition
- B. 09900 – Painting
- C. 16000 – Electrical Work

**1.03 REGULATORY REQUIREMENTS**

- A. Conform to applicable sections of the code having jurisdiction.

**PART 2 - PRODUCTS**

**2.01 MATERIALS**

- A. Gypsum Wallboard ½” thick for drywall installation and repairs inside the apartment and 5/8” for ceilings.
- B. Ready mixed all-purpose joint compound.
- C. Paper joint tape.
- D. Metal corner beads.
- E. Drywall screws minimum length 1 ¼”.

**2.02 ACCESSORIES**

- A. The Contractor shall provide and use nails, beads and moldings of type and size to suit application in accordance with ASTM C754 and GA 216 unless otherwise directed by the THA Representative.

**3.01 EXECUTION**

- A. All ends and edges of Gypsum Wallboard shall be located over framing members or other solid backing.
- B. Contractor shall install blocking as needed to support drywall sheets. If original framing does not provide adequate nailing surface.
- C. Drywall shall be installed perpendicular to the framing.
- D. Screws shall be spaced not more than 12” on center for ceilings and 16” on center for walls where the framing members are 16” on center. Screws shall be spaced not more than 12” on center for both ceilings and walls where framing members are 24” on center.

**END OF SECTION**

**SECTION 09650  
RESILIENT FLOORING**

**PART 1 - GENERAL**

**1.01 WORK INCLUDED** *As Needed per THA Apartment Survey provided at Pre Bid Meeting*

- A. Repair any surface defects in sub floor including filling low spots and deterioration repairs to include replacing Underlayment on 2<sup>nd</sup> floors as needed.
- B. Install new VCT in interior rooms of the unit.
- C. Clean all VCT tile before sealing and waxing.
- D. At the end of the project, seal all VCT flooring, and apply two (2) coats of wax.

**1.02 RELATED WORK**

- A. Rough Carpentry.
- B. Finish Carpentry.
- C. Demolition.

**1.03 REGULATORY REQUIREMENTS**

- A. Conform to applicable sections of the code having jurisdiction.

**PART 2 - PRODUCTS**

**2.01 MATERIALS**

- A. Replacement tile shall be **Azrock V210**, 1/8" x 12" x 12".
- B. Every attempt must be made to prevent mixing of VCT lots in a room. If unavoidable, and with THA Representatives approval, mix lot boxes to provide variance.

**2.02 INSTALLATION**

- A. Ensure surfaces of sub-flooring materials are true, plumb, level, dry and ready for installation of new tile material before beginning Work.
- B. Do not begin work before inspection and approval by the THA Representative. Do not begin tile Work before preparation for installation of plumbing fixtures, cabinets, and miscellaneous fixtures, accessories and equipment.
- C. Replace all Vinyl Composition Floor Tile (VCT) with new materials.
- D. Every attempt must be made to prevent mixing of different lot #'s in a room. If unavoidable, and with THA Representatives approval, mix lot boxes to provide variance.
- E. Neatly caulk around fixtures, escutcheons, all corners and where tub and other plumbing fixtures and floor base meets tile.
- F. Cut and fit tile tight to protrusion and perpendicular installation.
- G. Follow Manufacturer's written instructions and recommendations for installation.
- H. Install materials true to lines and levels to provide surface flatness with maximum variation of 1/8 inch in ten (10) feet.
- I. Coordinate installation with other portions of the project work.

**END OF SECTION**

## SECTION 09900 PAINTING

### PART 1 - GENERAL

#### 1.01 WORK INCLUDED

- A. Before painting, make certain all drywall has been replaced, repaired, finished and textured.
- B. Sand, caulk clean and prepare all new surfaces to receive paint according to manufacturer's instructions.
- D. Paint all drywall surfaces.
- E. Paint all trim work.

#### 1.02 RELATED WORK

- A. 09250 – Gypsum Wallboard Systems

#### 1.03 REGULATORY REQUIREMENTS

- A. Apply all painting in accordance with the paint manufactures recommendations.
- B. Conform to applicable sections of the code having jurisdiction.
- C. Submit paint data and color match samples for approval prior to painting.

### PART 2 - PRODUCTS

#### 2.01 MATERIALS

- A. Exterior Acrylic Paint: Glidden Professional –SATIN Sheen (Limited Lifetime Warranty), or approved equal.
- B. Interior Surfaces (New)
  - 1. Latex primer (Sherwin Williams (or equal)
  - 2. Finish coat: Sherwin Williams (or equal) interior latex, low sheen; THA Bone White.
- C. Interior Surfaces (Existing).
  - 1. Prime with Kilz or equal
  - 2. Finish coat: Sherwin Williams interior latex, low sheen; THA Bone White
- D. Exterior Surfaces: Sherwin Williams Professional – SATIN Sheen or approved equal. Color to match existing

### PART 3 EXECUTION

#### 3.02 EXECUTION

- A. Surfaces to be painted should be prepared and primed according to the manufacturers recommendations.
- B. Existing surfaces shall be protected from over spray or splatters. Any existing surface damaged, shall be cleaned up and/or painted as needed.
- C. Paint all **interior** surfaces with two (2) coats of ***Sherwin Williams (or equal)*** THA Bone White, low sheen, according to manufacturer's instructions.
- D. Paint all exterior surfaces with two (2) coats: Glidden Professional SATIN Sheen (or equal) according to manufacturers instructions.

END OF SECTION

**SECTION 15400**  
**PLUMBING**  
**Page 1 of 2**

**PART 1 - GENERAL**

**1.01 WORK INCLUDED**

1. Contractor to obtain required permits by local authorities and present a copy of same along with contractor's license to THA representative before beginning work.
2. As needed, replace bathtub, surround, faucet & shower head in bathroom.
3. As needed, replace bathroom Vanity cabinets, with vanity sink top and Faucets.
4. As needed, replace toilet, complete with seat and all accessories – including toilet paper holders.
5. As needed, replace medicine cabinet.
6. As needed install new natural gas water heater equivalent to existing..
7. As needed replacement of flue pipes as required by Code.
  - a. This may/may not include replacement of any single wall vent pipe, removal of screws, pipes with screws in them, and adjustment of pipe to meet 1" clearance which may require roof repairs around the vent stack.
8. As needed, modify or replace existing gas lines to meet Code.
9. As needed, provide and install all new plumbing components related to installation of new units.
10. As needed, provide and install electrical components if required.
11. As needed, replacement of flue caps, pipes as needed.
12. As needed, replace all parts or components of water heater as may be required for complete system to operate as according to code and function per manufacturer's design, performance standards and installation recommendations with one-year warrantee for service, parts and labor per state and local building codes.
13. Contractor shall provide and attach information stickers to each tank with model #, serial #, efficiency rating, contract #, name of contractor, date of installation, and warranty period.

**1.02 SUBMITTALS**

- A. Submit COPIES OF all manufacturer's instructions and product sheets for all equipment with warranties.

**1.04 REGULATORY**

- A. Conform to applicable sections of the code having jurisdiction.

**PART 2 - PRODUCTS**

**2.01 MATERIALS**

- A. Tub Swanstone BT-3060 or approved equal..
- B. Tub surround – Swanstone RM-58 or approved equal
- C. C. Tub and shower faucet Delta Foundations 1-Handle Tub and Shower Faucet in Chrome model # B114900 (or approved equal).
- D. Delta Foundations Center set 1 Handle Bathroom Faucet model # B510LF (or approved equal).

**2.02 ACCESSORIES**

Use only new accessories designed to be compatible with existing components and equipment.

**2.03 INSTALLATION**

- A. The Contractor shall set and secure materials and components in place, plumb, level and true to match existing finishes.
- B. Verify all related items of Work are placed and ready for replacement of items of work included in this section.
- C. Install all equipment in accordance with manufacturer's instructions and prevailing industry standards in a neat and workmanlike manner.
- D. Acceptance of Work is subject to the approval of the THA Representative.

**SECTION 15400**  
**PLUMBING**  
**Page 2 of 2**

- E. This Contractor shall guarantee to the Owner all work performed under this contract to be free from defects in material and workmanship for a period of one (1) year from date of final acceptance. Contractor shall also guarantee the work to be rigidly and securely supported and anchored, and that piping and apparatus will be free from vibration, buckling, water hammer, etc. This Contractor shall promptly correct latent defects arising within one-year period, upon notification by and without additional cost to the Owner.

**SCHEDULES:**

**PIPE AND TUBE**

- A. Copper Water Tube: ASTM B88, Type L hard; soft. Or PEX Approved equal.  
 B. PVC Drain, Waste and Vent Pipe: ASTM - D2729.  
 C. Steel Pipe: ASTM A53.  
 D. Pipe, Fittings and Joints shall be as follows:

| SERVICE                                                               | PIPE                 | FITTINGS | JOINTS                                        |
|-----------------------------------------------------------------------|----------------------|----------|-----------------------------------------------|
| A. Domestic Water and T & P Valve                                     | Type L Copper or PEX | Wrought  | Sweat                                         |
| B. Soil, Waste & Vent above and below ground                          | PVC, DWV             | PVC, DWV | Cement                                        |
| C. Soil & Waste below ground beyond 5' outside unless noted otherwise | 10" and smaller      | PVC, DWV | Cement                                        |
| D. Water Service                                                      | PVC                  | PVC      | Cement<br>Threaded at P-Trap<br>and Clean-Out |
| E. Gas Service                                                        | Steel                | Steel    | Threaded                                      |

**END OF SECTION**

**SECTION 15500  
HEATING AND AIR CONDITIONING  
PAGE 1 OF 2**

**PART 1 - GENERAL**

**1.02 WORK INCLUDED**

- A. Obtain all required permits for HVAC installation. Present to THA Representative before beginning work.
- B. Determine proper sizing and installation of new system with new, 80% AFUE Furnaces, vents and related material for proper installation and functioning according to local codes.
- C. **Contractor shall size the units for proper heating operation.**
- D. Any and all necessary sheet metal fabrication or installation for new system ensuring proper fit with existing supply and return ductwork.
- E. Install new seven (7) day programmable thermostat.
- F. Final start-up and check of newly installed system for proper operation pursuant to manufacturer's recommendations.
- G. Contractor shall provide all labor, operations, miscellaneous materials and equipment necessary to complete this Section's work.
- H. Prior to final payment the contractor shall submit a list of information, containing the address of installation, serial numbers from all equipment, and the city inspection sticker number.
- I. Contractor shall label all new equipment with Serial #, Model #, Contractor's information including contact name, permit number and warranty dates.

**1.02 RELATED WORK**

- A. None

**1.03 SUBMITTALS**

- A. Contractor shall submit all material data for specified system and products for approval by THA prior to purchasing or installing any materials.
- B. All submittal approvals are for product acceptance only. Contractor shall be responsible for the design of the mechanical system.

**1.04 REGULATORY**

Conform to applicable sections of the code having jurisdiction.

**PART 2 - PRODUCTS**

**2.01 DUCTWORK**

- A. Seal all existing ductwork for leaks to include supply and return plenums, starting collars, fittings in duct run, splices and terminations to supply registers with water-based mastic appropriate for application according to manufacturer's instructions and local building code requirements. Mastic should be labeled UL 181.
- B. Contractor shall install and paint new gypsum wallboard in areas where removed to provide access to the ductwork.
- C. Flex duct may be used for additional runs of ductwork if needed, or as a replacement of existing duct. Contractor field verify requirements prior to bidding.

**2.02 HVAC EQUIPMENT**

- A. Contractor shall furnish a new 80% AFUE Furnace, vents and related material for proper installation utilizing existing ductwork. Manufacturers will be approved prior to purchase by the Housing Authority of the City of Tulsa
- B. Furnace shall be a natural gas system. All gas piping shall be installed in a professional and sturdy location. Gas piping shall be routed in a manner that leaves minimal obstructions or limitations for filter replacement and periodic maintenance.

**2.02 ACCEPTABLE MANUFACTURERS**

- A. Furnace – Goodman, Trane, Carrier, or approved equal. Approved equal shall provide ten year parts limited warranty
- B. Thermostat – Seven day Programmable

**SECTION 15500**  
**HEATING AND AIR CONDITIONING**  
**PAGE 2 OF 2**

**PART 3 - EXECUTION**

**3.01 INSTALLATION**

- A. Obtain all necessary permits from local authorities; present to THA representative before beginning work.
- B. Thoroughly clean all existing duct work.
- C. Install all new HVAC equipment in accordance with manufacturer's instructions and prevailing industry standards in a neat and workmanlike manner.
- D. Repair any penetrations and openings in roof to match with existing roof system.
- E. Fabricate and install transition ductwork to mate new furnace to existing duct systems and seal penetration as required.
- G. Provide all necessary materials to connect existing or updated gas and electrical service to new unit.
- H Provide startup and check out of new unit per manufacturer's instructions.
- I. Balance all duct systems to obtain the quantities of air to each area per ASHRAE guidelines. Check the adjustment and operation of all temperature control equipment. Eliminate excessive noises in air distribution system. Replace any and all filters immediately prior to final acceptance. Contractor shall be responsible for final start-up and check of newly installed system for proper operation pursuant to manufacturer's recommendations.
- J. Secure all connections with positive fastening and mastic to minimize air loss from the system.
- K. Provide and install new vents, filter(s) and grills as needed.
- L. THA has salvage rights to any equipment removed. Contractor verifies salvage wishes prior to removing equipment from THA property.
- M. Thoroughly clean any existing supply and return vents, prior to reinstalling.
- N. Meet the heating requirements of the new system. All new registers and grilles should be selected to optimize room air distribution and airflow within the occupied space.
- O. Remove construction debris from site daily.
- P. Use of dumpsters located on property is prohibited.

**END OF SECTION**

# **LIST OF THA FIXTURE AND APPLIANCE SPECIFICATIONS**

## **PORCH LIGHT FIXTURES**

**LUMENOSITY LED 20W Wallpack – V70 w 208-277v Photo Cell Porch Light Fixture (or approved equal).**



1. Fiberglass Insulation: R-19, paper backed.
2. Interior doors, hardboard smooth
  - a. THA item # 10266 Luan HC 2'-8" x 6'-8" x 1-3/8"
  - b. # 10267: Luan HC 3'-0" x 6'-8" x 1-3/8"
- 4.. Interior door locksets
  - a. Passage: THA item # 00078: Kwikset Passage 2-3/\*" # 200T.
  - b. Privacy, THA item # 00079: Kwikset Privacy # 900Z55.
- 5 Casing
  - a. THA item # 12401: Sanitary 3"
  - b. THA item # 12402: K, 3".
- 6 Medicine Cabinet – THA item #01752: 16"x20" mirrored recessed.
- 7 Bathroom hardware, complete, standard grade, THA item #'s
  - a. Lavatory, item # 00137: Delta #501P.
  - b. Tub Handle () item # 00278: Price-Fister # 216069.
- 8 Bathtub Surrounds ; Adhesive set on backer board, replace with **Swan Stone** Model #RM-58 and all necessary accessories.
- 9 Bathroom exhaust fan, THA item # 00145: Broan # 688-L538.
- 10 Light fixtures – bathroom, bedroom, hall,
  - a. Bedroom – THA item # 10023: Angelo 81828 14".
  - b. Bedroom – THA item # 11005: Angelo 81820 14".
  - c. Hall – THA item # 11289: Angelo 85606 6".
  - d. Kitchen – THA item # 00691: Angelo #81616 10".
- 11 Smoke detector, THA item # 10166: Hard wired & TSAH, 9 Volt.
- 12 Refrigerator-- Hotpoint energystar 15.6 cu ft. top-freezer model HTN16BBEWW
- 13 Stove—Hotpoint 30" free standing gas range model RGB508PEF
- 14 Air conditioner—Frigidaire home comfort model 18,000BTU or approved equal.
- 15 **All cabinetry, both kitchen and bathroom, - including kitchen counter tops to be ordered and purchased by contractor.**

3608 N. Quaker

425-7539

COMANCHE PARK  
HOUSING AUTHORITYHUD OKLA 73-3  
OF THE CITY OF TULSA

# ***HOUSING AUTHORITY OF THE CITY OF TULSA***

## **CONTRACT FOR INSERT TITLE HERE FOR THE HOUSING AUTHORITY OF THE CITY OF TULSA**

**THIS AGREEMENT** (also referred to as “Contract”), made and entered into this \_\_\_\_\_ day of \_\_\_\_\_, in the year Two Thousand Nineteen, by and between **INSERT LEGAL NAME OF ENTITY HERE** a Corporation organized and existing under the laws of the State of Oklahoma, hereinafter referred to as “**CONTRACTOR**”, and the **HOUSING AUTHORITY OF THE CITY OF TULSA**, hereinafter referred to as “**THA**”.

**WITNESS THIS DAY**, the **CONTRACTOR** and **THA** for the consideration stated herein mutually agrees as follows:

**ARTICLE 1: TERM OF CONTRACT.** The Contract shall start on the date indicated in the Notice to Proceed from **THA** to **CONTRACTOR** to complete all work of this contract.

**ARTICLE 2: GENERAL CONDITIONS.** The **CONTRACTOR** will meet all State and Local government insurance, licensing, training and other requirements pursuant to the specifications as set out in Article 6 herein.

**ARTICLE 3: INDEMNIFICATION.** The **CONTRACTOR** agrees to assume all risk of loss and to indemnify, defend and hold **THA**, its directors, officers, employees and agents harmless from and against any and all liability that **THA**, its Board of Commissioners, its directors, officers, volunteers, employees and agents, may sustain as a result of all claims, damages, liabilities, demands, suits, losses, causes of action, fines or judgments, including costs, attorneys’ fees, and witnesses’ fees, and expenses incident thereto, bodily injury, death, or property arising out of or in connection with Service Provider’s services under this Agreement, but only to the extent caused by the negligent or intentional acts or omissions of Contractor. **THA**, its directors, its Board of Commissioners, officers, employees and agents, shall also be entitled to recover attorneys’ fees incurred in establishing its right to indemnification. In the event that any demand or claim is made or suit is commenced against **THA** arising from or in connection with this Agreement, **THA** shall give prompt written notice thereof to **CONTRACTOR** and **CONTRACTOR** shall have the right to compromise or defend the same to the extent of its own interest. **CONTRACTOR** also agrees to indemnify and hold **THA** harmless should any goods or services provided by **CONTRACTOR** under this Agreement, infringe upon the patent, copyright or trade secret of another.

1.1 The **CONTRACTOR** must furnish a certificate of Auto Liability Insurance, General Liability and/or Errors & Omissions Insurance and to furnish both State and Federal Tax Identification numbers. **THA** requires that the **CONTRACTOR** have Worker’s Compensation Insurance and a minimum of \$1,000,000.00 General Liability and/or Errors & Omissions insurance and automobile liability, and further that **THA** be a named insured on all policies. All services rendered there under must be performed in a professional workmanship manner.

1.2 Upon **THA** furnishing **CONTRACTOR** a notice of claim against **THA** for damages as a result of alleged actions by **CONTRACTOR** personnel, **CONTRACTOR** is to immediately notify its insurance carrier and request their carrier’s investigation and process of the subject claim on behalf of **THA**.

**ARTICLE 4: SCOPE OF SERVICES.** The services to be rendered by **CONTRACTOR** under this contract shall consist of a **STATE SERVICES HERE** for the Housing Authority of the City of Tulsa, all pursuant to the Contract Documents as set forth in Article 6 herein.

**ARTICLE 5: COMPENSATION.** The total contract amount shall be for **INSERT CONTRACT AGREEMENT AMOUNT HERE and 00/100 Dollars (\$0.00)**. Payment will be made by **THA** to **CONTRACTOR** in a lump sum or following billing submitted to **THA** by **CONTRACTOR**.

**DOCUMENTS 00500**  
**AGREEMENT FORMS**  
**SAMPLE FORM – CON'T**

Prior to any payment, THA shall have the right to verify any aspect of the CONTRACTOR's work and performance. Work and performance shall be acceptable to THA prior to any payment. THA shall have thirty (30) days to process a correct and itemized payment request/invoice, in accordance with THA Policy and Department of Housing & Urban Development, to CONTRACTOR.

**LIQUIDATED DAMAGES.** Liquidated damages of **\$250.00** per day will be assessed for each day exceeding the scheduled completion date.

**ARTICLE 6: CONTRACT DOCUMENTS.** Shall consist of the following:

1. Invitation for Bid issued on \_\_\_\_\_.
2. Sealed Bid received from CONTRACTOR, dated \_\_\_\_\_.
3. Contract dated \_\_\_\_\_.

**ARTICLE 7: PERFORMANCE OF SERVICES.** The services provided under this contract are solely for the benefit of THA and neither this contract nor any services rendered hereunder confer any rights on any other party as a third-party beneficiary or otherwise.

**ARTICLE 8: CONTRACT TERMINATION GENERALLY.** THA shall thereupon have the right to terminate this contract, in whole or in part, at its sole discretion. THA will articulate to the CONTRACTOR at the time of termination the reason for the termination of this contract is "For Cause, For Convenience, For Lack of Funding, Assignability or another type of breach by the CONTRACTOR." Without prior written consent by an authorized representative of THA, THA will not be responsible, in whole or in part, for making payment, in whole or in part, to a contractor or other third-party that is not a party to the instant Contract unless an authorized THA representative does so in writing.

**ARTICLE 9: CONTRACT TERMINATION FOR CAUSE.** Notwithstanding the above, if, through any cause, the CONTRACTOR shall fail to fulfill in a timely and proper fashion its obligation under this Contract, or if the CONTRACTOR shall violate any of the covenants, agreements, or stipulations of this Contract, THA shall thereupon have the right to terminate this Contract by giving written notice to the CONTRACTOR of such termination and specifying the effective date thereof, at least thirty (30) days prior to the effective date of such termination. In that event, the CONTRACTOR shall be entitled to receive just and equitable compensation for any satisfactory work completed to that date.

**ARTICLE 10: CONTRACT TERMINATION FOR CONVENIENCE.** Notwithstanding the above, THA may terminate this Contract in whole or in part when both parties agree the continuation of the project would not produce beneficial result commensurate with the further expenditure of funds. The two parties shall mutually agree upon the termination conditions, including the effective date, and in the case of partial termination, for a portion terminated. The CONTRACTOR shall not incur new obligations for the terminated portions after the effective date, and shall cancel as many outstanding obligations as possible.

**ARTICLE 11: CONTRACT TERMINATION FOR LACK OF FUNDING.** Notwithstanding the above, all terms of this Contract are contingent upon allocated funding to THA for this particular project. In the event, such allocated funding for this particular project is eliminated or withdrawn from THA by THA's funding source, THA shall thereupon have the right to terminate this Contract by giving written notice to the CONTRACTOR of such termination and specifying the effective date thereof, at least thirty (30) days prior to the effective date of such termination. In that event, the CONTRACTOR shall be entitled to receive just and equitable compensation for any satisfactory work completed to that date.

**ARTICLE 12: FORCE MAJEURE.** THA can terminate this Contract under this clause for an event or cause that is reasonably beyond the control of THA claiming the existence of such event or cause, which includes, but is not limited to, a flood, storm, tornado, hurricane, earthquake, or other similar Act of God such as a fire, environmental catastrophe,

**DOCUMENTS 00500**  
**AGREEMENT FORMS**  
**SAMPLE FORM – CON'T**

war, a civil disturbance, terrorist act, a labor dispute, inability to immediately comply with a law, order rule or regulation of law, a governmental action or delay in granting necessary permits or permit approvals or the inability to secure any materials THA deems material meaning THA cannot reasonably continue, in whole or in part, in the Contract. THA shall give notice and details of the reason invoking this Article in writing to the CONTRACTOR as promptly as possible after its occurrence. In such cases, the obligations of THA shall be suspended during the continuance of any inability so caused. Should a condition of Force Majeure continue for more than thirty consecutive (30) days, THA shall thereupon have the right to terminate this Contract by giving written notice to the CONTRACTOR of such termination and specifying the effective date thereof, at least ten (10) days prior to the effective date of such termination.

**ARTICLE 13: ASSIGNABILITY.** The CONTRACTOR shall not assign any interest in this Contract, and shall not transfer any interest in the same, without the prior written consent of THA thereto; provided, however, that claims for money due or to become due to the CONTRACTOR from THA under this Contract may be assigned to a bank, trust company, or other financial institution without such approval.

**ARTICLE 14: ASSURANCES.** The CONTRACTOR hereby assures and certifies that it will comply with all regulations, policies, guidelines, and requirements promulgated by THA, by agencies providing funding to THA, or by all other parties with any direct or indirect interest in the work to be performed under the scope of this Contract. The CONTRACTOR will give THA or any authorized representatives of THA access to and the right to examine all records, books, papers, or documents which are related to this Contract.

**ARTICLE 15: ENFORCEABILITY.** The failure of THA and/or the CONTRACTOR to enforce its rights under this Contract at any time for any period shall not be construed as a waiver of rights. If any part, term or provision of this Contract is held to be illegal or unenforceable neither the validity, nor enforceability of the remainder of this Contract shall be affected. This Contract may not be amended for any other reason without the prior written agreement of THA and the CONTRACTOR. This Contract constitutes the entire understanding between THA and the CONTRACTOR relating to the subject matter hereof unless any representation or warranty made about this Contract was made fraudulently and, save as may be expressly referred to or referenced herein, supersedes all prior representations, writings, negotiations or understandings with respect hereto.

**ARTICLE 16: LIMITATION ON DAMAGES.** In no event shall the CONTRACTOR have any liability under this Contract or otherwise in connection with the transactions contemplated hereby for lost profits, lost sales, business interruption or lost business opportunities, punitive, speculative, indirect or consequential damages relating to the breach of alleged breach of this Contract whether or not the possibility of such damages have been disclosed to the CONTRACTOR in advance or could have been reasonably foreseen by THA or for any other damages that rare not the probable and reasonably foreseeable result of any breach herein, but excluding in each case the lost profits, lost sales, business interruption or lost business opportunities, punitive, speculative, indirect or consequential damages suffered or incurred by a third-party for which responsibility is allocated to the CONTRACTOR. Notwithstanding the foregoing, nothing included in this Article shall limit the right of THA or the CONTRACTOR to specific performance. The CONTRACTOR and THA hereby waive and release any and all tort claims and causes of action that may be based upon, arise out of or relate to this Contract, or the negotiation, execution or performance of this Contract (including any tort claim or cause of action based upon, arising out of or related to any representation or warranty made in or in connection with this Contract or as an inducement to enter into this Contract and including fraud and fraudulent inducement).

**ARTICLE 17: JURISDICTION IF CONTRACT IS BREACHED.** This Contract shall be governed by the laws of the state of Oklahoma, and THA and the CONTRACTOR agree to submit disputes arising out of or in connection with this Contract to the non-exclusive of the courts in the state of Oklahoma.

**DOCUMENTS 00500  
AGREEMENT FORMS  
SAMPLE FORM – CON'T**

**IN WITNESS WHEREOF**, the parties hereto have caused this instrument to be executed in three (3) original counterparts as of the day and year first above written.

**INSERT CONTRACTOR NAME HERE**

ATTEST: \_\_\_\_\_

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

TITLE: \_\_\_\_\_

**INSERT CONTRACTOR ADDRESS & PHONE HERE**

OF TULSA

**HOUSING AUTHORITY OF THE CITY**

ATTEST: \_\_\_\_\_

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

TITLE: Contracting Officer

415 East Independence  
Tulsa, OK 74106  
918/582-0021

**CERTIFICATION:**

**(Execution of this section is required if CONTRACTOR/Service Provider operates under a limited liability corporation, limited liability partnership, a partnership agreement, joint venture and/or corporation. Fill in your legal name and name of the respective business entity that is entering into this Contract/Agreement below.)**

I, \_\_\_\_\_, certify that I am the \_\_\_\_\_ of the \_\_\_\_\_ named as CONTRACTOR herein, that \_\_\_\_\_ who executed this Contract on behalf of the CONTRACTOR was the \_\_\_\_\_ of said \_\_\_\_\_ at the time of the execution, and that (he/she) executed the within and foregoing instrument, and acknowledged the same to be the free and voluntary act and deed of said \_\_\_\_\_ for the uses and purposes therein mentioned, and on oath, I certify that (he/she) was authorized by the governing body of the said \_\_\_\_\_ to execute said instrument on behalf of said \_\_\_\_\_ named herein.

\_\_\_\_\_  
CORPORATE SEAL

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

**DOCUMENTS 00700  
GENERAL REQUIREMENTS****MINORITY BUSINESS ENTERPRISE PARTICIPATION**

Under guidelines established by the US Department of Housing and Urban Development for implementation of Executive Order 12432, the HOUSING AUTHORITY OF THE CITY OF TULSA promotes the participation of Minority and Women Business Enterprises (M/WBEs) and Section 3 firms in contracts involving its housing programs. It is the goal of the Housing Authority of the City of Tulsa that certain percentages of the dollar value of contracts and subcontracts let, in connection with its programs, be awarded to M/WBEs and/or Section 3 firms. These goals include: Ten percent (10%) of the dollar value of the total of contracts awarded and purchases made for management operations; and Twenty percent (20%) of the dollar value of the total contracts awarded and purchases made with modernization funds.

**The term “Minority and Women Business Enterprises” means businesses of which at least 51 percent are both owned and controlled in management and daily operations by minorities or women. The term “Minorities” includes, but is not limited to, African Americans, Hispanic American, Native Americans, Asian Americans, and Hasidic Jewish Americans. The term Section 3 refers to low and very low income businesses and businesses with employees who are recipients of HUD assistance for housing.**

Information or assistance on minority business enterprises can be obtained from the Construction Services Department.

**DOCUMENTS 00700  
GENERAL REQUIREMENTS****Housing Authority of the City of Tulsa Goals  
Minority / Women Business Enterprises and Section 3**

The HOUSING AUTHORITY OF THE CITY OF TULSA of the City of Tulsa (THA) notifies all bidders that in regard to any contract entered into, Minority and Women Business Enterprises (M/WBEs) and Section 3 firms will be afforded equal opportunity to submit bids and will not be discriminated against on the grounds of race, color, sex, national origin or financial status in consideration of an award.

Bidders of contracts shall agree to meet established THA M/WBE and Section 3 goals or shall demonstrate and document "to the greatest extent feasible" efforts to include minority, women-owned and Section 3 business firms in subcontract awards. These firms shall submit with their bids the "Letter of Assurance 'A'"—Schedule of Subcontractors/Suppliers Bid Solicitation.

Contractors who propose to perform the entire contract with their own work forces, without the use of Subcontractors, are required to submit with their bids documentation of their intent to make material purchases of goods, equipment and other services from M/WBEs and/or Section 3 firms, or document its effort to the greatest extent feasible to do so. These firms shall submit with their bid "Letter of Assurance 'B'"—Work Force Statement. Those firms utilizing their own forces must also submit information sufficient for THA to determine their demonstrated capabilities and that it is a normal business practice to perform the contract without the use of Subcontractors.

"To the greatest extent feasible" shall be defined and demonstrated by a Contractor's effort to solicit M/WBEs and/or Section 3 firms to bid on subcontracts and/or their effort to purchase goods and supplies from M/WBE and/or firms and/or their efforts to hire M/WBEs and/or Section 3 individuals.

A bidder who fails to adequately document their effort "to the greatest extent feasible" to subcontract with M/WBE and/or section 3 firms or to purchase significant material supplies from M/WBE'S and/or section 3 firms may be denied award of the contract by THA on the basis of the contractor's failure to be a "responsible bidder" and a "responsive bidder". The forms (letter of assurance "a" - schedule of subcontractor/supplier bid solicitation and letter of assurance "b" - work force statement) must be completed by all bidders and submitted with their bids in order for their bids to be considered.

Information obtained will be retained by THA as permanent records of the prime Contractor's effort "to the greatest extent feasible" to meet the goals set by THA.

**DOCUMENTS 00700**  
**GENERAL REQUIREMENTS**

**CIVIL RIGHTS COMPLIANCE**

The Equal Opportunity Requirements and Goals are in effect, along with the following Civil Rights Acts, as Amended, and Executive Orders, as Amended. The following must be complied with and included as part of this bid.

1. Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. 2000-2000d-4), CFR 4, Part 1
2. Title VII of the Civil Rights Act of 1968, as amended (42 U.S.C. 3601)
3. Executive Orders - No. 11063
4. Fair Housing Act (42 US C. 3601-36), 24 CFR Part 135
5. Section 3 of the HUD Act of 1975
6. Age Discrimination Act of 1975, (42 U.S.C. 6101 et seq.), 24 CFR Part 146
7. Section 504 of the Rehabilitation Act of 1973, (29 U.S.C. 794) - 29 CFR Part 8
8. Physical Accessibility - Architectural Barriers Act of 1968 (42 US C. 4151-4157); 24 CFR Part 40; Section 504 of the Rehabilitation Act of 1973 (24 CFR Part 8); Fair Housing Act (24 CFR Part 100)

For reference, refer to:  
HUD Manual #7417.1 (Rev. 1)  
Pages 3-31 through 3-36 10/80

**LABOR PROVISION**

1. DAVIS-BACON AND RELATED ACT, AS AMENDED (40 U.S.C. 276) "DBRA"
2. CONTRACT WORK HOURS AND SAFETY STANDARDS ACT, AS AMENDED, 40 U.S.C. 328 "CWHSSA"
3. COPELAND ACT (ANTI-KICKBACK ACT), AS AMENDED, 40 U.S.C. 276 ©
4. FAIR LABOR STANDARDS ACT, AS AMENDED - 29 U.S.C. 202 ET SEQ. "FLSA"
5. AMERICANS WITH DISABILITIES ACT OF 1990

For reference, refer to:  
Federal Labor Standards Compliance  
HUD Manual 1344.1, 12/83

Rev. 1/95  
kss

**BID FORMS -**

DOCUMENTS 00300  
 BID FORMS  
 PAGE 1 OF 2

**HOUSING AUTHORITY OF THE CITY OF TULSA  
 FORM OF BID**

**Bid Deadline: MAY 7, 2019, @ 10:00 am**

- 1.1 PROJECT: 19-026 UNIT MODERNIZATION AT COMANCHE PARK 73-03**
- 1.2 LENGTH OF CONTRACT: Not to Exceed 120 Calendar Days. All work shall be completed pursuant to the dates stated in the Notice to Proceed. Contract Start Dates for the Three (3) Sections on the Notice to Proceed will be same date. Liquidated damages will be assessed at \$250.00 per day thereafter. Contractors may submit bids on any or all the three sections. A Contract will be awarded to the Low Responsive Bidder of Section 2. A Contract will be awarded to the Low Responsive Bidder of Section 3&4. A Contract will be awarded to the Low Responsive Bidder of Section 5.**
- 1.3** The undersigned, having familiarized themselves with the conditions affecting the cost of the work, the Form of Contract, as prepared by the Housing Authority of the City of Tulsa, 415 E. Independence, Tulsa, Oklahoma 74106, hereby proposes to furnish all Permits, Licenses, Insurance, Labor, Materials, Equipment, Services, Freight, Applicable Taxes and Fees required to perform the duties as per THA Specifications for ITEMS LISTED ABOVE, at the above identified location for the following amount:
- 1.4 PLEASE ENTER BASE BID AMOUNT FOR THE FOLLOWING: IFB 19-026 UNIT MODERNIZATION AT COMANCHE PARK**

**Section 2 - 15 Apartments**

\$ \_\_\_\_\_  
 NUMERICAL

\$ \_\_\_\_\_  
 WRITTEN

**Section 3&4 - 14 Apartments**

\$ \_\_\_\_\_  
 NUMERICAL

\$ \_\_\_\_\_  
 WRITTEN

**Section 5 - 16 Apartments**

\$ \_\_\_\_\_  
 NUMERICAL

\$ \_\_\_\_\_  
 WRITTEN

- 1.6 Addenda Acknowledgment: the following addenda have been received and are part of this bid.**

Addenda No. 1, dated \_\_\_\_\_

Addenda No. 2, dated \_\_\_\_\_

**19-026 UNIT MODERNIZATION AT COMANCHE PARK (73-03)**  
**HOUSING AUTHORITY OF THE CITY OF TULSA**  
**FORM OF BID**

**1.8 BID ACCEPTANCE OR REJECTION:** The Authority reserves the right to accept or reject any or all bids; to waive minor irregularities or formalities. Price alone will not be the sole determining criteria in awarding of bid.

**1.9 M/WBE / SECTION 3 CERTIFICATION**

A M/WBE is a business in which a woman or a minority owns and operates at least 51% of the business. (See minority list at bottom of this page.)

A Section 3 business concern is one that provides economic opportunities for a class of persons that has a majority controlling interest in the business; employs a substantial number of such persons; or meets such other criteria as the Secretary of HUD may establish.

☐ - is a M/WBE                      ☐ - is not a M/WBE

☐ - is Section 3                      ☐ - is not Section 3

**1.10 COMPANY NAME:** \_\_\_\_\_

**ADDRESS:** \_\_\_\_\_ **CITY:** \_\_\_\_\_ **STATE/ZIP:** \_\_\_\_\_

**PHONE NUMBER:** \_\_\_\_\_ **FEIN NUMBER:** \_\_\_\_\_

**E-MAIL:** \_\_\_\_\_

**SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**PRINT NAME:** \_\_\_\_\_ **TITLE:** \_\_\_\_\_

**NAME OF COMPANY OWNER:** \_\_\_\_\_

**1.11 All Documents, Specifications and Plans within this bid package are as fully a part of this Form of Bid as if hereto attached or herein repeated.**

In submitting this bid, it is understood the right is reserved by the HOUSING AUTHORITY OF THE CITY OF TULSA to reject any and all bids. No bid shall be withdrawn for a period of sixty (60) days subsequent to the opening of bids without the consent of the HOUSING AUTHORITY OF THE CITY OF TULSA.

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**MINORITIES: Black American, Native American, Hispanic American, Asian/Pacific American, Hasidic Jew**

**DOCUMENTS 00600**  
**BONDS AND CERTIFICATES**  
**BID BOND**

**FORM OF BID BOND**

**KNOW ALL MEN BY THESE PRESENTS**, that we the undersigned, \_\_\_\_\_  
as **PRINCIPAL**, and \_\_\_\_\_, as Surety, are held and firmly bound unto the  
**HOUSING AUTHORITY OF THE CITY OF TULSA**, hereinafter call the "THA" in the penal sum of \_\_\_\_\_  
\_\_\_\_\_, Dollars, lawful money of the  
United States, for the payment of which sum well and truly to be made, we bind ourselves, our heirs, executors, administrators,  
successors and assigns jointly and severally, firmly be these present.

**THE CONDITION OF THIS OBLIGATION IS SUCH** that whereas the principal has submitted the accompanying bid, dated,  
\_\_\_\_\_, 2019, for: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**NOW, THEREFORE**, if the principal shall not withdraw said bid within the period specified therein after the opening of the same, or  
if no period be specified, within sixty (60) days after the said opening, and shall within the period specified therefore, or, if no period  
be specified, within ten (10) days after the prescribed forms are presented to him for signature, enter into a written contract with THA  
in accordance with the bid as accepted, and give with good and sufficient surety or sureties, as may be required for the faithful  
performance and proper fulfillment of such contract; or in the event of the withdrawal of said bid within the period specified, or the  
failure to enter into such contract and give such bond within the time specified, if the principal shall pay THA the difference between  
the amount specified in said bid and the amount for which THA may produce the required work or supplies or both, if the latter amount  
be in excess of the former, then the above obligation shall be void and of no effect, otherwise to remain in full force and virtue.

**BONDS REQUIRED**

A Bid Bond shall be submitted with each bid equal to 5% of the total bid submitted. The Bond may be a Surety Company Bond, a  
Certified Check, Bank Draft or US Government Bonds. All must be acceptable and payable to the HOUSING AUTHORITY OF THE  
CITY OF TULSA. **NOTE: Personal or Company Checks will not be acceptable.**

A Performance and Payment Bond and a Defect Bond, for the amount of the project, will be required.

**DOCUMENTS 00600**  
**BONDS AND CERTIFICATES**  
**BID BOND**

IN WITNESS WHEREOF, the above-bounded parties have executed this instrument under their several seals this \_\_\_\_\_ day of \_\_\_\_\_, 2019, the name and corporate seal of each corporate party being hereto affixed and these presents duly signed by its undersigned representatives, pursuant to authority of its governing body.

In presence of:

\_\_\_\_\_ ( SEAL )  
 ( Individual Principal )

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

ATTEST:

\_\_\_\_\_ (Corporate Principal)

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

( SEAL )

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

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

\_\_\_\_\_ (Corporate Surety)

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

TITLE: \_\_\_\_\_

( Power of Attorney for person signing for surety company must be attached to bond. )

I, \_\_\_\_\_, certify that I am the \_\_\_\_\_ Secretary of the Corporation named as principal in the within bond; that \_\_\_\_\_, who signed the said bond on behalf of the principal was then \_\_\_\_\_ of said corporation; that I know his signature, and his signature thereto is genuine; and that said bond was duly signed, sealed and attested to for and in behalf of said corporation by authority of its governing body.

\_\_\_\_\_ (CORPORATE SEAL)

DOCUMENTS 00600  
BONDS AND CERTIFICATES  
PROOF OF INSURANCE

## PROOF OF INSURANCE

IN ADDITION TO COMPLETING THIS FORM, A COPY OF YOUR CERTIFICATES OF INSURANCE (MEETING THE LIMITS SPECIFIED FOR THIS PROJECT) MUST BE ATTACHED TO THIS SHEET.

CONTRACTOR: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

\_\_\_\_\_

SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_

### **REMINDER**

**INSURANCE:** The Contractor must furnish Certificates of **Workers Compensation, General Liability, and Automobile Insurance**. THA requires that all Contractors have a **minimum of \$1,000,000.00** each of General Liability and Automobile Liability, per occurrence. **Certificate of Insurance shall include THA named as additional insured for the duration of this contract. Contract will not be awarded to a Contractor who cannot provide proof of insurance in the required amounts. Evidence of Insurance must be included with Sealed Bid.**

**DOCUMENTS 00600**  
**BONDS AND CERTIFICATES**  
**BIDDER QUALIFICATIONS**

**STATEMENTS OF BIDDER'S QUALIFICATIONS**

Submit on (a) separate sheet (s) the following information and data. Information should be clear and comprehensive.

1. Name of Bidder.
2. Permanent main office address.
3. When organized.
4. State whether bidder is a corporation, partnership, or sole proprietor.
5. If Corporation, give date and State of incorporation.
6. Number of years engaged in contracting business under present name.
7. Contracts in progress (gross amounts of contracts, estimated completion dates, project owner, and architect) and completed projects for the previous three years.
8. General character of work performed by your company.
9. Report any failures to complete work awarded to you, (where, when, and why). Report any contracts on which you have defaulted.
10. Provide name and address of bonding company and name and address of agent.
11. Three business references (include name, address, and phone number).
12. Submit financial statement no more than sixty (60) days old. (To be submitted by the apparent low bidder, within ten (10) days after bid opening and prior to contract award.)

**DOCUMENTS 00700**  
**GENERAL REQUIREMENTS**

**FORM OF NON-COLLUSIVE AFFIDAVIT**

**AFFIDAVIT**  
(PRIME BIDDER)

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

\_\_\_\_\_, bring duly sworn, deposes and says: that he is  
(Name)

\_\_\_\_\_, of the firm/company of \_\_\_\_\_,  
(Partner or Corporate Title)

the party making the foregoing proposal or bid, that such proposal or bid is genuine and not collusive or sham; that said bidder has not colluded, conspired, connived or agreed, directly or indirectly, with any bidder or person, to put in a sham bid or to refrain from bidding, and has not in any manner, directly or indirectly, sought by agreement or collusion, or communication or conference, with any person, to fix the bid price of affiant or of any other bidder, or to fix any overhead, profit or cost element of said bid price, or of that of any other bidder, or to secure any advantage against the HOUSING AUTHORITY OF THE CITY OF TULSA or any person interested in the proposed contract; and that all statements in said proposal or bid are true.

\_\_\_\_\_  
SIGNATURE

(Bidder, if an individual)

(Partner, if a Partnership)

(Officer, if a Corporation)

Subscribed and sworn to before me this \_\_\_\_\_ day of \_\_\_\_\_, 2019.

\_\_\_\_\_  
NOTARY PUBLIC

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

(SEAL)

**DOCUMENTS 00700**  
**GENERAL REQUIREMENTS**

**CERTIFICATION OF BIDDER REGARDING  
EQUAL EMPLOYMENT OPPORTUNITY  
INSTRUCTIONS**

This certificate is required pursuant to Executive Order # 11246 (30 FR. 12319-25). The implementing rules and regulations provide that any bidder or prospective Contractor, or any of their proposed Subcontractors, shall state as an initial part of the bid or negotiations of the contract whether it has participated in any previous contract or subcontract subject to the EQUAL EMPLOYMENT CLAUSE; and, if so, whether it has filed all compliance reports due under applicable instructions.

Where the certification indicates that the bidder has not filed a compliance report due under applicable instructions, such bidder shall be required to submit a compliance report within seven (7) calendar days after bid opening. No contract shall be awarded unless such a report is submitted.

**Bidders Name:** \_\_\_\_\_

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

1. Bidder has participated in a previous contract or subcontract subject to EQUAL OPPORTUNITY CLAUSE.

☐ YES

☐ NO

- 3 Compliance reports were required to be filed in connection with such contract or subcontract.

☐ YES

☐ NO

- 4 Bidder has filed all compliance reports due under applicable instructions, including SF-100.

☐ YES

☐ NO

4. If answer to item three (3) is "NO," please explain in detail on reverse side of this certification

**Certification - The information above is true and complete to the best of my knowledge and belief.**

**Name/Title of Signer:** \_\_\_\_\_

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

**DOCUMENTS 00700**  
**GENERAL REQUIREMENTS**

**SECTION 3 CLAUSE CERTIFICATE**

- 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 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, 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 134, 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.

**Contractor's Name:** \_\_\_\_\_

**Signature of Authorized Representative:** \_\_\_\_\_

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

**DOCUMENTS 00700**  
**GENERAL REQUIREMENTS**

**LETTER OF ASSURANCE “A”**  
**SCHEDULE OF SUBCONTRACTOR(S)/SUPPLIERS**  
**BID SOLICITATION**

The undersigned bidder hereby assures that our firm will meet or exceed the Housing Authority of the City of Tulsa’s established M/WBE and Section 3 goals or shall demonstrate and document “to the greatest extent feasible” an effort to comply with the THA’s effort in giving M/WBE and Section 3 firm’s opportunity to win subcontract awards.

| SUBCONTRACTOR OR SUPPLIER<br>ADDRESS AND PHONE NUMBER<br>NAME OF CONTACT PERSON | CLASSIFICATION* | TYPE OF WORK<br>OR MATERIALS | AMOUNT OF BID |
|---------------------------------------------------------------------------------|-----------------|------------------------------|---------------|
|                                                                                 |                 |                              |               |
|                                                                                 |                 |                              |               |
|                                                                                 |                 |                              |               |
|                                                                                 |                 |                              |               |
|                                                                                 |                 |                              |               |
|                                                                                 |                 |                              |               |
|                                                                                 |                 |                              |               |

**\*Non-Minority, African American, Hispanic American, Female, Native American, Asian American, Hasidic Jewish American, Section 3, Other.**\_\_\_\_\_

The undersigned intends to enter into a formal agreement with minority Contractors/suppliers if they are the low bidders, conditioned upon execution of a contract with THA. This is not intended to commit the undersigned to execute a contract with each and every M/WBE and/or Section 3 firm listed on this schedule. Use additional sheets if necessary.

\_\_\_\_\_  
NAME OF COMPANY

\_\_\_\_\_  
DATE

\_\_\_\_\_  
SIGNATURE

\_\_\_\_\_  
TITLE (Officer of Company)

**DOCUMENTS 00700**  
**GENERAL REQUIREMENTS**

**LETTER OF ASSURANCE “B”  
NOTICE TO ALL BIDDERS**

**COMPLEX NAME AND NUMBER:** Comanche Park 73-03

The HOUSING AUTHORITY OF THE CITY OF TULSA notifies all bidders/proposers that in regard to any contract entered into the bidder must complete the “Work Force Statement”. This “Work Force Statement” shall only include employees who will be working specifically on this contract. Contractors failing to complete the “Work Force Statement” may be denied award of the contract by THA based on the Contractor’s failure to be a “Responsible Bidder” and a “Responsive Bidder”.

**WORK FORCE STATEMENT**

| EMPLOYMENT<br>CLASSIFICATION | AFRICAN<br>AMERICAN | NATIVE<br>AMERICAN | HISPANIC | FEMALE | SECTION 3 | OTHER | WHITE |
|------------------------------|---------------------|--------------------|----------|--------|-----------|-------|-------|
| OWNER/<br>PRINCIPAL          |                     |                    |          |        |           |       |       |
| CONSTRUCTION<br>MANAGERS     |                     |                    |          |        |           |       |       |
| FOREMAN                      |                     |                    |          |        |           |       |       |
| SKILLED                      |                     |                    |          |        |           |       |       |
| HELPERS                      |                     |                    |          |        |           |       |       |
| LABORERS                     |                     |                    |          |        |           |       |       |
| MANAGER                      |                     |                    |          |        |           |       |       |
| ADMINISTRATOR                |                     |                    |          |        |           |       |       |
| PROFESSIONALS                |                     |                    |          |        |           |       |       |
| TECHNICIANS                  |                     |                    |          |        |           |       |       |
| CLERKS                       |                     |                    |          |        |           |       |       |
| GRAND TOTAL                  |                     |                    |          |        |           |       |       |

CONTRACTOR’S NAME: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

CITY, STATE & ZIP: \_\_\_\_\_

DATE: \_\_\_\_\_

FEIN OR SOCIAL SECURITY NUMBER: \_\_\_\_\_

**DOCUMENTS 00700**  
**GENERAL REQUIREMENTS**

**CERTIFICATION BY BIDDER**  
**REGARDING NON-SEGREGATED FACILITIES**

**BIDDER:** \_\_\_\_\_

**ADDRESS:** \_\_\_\_\_

The Bidder certifies that she/he does not maintain or provide for her/his employees any segregated facilities at any of her/his establishments, and that the Bidder does not permit any employees to perform their services at any location, under her/his control, where segregated facilities are maintained. The Bidder certifies further that she/he will not maintain or provide for her/his employees any segregated facilities at any of her/his establishments, and that she/he will not permit her/his employees to perform their services at any location under her/his control, where segregated facilities are maintained. The Bidder agrees that breach of this certification will be a violation of the Equal Opportunity Clause in any contract resulting from acceptance of this bid. As used in this certification, the term "Segregated Facilities" means any waiting rooms, work areas, restrooms and washrooms, restaurant and other eating areas, time clocks, locker rooms and other storage or dressing areas, parking lots, drinking fountains, recreation or entertainment areas, transportation, and housing facilities provided for employees which are segregated by explicit directive or are in fact segregated on the basis of race, color, religion, sex, national origin, habit, local custom, or otherwise. The Bidder agrees that (except where she/he has obtained identical certifications from proposed Subcontractors for specific time periods) he will obtain identical certifications from proposed Subcontractors prior to the award of Subcontracts exceeding \$10,000, which are not exempt from the provisions of the Equal Opportunity Clause, and that she/he will retain such certifications in her/his files.

---

**CERTIFICATION**

The information above is true and complete to the best of my knowledge and belief.

---

NAME AND TITLE OF SIGNER (PLEASE TYPE)

SIGNATURE \_\_\_\_\_ DATE \_\_\_\_\_

---

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

3608 N. Quaker

425-7539

COMANCHE PARK  
HOUSING AUTHORITYHUD OKLA 73-3  
OF THE CITY OF TULSA

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

**Representations, Certifications,  
and Other Statements of Bidders**  
**Public and Indian Housing Programs**

# Representations, Certifications, and Other Statements of Bidders

## Public and Indian Housing Programs

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### 1. Certificate of Independent Price Determination

#### (a) The bidder certifies that--

(1) The prices in this bid have been arrived at independently, without, for the purpose of restricting competition, any consultation, communication, or agreement with any other bidder or competitor relating to (i) those prices, (ii) the intention to submit a bid, or (iii) the methods or factors used to calculate the prices offered;

(2) The prices in this bid have not been and will not be knowingly disclosed by the bidder, directly or indirectly, to any other bidder or competitor before bid opening (in the case of a sealed bid solicitation) or contract award (in the case of a competitive proposal solicitation) unless otherwise required by law; and

(3) No attempt has been made or will be made by the bidder to induce any other concern to submit or not to submit a bid for the purpose of restricting competition.

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

(1) Is the person in the bidder's organization responsible for determining the prices being offered in this bid or proposal, and that the signatory has not participated and will not participate in any action contrary to subparagraphs (a)(1) through (a)(3) above; or

→ (2) (i) Has been authorized, in writing, to act as agent for the following principals in certifying that those principals have not participated, and will not participate in any action contrary to subparagraphs (a)(1) through (a)(3) above.

[insert full name of person(s) in the bidder's organization responsible for determining the prices offered in this bid or proposal, and the title of his or her position in the bidder's organization];

(ii) As an authorized agent, does certify that the principals named in subdivision (b)(2)(i) above have not participated, and will not participate, in any action contrary to subparagraphs (a)(1) through (a)(3) above; and

(iii) As an agent, has not personally participated, and will not participate in any action contrary to subparagraphs (a)(1) through (a)(3) above.

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

✓ [Contracting Officer check if following paragraph is applicable]

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

→ (1) Each bidder shall execute, in the form provided by the PHA/IHA, an affidavit to the effect that he/she has not colluded with any other person, firm or corporation in regard to any bid submitted in response to this solicitation. If the successful bidder did not submit the affidavit with his/her bid, he/she must submit it within three (3) working days of bid opening. Failure to submit the affidavit by that date may render the bid nonresponsive. No contract award will be made without a properly executed affidavit.

→ (2) A fully executed "Non-collusive Affidavit" [ ] is, [ ] is not included with the bid.

### 2. Contingent Fee Representation and Agreement

#### (a) Definitions. As used in this provision:

"Bona fide employee" means a person, employed by a bidder and subject to the bidder's supervision and control as to time, place, and manner of performance, who neither exerts, nor proposes to exert improper influence to solicit or obtain contracts nor holds out as being able to obtain any contract(s) through improper influence.

"Improper influence" means any influence that induces or tends to induce a PHA/IHA employee or officer to give consideration or to act regarding a PHA/IHA contract on any basis other than the merits of the matter.

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

→ (1) [ ] has, [ ] has not employed or retained any person or company to solicit or obtain this contract; and

→ (2) [ ] has, [ ] has not paid or agreed to pay to any person or company employed or retained to solicit or obtain this contract any commission, percentage, brokerage, or other fee contingent upon or resulting from the award of this contract.

(c) If the answer to either (a)(1) or (a)(2) above is affirmative, the bidder shall make an immediate and full written disclosure to the PHA/IHA Contracting Officer.

(d) Any misrepresentation by the bidder shall give the PHA/IHA the right to (1) terminate the contract; (2) at its discretion, deduct from contract payments the amount of any commission, percentage, brokerage, or other contingent fee; or (3) take other remedy pursuant to the contract.

### 3. Certification and Disclosure Regarding Payments to Influence Certain Federal Transactions (applicable to contracts exceeding \$100,000)

(a) The definitions and prohibitions contained in Section 1352 of title 31, United States Code, are hereby incorporated by reference in paragraph (b) of this certification.

(b) The bidder, by signing its bid, hereby certifies to the best of his or her knowledge and belief as of December 23, 1989 that:

(1) No Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress on his or her behalf in connection with the awarding of a contract resulting from this solicitation;

(2) If any funds other than Federal appropriated funds (including profit or fee received under a covered Federal transaction) have been paid, or will be paid, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress on his or her behalf in connection with this solicitation, the bidder shall complete and submit, with its bid, OMB standard form LLL, "Disclosure of Lobbying Activities;" and

(3) He or she will include the language of this certification in all subcontracts at any tier and require that all recipients of subcontract awards in excess of \$100,000 shall certify and disclose accordingly.

(c) Submission of this certification and disclosure is a prerequisite for making or entering into this contract imposed by section 1352, title 31, United States Code. Any person who makes an expenditure prohibited under this provision or who fails to file or amend the disclosure form to be filed or amended by this provision, shall be subject to a civil penalty of not less than \$10,000, and not more than \$100,000, for each such failure.

(d) Indian tribes (except those chartered by States) and Indian organizations as defined in section 4 of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450B) are exempt from the requirements of this provision.

#### 4. Organizational Conflicts of Interest Certification

The bidder certifies that to the best of its knowledge and belief and except as otherwise disclosed, he or she does not have any organizational conflict of interest which is defined as a situation in which the nature of work to be performed under this proposed contract and the bidder's organizational, financial, contractual, or other interests may, without some restriction on future activities:

- (a) Result in an unfair competitive advantage to the bidder; or,
- (b) Impair the bidder's objectivity in performing the contract work.
- [ ] In the absence of any actual or apparent conflict, I hereby certify that to the best of my knowledge and belief, no actual or apparent conflict of interest exists with regard to my possible performance of this procurement.

#### 5. Bidder's Certification of Eligibility

(a) By the submission of this bid, the bidder certifies that to the best of its knowledge and belief, neither it, nor any person or firm which has an interest in the bidder's firm, nor any of the bidder's subcontractors, is ineligible to:

(1) Be awarded contracts by any agency of the United States Government, HUD, or the State in which this contract is to be performed; or,

(2) Participate in HUD programs pursuant to 24 CFR Part 24.

(b) The certification in paragraph (a) above is a material representation of fact upon which reliance was placed when making award. If it is later determined that the bidder knowingly rendered an erroneous certification, the contract may be terminated for default, and the bidder may be debarred or suspended from participation in HUD programs and other Federal contract programs.

#### 6. Minimum Bid Acceptance Period

(a) "Acceptance period," as used in this provision, means the number of calendar days available to the PHA/IHA for awarding a contract from the date specified in this solicitation for receipt of bids.

(b) This provision supersedes any language pertaining to the acceptance period that may appear elsewhere in this solicitation.

(c) The PHA/IHA requires a minimum acceptance period of [Contracting Officer insert time period] calendar days.

(d) In the space provided immediately below, bidders may specify a longer acceptance period than the PHA's/IHA's minimum requirement. The bidder allows the following acceptance period: calendar days.

(e) A bid allowing less than the PHA's/IHA's minimum acceptance period will be rejected.

(f) The bidder agrees to execute all that it has undertaken to do, in compliance with its bid, if that bid is accepted in writing within (1) the acceptance period stated in paragraph (c) above or (2) any longer acceptance period stated in paragraph (d) above.

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

The bidder represents and certifies as part of its bid/ offer that it --

(a) [ ] is, [ ] is not a small business concern. "Small business concern," as used in this provision, means a concern, including its affiliates, that is independently owned and operated, not dominant in the field of operation in which it is bidding, and qualified as a small business under the criteria and size standards in 13 CFR 121.

(b) [ ] is, [ ] is not a women-owned business enterprise. "Women-owned business enterprise," as used in this provision, means a business that is at least 51 percent owned by a woman or women who are U.S. citizens and who also control and operate the business.

(c) [ ] is, [ ] is not a minority business enterprise. "Minority business enterprise," as used in this provision, means a business which is at least 51 percent owned or controlled by one or more minority group members or, in the case of a publicly owned business, at least 51 percent of its voting stock is owned by one or more minority group members, and whose management and daily operations are controlled by one or more such individuals. For the purpose of this definition, minority group members are:

(Check the block applicable to you)

- |                        |                              |
|------------------------|------------------------------|
| [ ] Black Americans    | [ ] Asian Pacific Americans  |
| [ ] Hispanic Americans | [ ] Asian Indian Americans   |
| [ ] Native Americans   | [ ] Hasidic Jewish Americans |

#### 8. Indian-Owned Economic Enterprise and Indian Organization Representation (applicable only if this solicitation is for a contract to be performed on a project for an Indian Housing Authority)

The bidder represents and certifies that it:

(a) [ ] is, [ ] is not an Indian-owned economic enterprise. "Economic enterprise," as used in this provision, means any commercial, industrial, or business activity established or organized for the purpose of profit, which is at least 51 percent Indian owned. "Indian," as used in this provision, means any person who is a member of any tribe, band, group, pueblo, or community which is recognized by the Federal Government as eligible for services from the Bureau of Indian Affairs and any "Native" as defined in the Alaska Native Claims Settlement Act.

(b) [ ] is, [ ] is not an Indian organization. "Indian organization," as used in this provision, means the governing body of any Indian tribe or entity established or recognized by such governing body. Indian "tribe" means any Indian tribe, band, group, pueblo, or

community including Native villages and Native groups (including corporations organized by Kenai, Juneau, Sitka, and Kodiak) as defined in the Alaska Native Claims Settlement Act, which is recognized by the Federal Government as eligible for services from the Bureau of Indian Affairs.

**9. Certification of Eligibility Under the Davis-Bacon Act** (applicable to construction contracts exceeding \$2,000)

(a) By the submission of this bid, the bidder certifies that neither it nor any person or firm who has an interest in the bidder's firm is a person or firm ineligible to be awarded contracts by the United States Government by virtue of section 3(a) of the Davis-Bacon Act or 29 CFR 5.12(a)(1).

(b) No part of the contract resulting from this solicitation shall be subcontracted to any person or firm ineligible to be awarded contracts by the United States Government by virtue of section 3(a) of the Davis-Bacon Act or 29 CFR 5.12(a)(1).

(c) The penalty for making false statements is prescribed in the U. S. Criminal Code, 18 U.S.C. 1001.

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

(a) The bidder's attention is called to the clause entitled **Equal Employment Opportunity** of the General Conditions of the Contract for Construction.

(b) "Segregated facilities," as used in this provision, means any waiting rooms, work areas, rest rooms and wash rooms, restaurants and other eating areas, time clocks, locker rooms and other storage or dressing areas, parking lots, drinking fountains, recreation or entertainment areas, transportation, and housing facilities provided for employees, that are segregated by explicit directive or are in fact segregated on the basis of race, color, religion, or national origin because of habit, local custom, or otherwise.

(c) By the submission of this bid, the bidder certifies that it does not and will not maintain or provide for its employees any segregated facilities at any of its establishments, and that it does not and will not permit its employees to perform their services at any location under its control where segregated facilities are maintained. The bidder agrees that a breach of this certification is a violation of the Equal Employment Opportunity clause in the contract.

(d) The bidder further agrees that (except where it has obtained identical certifications from proposed subcontractors for specific time periods) prior to entering into subcontracts which exceed \$10,000 and are not exempt from the requirements of the Equal Employment Opportunity clause, it will:

(1) Obtain identical certifications from the proposed subcontractors;

(2) Retain the certifications in its files; and

(3) Forward the following notice to the proposed subcontractors (except if the proposed subcontractors have submitted identical certifications for specific time periods):

**Notice to Prospective Subcontractors of Requirement for Certifications of Nonsegregated Facilities**

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

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

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

The bidder certifies that:

(a) Any facility to be used in the performance of this contract [ ] is, [ ] is not listed on the Environmental Protection Agency List of Violating Facilities:

(b) The bidder will immediately notify the PHA/IHA Contracting Officer, before award, of the receipt of any communication from the Administrator, or a designee, of the Environmental Protection Agency, indicating that any facility that the bidder proposes to use for the performance of the contract is under consideration to be listed on the EPA List of Violating Facilities; and,

(c) The bidder will include a certification substantially the same as this certification, including this paragraph (c), in every nonexempt subcontract.

**12. Previous Participation Certificate** (applicable to construction and equipment contracts exceeding \$50,000)

(a) The bidder shall complete and submit with his/her bid the Form HUD-2530, "Previous Participation Certificate." If the successful bidder does not submit the certificate with his/her bid, he/she must submit it within three (3) working days of bid opening. Failure to submit the certificate by that date may render the bid nonresponsive. No contract award will be made without a properly executed certificate.

(b) A fully executed "Previous Participation Certificate" [ ] is, [ ] is not included with the bid.

**13. Bidder's Signature**

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

\_\_\_\_\_  
(Signature and Date)

\_\_\_\_\_  
(Typed or Printed Name)

\_\_\_\_\_  
(Title)

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

\_\_\_\_\_  
(Company Address)

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

**Instructions to Bidders for Contracts  
Public and Indian Housing Programs**

# Instructions to Bidders for Contracts

## Public and Indian Housing Programs

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### 1. Bid Preparation and Submission

(a) Bidders are expected to examine the specifications, drawings, all instructions, and, if applicable, the construction site (see also the contract clause entitled **Site Investigation and Conditions Affecting the Work** of the *General Conditions of the Contract for Construction*). Failure to do so will be at the bidders' risk.

(b) All bids must be submitted on the forms provided by the Public Housing Agency/Indian Housing Authority (PHA/IHA). Bidders shall furnish all the information required by the solicitation. Bids must be signed and the bidder's name typed or printed on the bid sheet and each continuation sheet which requires the entry of information by the bidder. Erasures or other changes must be initialed by the person signing the bid. Bids signed by an agent shall be accompanied by evidence of that agent's authority. (Bidders should retain a copy of their bid for their records.)

(c) Bidders must submit as part of their bid a completed form HUD-5369-A, "Representations, Certifications, and Other Statements of Bidders."

(d) All bid documents shall be sealed in an envelope which shall be clearly marked with the words "Bid Documents," the Invitation for Bids (IFB) number, any project or other identifying number, the bidder's name, and the date and time for receipt of bids.

(e) If this solicitation requires bidding on all items, failure to do so will disqualify the bid. If bidding on all items is not required, bidders should insert the words "No Bid" in the space provided for any item on which no price is submitted.

(f) Unless expressly authorized elsewhere in this solicitation, alternate bids will not be considered.

(g) Unless expressly authorized elsewhere in this solicitation, bids submitted by telegraph or facsimile (fax) machines will not be considered.

(h) If the proposed contract is for a Mutual Help project (as described in 24 CFR Part 905, Subpart E) that involves Mutual Help contributions of work, material, or equipment, supplemental information regarding the bid advertisement is provided as an attachment to this solicitation.

### 2. Explanations and Interpretations to Prospective Bidders

(a) Any prospective bidder desiring an explanation or interpretation of the solicitation, specifications, drawings, etc., must request it at least 7 days before the scheduled time for bid opening. Requests may be oral or written. Oral requests must be confirmed in writing. The only oral clarifications that will be provided will be those clearly related to solicitation procedures, i.e., not substantive technical information. No other oral explanation or interpretation will be provided. Any information given a prospective bidder concerning this solicitation will be furnished promptly to all other prospective bidders as a written amendment to the solicitation, if that information is necessary in submitting bids, or if the lack of it would be prejudicial to other prospective bidders.

(b) Any information obtained by, or provided to, a bidder other than by formal amendment to the solicitation shall not constitute a change to the solicitation.

### 3. Amendments to Invitations for Bids

(a) If this solicitation is amended, then all terms and conditions which are not modified remain unchanged.

(b) Bidders shall acknowledge receipt of any amendment to this solicitation (1) by signing and returning the amendment, (2) by identifying the amendment number and date on the bid form, or (3) by letter, telegram, or facsimile, if those methods are authorized in the solicitation. The PHA/IHA must receive acknowledgement by the time and at the place specified for receipt of bids. Bids which fail to acknowledge the bidder's receipt of any amendment will result in the rejection of the bid if the amendment(s) contained information which substantively changed the PHA's/IHA's requirements.

(c) Amendments will be on file in the offices of the PHA/IHA and the Architect at least 7 days before bid opening.

### 4. Responsibility of Prospective Contractor

(a) The PHA/IHA will award contracts only to responsible prospective contractors who have the ability to perform successfully under the terms and conditions of the proposed contract. In determining the responsibility of a bidder, the PHA/IHA will consider such matters as the bidder's:

- (1) Integrity;
- (2) Compliance with public policy;
- (3) Record of past performance; and
- (4) Financial and technical resources (including construction and technical equipment).

(b) Before a bid is considered for award, the bidder may be requested by the PHA/IHA to submit a statement or other documentation regarding any of the items in paragraph (a) above. Failure by the bidder to provide such additional information shall render the bidder nonresponsible and ineligible for award.

## 5. Late Submissions, Modifications, and Withdrawal of Bids

(a) Any bid received at the place designated in the solicitation after the exact time specified for receipt will not be considered unless it is received before award is made and it:

(1) Was sent by registered or certified mail not later than the fifth calendar day before the date specified for receipt of offers (e.g., an offer submitted in response to a solicitation requiring receipt of offers by the 20th of the month must have been mailed by the 15th);

(2) Was sent by mail, or if authorized by the solicitation, was sent by telegram or via facsimile, and it is determined by the PHA/IHA that the late receipt was due solely to mishandling by the PHA/IHA after receipt at the PHA/IHA; or

(3) Was sent by U.S. Postal Service Express Mail Next Day Service - Post Office to Addressee, not later than 5:00 p.m. at the place of mailing two working days prior to the date specified for receipt of proposals. The term "working days" excludes weekends and observed holidays.

(b) Any modification or withdrawal of a bid is subject to the same conditions as in paragraph (a) of this provision.

(c) The only acceptable evidence to establish the date of mailing of a late bid, modification, or withdrawal sent either by registered or certified mail is the U.S. or Canadian Postal Service postmark both on the envelope or wrapper and on the original receipt from the U.S. or Canadian Postal Service. Both postmarks must show a legible date or the bid, modification, or withdrawal shall be processed as if mailed late. "Postmark" means a printed, stamped, or otherwise placed impression (exclusive of a postage meter machine impression) that is readily identifiable without further action as having been supplied and affixed by employees of the U.S. or Canadian Postal Service on the date of mailing. Therefore, bidders should request the postal clerk to place a hand cancellation bull's-eye postmark on both the receipt and the envelope or wrapper.

(d) The only acceptable evidence to establish the time of receipt at the PHA/IHA is the time/date stamp of PHA/IHA on the proposal wrapper or other documentary evidence of receipt maintained by the PHA/IHA.

(e) The only acceptable evidence to establish the date of mailing of a late bid, modification, or withdrawal sent by Express Mail Next Day Service-Post Office to Addressee is the date entered by the post office receiving clerk on the "Express Mail Next Day Service-Post Office to Addressee" label and the postmark on both the envelope or wrapper and on the original receipt from the U.S. Postal Service. "Postmark" has the same meaning as defined in paragraph (c) of this provision, excluding postmarks of the Canadian Postal Service. Therefore, bidders should request the postal clerk to place a legible hand cancellation bull's eye postmark on both the receipt and Failure by a bidder to acknowledge receipt of the envelope or wrapper.

(f) Notwithstanding paragraph (a) of this provision, a late modification of an otherwise successful bid that makes its terms more favorable to the PHA/IHA will be considered at any time it is received and may be accepted.

(g) Bids may be withdrawn by written notice, or if authorized by this solicitation, by telegram (including mailgram) or facsimile machine transmission received at any time before the exact time set for opening of bids; provided that written confirmation of telegraphic or facsimile withdrawals over the signature of the bidder is mailed and postmarked prior to the specified bid opening time. A bid may be withdrawn in person by a bidder or its authorized representative if, before the exact time set for opening of bids, the identity of the person requesting withdrawal is established and the person signs a receipt for the bid.

## 6. Bid Opening

All bids received by the date and time of receipt specified in the solicitation will be publicly opened and read. The time and place of opening will be as specified in the solicitation. Bidders and other interested persons may be present.

## 7. Service of Protest

(a) Definitions. As used in this provision:

"Interested party" means an actual or prospective bidder whose direct economic interest would be affected by the award of the contract.

"Protest" means a written objection by an interested party to this solicitation or to a proposed or actual award of a contract pursuant to this solicitation.

(b) Protests shall be served on the Contracting Officer by obtaining written and dated acknowledgement from —

**Mr. Aaron Darden**  
**President / CEO**  
**Housing Authority of the City of Tulsa**  
**415 East Independence**  
**Tulsa, OK 74106**

[Contracting Officer designate the official or location where a protest may be served on the Contracting Officer]

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

## 8. Contract Award

(a) The PHA/IHA will evaluate bids in response to this solicitation without discussions and will award a contract to the responsible bidder whose bid, conforming to the solicitation, will be most advantageous to the PHA/IHA considering only price and any price-related factors specified in the solicitation.

(b) If the apparent low bid received in response to this solicitation exceeds the PHA's/IHA's available funding for the proposed contract work, the PHA/IHA may either accept separately priced items (see 8(e) below) or use the following procedure to determine contract award. The PHA/IHA shall apply in turn to each bid (proceeding in order from the apparent low bid to the high bid) each of the separately priced bid deductible items, if any, in their priority order set forth in this solicitation. If upon the application of the first deductible item to all initial bids, a new low bid is within the PHA's/IHA's available funding, then award shall be made to that bidder. If no bid is within the available funding amount, then the PHA/IHA shall apply the second deductible item. The PHA/IHA shall continue this process until an evaluated low bid, if any, is within the PHA's/IHA's available funding. If upon the application of all deductibles, no bid is within the PHA's/IHA's available funding, or if the solicitation does not request separately priced deductibles, the PHA/IHA shall follow its written policy and procedures in making any award under this solicitation.

(c) In the case of tie low bids, award shall be made in accordance with the PHA's/IHA's written policy and procedures.

(d) The PHA/IHA may reject any and all bids, accept other than the lowest bid (e.g., the apparent low bid is unreasonably low), and waive informalities or minor irregularities in bids received, in accordance with the PHA's/IHA's written policy and procedures.

(e) Unless precluded elsewhere in the solicitation, the PHA/IHA may accept any item or combination of items bid.

(f) The PHA/IHA may reject any bid as nonresponsive if it is materially unbalanced as to the prices for the various items of work to be performed. A bid is materially unbalanced when it is based on prices significantly less than cost for some work and prices which are significantly overstated for other work.

(g) A written award shall be furnished to the successful bidder within the period for acceptance specified in the bid and shall result in a binding contract without further action by either party.

#### **9. Bid Guarantee (applicable to construction and equipment contracts exceeding \$25,000)**

All bids must be accompanied by a negotiable bid guarantee which shall not be less than five percent (5%) of the amount of the bid. The bid guarantee may be a certified check, bank draft, U.S. Government Bonds at par value, or a bid bond secured by a surety company acceptable to the U.S. Government and authorized to do business in the state where the work is to be performed. In the case where the work under the contract will be performed on an Indian reservation area, the bid guarantee may also be an irrevocable Letter of Credit (see provision 10, Assurance of Completion, below). Certified checks and bank drafts must be made payable to the order of the PHA/IHA. The bid guarantee shall insure the execution of the contract and the furnishing of a method of assurance of completion by the successful bidder as required by the solicitation. Failure to submit a bid guarantee with the bid shall result in the rejection of the bid. Bid guarantees submitted by unsuccessful bidders will be returned as soon as practicable after bid opening.

#### **10. Assurance of Completion**

(a) Unless otherwise provided in State law, the successful bidder shall furnish an assurance of completion prior to the execution of any contract under this solicitation. This assurance may be [Contracting Officer check applicable items] —

✓ ☒ (1) a performance and payment bond in a penal sum of 100 percent of the contract price; or, as may be required or permitted by State law;

☐ (2) separate performance and payment bonds, each for 50 percent or more of the contract price;

☐ (3) a 20 percent cash escrow;

☐ (4) a 25 percent irrevocable letter of credit; or,

☐ (5) an irrevocable letter of credit for 10 percent of the total contract price with a monitoring and disbursements agreement with the IHA (applicable only to contracts awarded by an IHA under the Indian Housing Program).

(b) Bonds must be obtained from guarantee or surety companies acceptable to the U.S. Government and authorized to do business in the state where the work is to be performed. Individual sureties will not be considered. U.S. Treasury Circular Number 570, published annually in the Federal Register, lists companies approved to act as sureties on bonds securing Government contracts, the maximum underwriting limits on each contract bonded, and the States in which the company is licensed to do business. Use of companies listed in this circular is mandatory. Copies of the circular may be downloaded on the U.S. Department of Treasury website <http://www.fms.treas.gov/c570/index.html>, or ordered for a minimum fee by contacting the Government Printing Office at (202) 512-2168.

(c) Each bond shall clearly state the rate of premium and the total amount of premium charged. The current power of attorney for the person who signs for the surety company must be attached to the bond. The effective date of the power of attorney shall not precede the date of the bond. The effective date of the bond shall be on or after the execution date of the contract.

(d) Failure by the successful bidder to obtain the required assurance of completion within the time specified, or within such extended period as the PHA/IHA may grant based upon reasons determined adequate by the PHA/IHA, shall render the bidder ineligible for award. The PHA/IHA may then either award the contract to the next lowest responsible bidder or solicit new bids. The PHA/IHA may retain the ineligible bidder's bid guarantee.

#### **11. Preconstruction Conference (applicable to construction contracts)**

After award of a contract under this solicitation and prior to the start of work, the successful bidder will be required to attend a preconstruction conference with representatives of the PHA/IHA and its architect/engineer, and other interested parties convened by the PHA/IHA. The conference will serve to acquaint the participants with the general plan of the construction operation and all other requirements of the contract (e.g., Equal Employment Opportunity, Labor Standards). The PHA/IHA will provide the successful bidder with the date, time, and place of the conference.

#### **12. Indian Preference Requirements (applicable only if this solicitation is for a contract to be performed on a project for an Indian Housing Authority)**

(a) HUD has determined that the contract awarded under this solicitation is subject to the requirements of section 7(b) of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450e(b)). Section 7(b) requires that any contract or subcontract entered into for the benefit of Indians shall require that, to the greatest extent feasible

(1) Preferences and opportunities for training and employment (other than core crew positions; see paragraph (h) below) in connection with the administration of such contracts or subcontracts be given to qualified "Indians." The Act defines "Indians" to mean persons who are members of an Indian tribe and defines "Indian tribe" to mean any Indian tribe, band, nation, or other organized group or community, including any Alaska Native village or regional or village corporation as defined in or established pursuant to the Alaska Native Claims Settlement Act, which is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians; and,

(2) Preference in the award of contracts or subcontracts in connection with the administration of contracts be given to Indian organizations and to Indian-owned economic enterprises, as defined in section 3 of the Indian Financing Act of 1974 (25 U.S.C. 1452). That Act defines "economic enterprise" to mean any Indian-owned commercial, industrial, or business activity established or organized for the purpose of profit, except that the Indian ownership must constitute not less than 51 percent of the enterprise; "Indian organization" to mean the governing body of any Indian tribe or entity established or recognized by such governing body; "Indian" to mean any person who is a member of any tribe, band, group, pueblo, or community which is recognized by the Federal Government as eligible for services from the Bureau of Indian Affairs and any "Native" as defined in the Alaska Native Claims Settlement Act; and Indian "tribe" to mean any Indian tribe, band, group, pueblo, or community including Native villages and Native groups (including

corporations organized by Kenai, Juneau, Sitka, and Kodiak) as defined in the Alaska Native Claims Settlement Act, which is recognized by the Federal Government as eligible for services from the Bureau of Indian Affairs.

(b) (1) The successful Contractor under this solicitation shall comply with the requirements of this provision in awarding all subcontracts under the contract and in providing training and employment opportunities.

(2) A finding by the IHA that the contractor, either (i) awarded a subcontract without using the procedure required by the IHA, (ii) falsely represented that subcontracts would be awarded to Indian enterprises or organizations; or, (iii) failed to comply with the contractor's employment and training preference bid statement shall be grounds for termination of the contract or for the assessment of penalties or other remedies.

(c) If specified elsewhere in this solicitation, the IHA may restrict the solicitation to qualified Indian-owned enterprises and Indian organizations. If two or more (or a greater number as specified elsewhere in the solicitation) qualified Indian-owned enterprises or organizations submit responsive bids, award shall be made to the qualified enterprise or organization with the lowest responsive bid. If fewer than the minimum required number of qualified Indian-owned enterprises or organizations submit responsive bids, the IHA shall reject all bids and readvertise the solicitation in accordance with paragraph (d) below.

(d) If the IHA prefers not to restrict the solicitation as described in paragraph (c) above, or if after having restricted a solicitation an insufficient number of qualified Indian enterprises or organizations submit bids, the IHA may advertise for bids from non-Indian as well as Indian-owned enterprises and Indian organizations. Award shall be made to the qualified Indian enterprise or organization with the lowest responsive bid if that bid is -

(1) Within the maximum HUD-approved budget amount established for the specific project or activity for which bids are being solicited; and

(2) No more than the percentage specified in 24 CFR 905.175(c) higher than the total bid price of the lowest responsive bid from any qualified bidder. If no responsive bid by a qualified Indian-owned economic enterprise or organization is within the stated range of the total bid price of the lowest responsive bid from any qualified enterprise, award shall be made to the bidder with the lowest bid.

(e) Bidders seeking to qualify for preference in contracting or subcontracting shall submit proof of Indian ownership with their bids. Proof of Indian ownership shall include but not be limited to:

(1) Certification by a tribe or other evidence that the bidder is an Indian. The IHA shall accept the certification of a tribe that an individual is a member.

(2) Evidence such as stock ownership, structure, management, control, financing and salary or profit sharing arrangements of the enterprise.

(f) (1) All bidders must submit with their bids a statement describing how they will provide Indian preference in the award of subcontracts. The specific requirements of that statement and the factors to be used by the IHA in determining the statement's adequacy are included as an attachment to this solicitation. Any bid that fails to include the required statement shall be rejected as nonresponsive. The IHA may require that comparable statements be provided by subcontractors to the successful Contractor, and may require the Contractor to reject any bid or proposal by a subcontractor that fails to include the statement.

(2) Bidders and prospective subcontractors shall submit a certification (supported by credible evidence) to the IHA in any instance where the bidder or subcontractor believes it is infeasible to provide Indian preference in subcontracting. The acceptance or rejection by the IHA of the certification shall be final. Rejection shall disqualify the bid from further consideration.

(g) All bidders must submit with their bids a statement detailing their employment and training opportunities and their plans to provide preference to Indians in implementing the contract; and the number or percentage of Indians anticipated to be employed and trained. Comparable statements from all proposed subcontractors must be submitted. The criteria to be used by the IHA in determining the statement(s)'s adequacy are included as an attachment to this solicitation. Any bid that fails to include the required statement(s), or that includes a statement that does not meet minimum standards required by the IHA shall be rejected as nonresponsive.

(h) Core crew employees. A core crew employee is an individual who is a bona fide employee of the contractor at the time the bid is submitted; or an individual who was not employed by the bidder at the time the bid was submitted, but who is regularly employed by the bidder in a supervisory or other key skilled position when work is available. Bidders shall submit with their bids a list of all core crew employees.

(i) Preference in contracting, subcontracting, employment, and training shall apply not only on-site, on the reservation, or within the IHA's jurisdiction, but also to contracts with firms that operate outside these areas (e.g., employment in modular or manufactured housing construction facilities).

(j) Bidders should contact the IHA to determine if any additional local preference requirements are applicable to this solicitation.

(k) The IHA [ ] does  does not [Contracting Officer check applicable box] maintain lists of Indian-owned economic enterprises and Indian organizations by specialty (e.g., plumbing, electrical, foundations), which are available to bidders to assist them in meeting their responsibility to provide preference in connection with the administration of contracts and subcontracts.

# General Conditions for Construction Contracts - Public Housing Programs

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

**Applicability. This form is applicable to any construction/development contract greater than \$150,000.**

This form includes those clauses required by OMB's common rule on grantee procurement, implemented at HUD in 2 CFR 200, and those requirements set forth in Section 3 of the Housing and Urban Development Act of 1968 and its amendment by the Housing and Community Development Act of 1992, implemented by HUD at 24 CFR Part 135. The form is required for construction contracts awarded by Public Housing Agencies (PHAs).

The form is used by Housing Authorities in solicitations to provide necessary contract clauses. If the form were not used, HAs would be unable to enforce their contracts.

Public reporting burden for this collection of information is estimated to average 1.0 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Responses to the collection of information are required to obtain a benefit or to retain a benefit.

The information requested does not lend itself to confidentiality.

HUD may not conduct or sponsor, and a person is not required to respond to a collection of information unless it displays a currently valid OMB number.

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## 1. Definitions

- (a) "Architect" means the person or other entity engaged by the PHA to perform architectural, engineering, design, and other services related to the work as provided for in the contract. When a PHA uses an engineer to act in this capacity, the terms "architect" and "engineer" shall be synonymous. The Architect shall serve as a technical representative of the Contracting Officer. The Architect's authority is as set forth elsewhere in this contract.
- (b) "Contract" means the contract entered into between the PHA and the Contractor. It includes the forms of Bid, the Bid Bond, the Performance and Payment Bond or Bonds or other assurance of completion, the Certifications, Representations, and Other Statements of Bidders (form HUD-5370), these General Conditions of the Contract for Construction (form HUD-5370), the applicable wage rate determinations from the U.S. Department of Labor, any special conditions included elsewhere in the contract, the specifications, and drawings. It includes all formal changes to any of those documents by addendum, change order, or other modification.
- (c) "Contracting Officer" means the person delegated the authority by the PHA to enter into, administer, and/or terminate this contract and designated as such in writing to the Contractor. The term includes any successor Contracting Officer and any duly authorized representative of the Contracting Officer also designated in writing. The Contracting Officer shall be deemed the authorized agent of the PHA in all dealings with the Contractor.
- (d) "Contractor" means the person or other entity entering into the contract with the PHA to perform all of the work required under the contract.
- (e) "Drawings" means the drawings enumerated in the schedule of drawings contained in the Specifications and as described in the contract clause entitled Specifications and Drawings for Construction herein.
- (f) "HUD" means the United States of America acting through the Department of Housing and Urban Development including the Secretary, or any other person designated to act on its behalf. HUD has agreed, subject to the provisions of an Annual Contributions Contract (ACC), to provide financial assistance to the PHA, which includes assistance in financing the work to be performed under this contract. As defined elsewhere in these General Conditions or the contract documents, the determination of HUD may be required to authorize changes in the work or for release of funds to the PHA for payment to the Contractor. Notwithstanding HUD's role, nothing in this contract shall be construed to create any contractual relationship between the Contractor and HUD.
- (g) "Project" means the entire project, whether construction or rehabilitation, the work for which is provided for in whole or in part under this contract.
- (h) "PHA" means the Public Housing Agency organized under applicable state laws which is a party to this contract.
- (i) "Specifications" means the written description of the technical requirements for construction and includes the criteria and tests for determining whether the requirements are met.
- (l) "Work" means materials, workmanship, and manufacture and fabrication of components.
- (a) The Contractor shall furnish all necessary labor, materials, tools, equipment, and transportation necessary for performance of the work. The Contractor shall also furnish all necessary water, heat, light, and power not made available to the Contractor by the PHA pursuant to the clause entitled Availability and Use of Utility Services herein.
- (b) The Contractor shall perform on the site, and with its own organization, work equivalent to at least [ ] (12 percent unless otherwise indicated) of the total amount of work to be performed under the order. This percentage may be reduced by a supplemental agreement to this order if, during performing the work, the Contractor requests a reduction and the Contracting Officer determines that the reduction would be to the advantage of the PHA.
- (c) At all times during performance of this contract and until the work is completed and accepted, the Contractor shall directly superintend the work or assign and have on the work site a competent superintendent who is satisfactory to the Contracting Officer and has authority to act for the Contractor.
- (d) The Contractor shall be responsible for all damages to persons or property that occur as a result of the Contractor's fault or negligence, and shall take proper safety and health precautions to protect the work, the workers, the public, and the property of others. The Contractor shall hold and save the PHA, its officers and agents, free and harmless from liability of any nature occasioned by the Contractor's performance. The Contractor shall also be responsible for all materials delivered and work performed until completion and acceptance of the entire work, except for any completed unit of work which may have been accepted under the contract.
- (e) The Contractor shall lay out the work from base lines and bench marks indicated on the drawings and be responsible for all lines, levels, and measurements of all work executed under the contract. The Contractor shall verify the figures before laying out the work and will be held responsible for any error resulting from its failure to do so.
- (f) The Contractor shall confine all operations (including storage of materials) on PHA premises to areas authorized or approved by the Contracting Officer.
- (g) The Contractor shall at all times keep the work area, including storage areas, free from accumulations of waste materials. After completing the work and before final inspection, the Contractor shall (1) remove from the premises all scaffolding, equipment, tools, and materials (including rejected materials) that are not the property of the PHA and all rubbish caused by its work; (2) leave the work area in a clean, neat, and orderly condition satisfactory to the Contracting Officer; (3) perform all specified tests; and, (4) deliver the installation in complete and operating condition.
- (h) The Contractor's responsibility will terminate when all work has been completed, the final inspection made, and the work accepted by the Contracting Officer. The Contractor will then be released from further obligation except as required by the warranties specified elsewhere in the contract.

## 3. Architect's Duties, Responsibilities, and Authority

- (a) The Architect for this contract, and any successor, shall be designated in writing by the Contracting Officer.

## 2. Contractor's Responsibility for Work

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- (b) The Architect shall serve as the Contracting Officer's technical representative with respect to architectural, engineering, and design matters related to the work performed under the contract. The Architect may provide direction on contract performance. Such direction shall be within the scope of the contract and may not be of a nature which: (1) institutes additional work outside the scope of the contract; (2) constitutes a change as defined in the Changes clause herein; (3) causes an increase or decrease in the cost of the contract; (4) alters the Construction Progress Schedule; or (5) changes any of the other express terms or conditions of the contract.
- (c) The Architect's duties and responsibilities may include but shall not be limited to:
- (1) Making periodic visits to the work site, and on the basis of his/her on-site inspections, issuing written reports to the PHA which shall include all observed deficiencies. The Architect shall file a copy of the report with the Contractor's designated representative at the site;
  - (2) Making modifications in drawings and technical specifications and assisting the Contracting Officer in the preparation of change orders and other contract modifications for issuance by the Contracting Officer;
  - (3) Reviewing and making recommendations with respect to - (i) the Contractor's construction progress schedules; (ii) the Contractor's shop and detailed drawings; (iii) the machinery, mechanical and other equipment and materials or other articles proposed for use by the Contractor; and, (iv) the Contractor's price breakdown and progress payment estimates; and,
  - (4) Assisting in inspections, signing Certificates of Completion, and making recommendations with respect to acceptance of work completed under the contract.

#### 4. Other Contracts

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

### Construction Requirements

#### 5. Pre-construction Conference and Notice to Proceed

- (a) Within ten calendar days of contract execution, and prior to the commencement of work, the Contractor shall attend a preconstruction conference with representatives of the PHA, its Architect, and other interested parties convened by the PHA. The conference will serve to acquaint the participants with the general plan of the construction operation and all other requirements of the contract. The PHA will provide the Contractor with the date, time, and place of the conference.
- (b) The contractor shall begin work upon receipt of a written Notice to Proceed from the Contracting Officer or designee. The Contractor shall not begin work prior to receiving such notice.

#### 6. Construction Progress Schedule

- (a) The Contractor shall, within five days after the work commences on the contract or another period of time determined by the Contracting Officer, prepare and submit to the Contracting Officer for approval three copies of a practicable schedule showing the order in which the Contractor proposes to perform the work, and the dates on which the Contractor contemplates starting and completing the several salient features of the work (including acquiring labor, materials, and equipment). The schedule shall be in the form of a progress chart of suitable scale to indicate appropriately the percentage of work scheduled for completion by any given date during the period. If the Contractor fails to submit a schedule within the time prescribed, the Contracting Officer may withhold approval of progress payments or take other remedies under the contract until the Contractor submits the required schedule.
- (b) The Contractor shall enter the actual progress on the chart as required by the Contracting Officer, and immediately deliver three copies of the annotated schedule to the Contracting Officer. If the Contracting Officer determines, upon the basis of inspection conducted pursuant to the clause entitled Inspection and Acceptance of Construction, herein that the Contractor is not meeting the approved schedule, the Contractor shall take steps necessary to improve its progress, including those that may be required by the Contracting Officer, without additional cost to the PHA. In this circumstance, the Contracting Officer may require the Contractor to increase the number of shifts, overtime operations, days of work, and/or the amount of construction plant, and to submit for approval any supplementary schedule or schedules in chart form as the Contracting Officer deems necessary to demonstrate how the approved rate of progress will be regained.
- (c) Failure of the Contractor to comply with the requirements of the Contracting Officer under this clause shall be grounds for a determination by the Contracting Officer that the Contractor is not prosecuting the work with sufficient diligence to ensure completion within the time specified in the Contract. Upon making this determination, the Contracting Officer may terminate the Contractor's right to proceed with the work, or any separable part of it, in accordance with the Default clause of this contract.

#### 7. Site Investigation and Conditions Affecting the Work

- (a) The Contractor acknowledges that it has taken steps reasonably necessary to ascertain the nature and location of the work, and that it has investigated and satisfied itself as to the general and local conditions which can affect the work or its cost, including but not limited to, (1) conditions bearing upon transportation, disposal, handling, and storage of materials; (2) the availability of labor, water, electric power, and roads; (3) uncertainties of weather, river stages, tides, or similar physical conditions at the site; (4) the conformation and conditions of the ground; and (5) the character of equipment and facilities needed preliminary to and during work performance. The Contractor also acknowledges that it has satisfied itself as to the character, quality, and quantity of surface and subsurface materials or obstacles to be encountered insofar as this information is

reasonably ascertainable from an inspection of the site, including all exploratory work done by the PHA, as well as from the drawings and specifications made a part of this contract. Any failure of the Contractor to take the actions described and acknowledged in this paragraph will not relieve the Contractor from responsibility for estimating properly the difficulty and cost of successfully performing the work, or for proceeding to successfully perform the work without additional expense to the PHA.

- (b) The PHA assumes no responsibility for any conclusions or interpretations made by the Contractor based on the information made available by the PHA. Nor does the PHA assume responsibility for any understanding reached or representation made concerning conditions which can affect the work by any of its officers or agents before the execution of this contract, unless that understanding or representation is expressly stated in this contract.

## 8. Differing Site Conditions

- (a) The Contractor shall promptly, and before the conditions are disturbed, give a written notice to the Contracting Officer of (1) subsurface or latent physical conditions at the site which differ materially from those indicated in this contract, or (2) unknown physical conditions at the site(s), of an unusual nature, which differ materially from those ordinarily encountered and generally recognized as inhering in work of the character provided for in the contract.
- (b) The Contracting Officer shall investigate the site conditions promptly after receiving the notice. Work shall not proceed at the affected site, except at the Contractor's risk, until the Contracting Officer has provided written instructions to the Contractor. If the conditions do materially so differ and cause an increase or decrease in the Contractor's cost of, or the time required for, performing any part of the work under this contract, whether or not changed as a result of the conditions, the Contractor shall file a claim in writing to the PHA within ten days after receipt of such instructions and, in any event, before proceeding with the work. An equitable adjustment in the contract price, the delivery schedule, or both shall be made under this clause and the contract modified in writing accordingly.
- (c) No request by the Contractor for an equitable adjustment to the contract under this clause shall be allowed, unless the Contractor has given the written notice required; provided, that the time prescribed in (a) above for giving written notice may be extended by the Contracting Officer.
- (d) No request by the Contractor for an equitable adjustment to the contract for differing site conditions shall be allowed if made after final payment under this contract.

## 9. Specifications and Drawings for Construction

- (a) The Contractor shall keep on the work site a copy of the drawings and specifications and shall at all times give the Contracting Officer access thereto. Anything mentioned in the specifications and not shown on the drawings, or shown on the drawings and not mentioned in the specifications, shall be of like effect as if shown or mentioned in both. In case of difference between drawings and specifications, the specifications shall govern. In case of discrepancy in the figures, in the drawings, or in the specifications, the matter shall be

promptly submitted to the Contracting Officer, who shall promptly make a determination in writing. Any adjustment by the Contractor without such a determination shall be at its own risk and expense. The Contracting Officer shall furnish from time to time such detailed drawings and other information as considered necessary, unless otherwise provided.

- (b) Wherever in the specifications or upon the drawings the words "directed", "required", "ordered", "designated", "prescribed", or words of like import are used, it shall be understood that the "direction", "requirement", "order", "designation", or "prescription", of the Contracting Officer is intended and similarly the words "approved", "acceptable", "satisfactory", or words of like import shall mean "approved by", or "acceptable to", or "satisfactory to" the Contracting Officer, unless otherwise expressly stated.
- (c) Where "as shown" "as indicated", "as detailed", or of similar import are used, it shall be understood that the reference is made to the drawings accompanying this contract unless stated otherwise. The word "provided" as used herein shall be understood to mean "provide complete in place" that is "furnished and installed".
- (d) "Shop drawings" means drawings, submitted to the PHA by the Contractor, subcontractor, or any lower tier subcontractor, showing in detail (1) the proposed fabrication and assembly of structural elements and (2) the installation (i.e., form, fit, and attachment details) of materials of equipment. It includes drawings, diagrams, layouts, schematics, descriptive literature, illustrations, schedules, performance and test data, and similar materials furnished by the Contractor to explain in detail specific portions of the work required by the contract. The PHA may duplicate, use, and disclose in any manner and for any purpose shop drawings delivered under this contract.
- (e) If this contract requires shop drawings, the Contractor shall coordinate all such drawings, and review them for accuracy, completeness, and compliance with other contract requirements and shall indicate its approval thereon as evidence of such coordination and review. Shop drawings submitted to the Contracting Officer without evidence of the Contractor's approval may be returned for resubmission. The Contracting Officer will indicate an approval or disapproval of the shop drawings and if not approved as submitted shall indicate the PHA's reasons therefore. Any work done before such approval shall be at the Contractor's risk. Approval by the Contracting Officer shall not relieve the Contractor from responsibility for any errors or omissions in such drawings, nor from responsibility for complying with the requirements of this contract, except with respect to variations described and approved in accordance with (f) below.
- (f) If shop drawings show variations from the contract requirements, the Contractor shall describe such variations in writing, separate from the drawings, at the time of submission. If the Architect approves any such variation and the Contracting Officer concurs, the Contracting Officer shall issue an appropriate modification to the contract, except that, if the variation is minor or does not involve a change in price or in time of performance, a modification need not be issued.
- (g) It shall be the responsibility of the Contractor to make timely requests of the PHA for such large scale and full size drawings, color schemes, and other additional information, not already in his possession, which shall be

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required in the planning and production of the work. Such requests may be submitted as the need arises, but each such request shall be filed in ample time to permit appropriate action to be taken by all parties involved so as to avoid delay.

- (h) The Contractor shall submit to the Contracting Officer for approval four copies (unless otherwise indicated) of all shop drawings as called for under the various headings of these specifications. Three sets (unless otherwise indicated) of all shop drawings, will be retained by the PHA and one set will be returned to the Contractor. As required by the Contracting Officer, the Contractor, upon completing the work under this contract, shall furnish a complete set of all shop drawings as finally approved. These drawings shall show all changes and revisions made up to the time the work is completed and accepted.
- (i) This clause shall be included in all subcontracts at any tier. It shall be the responsibility of the Contractor to ensure that all shop drawings prepared by subcontractors are submitted to the Contracting Officer.

#### 10. As-Built Drawings

- (a) "As-built drawings," as used in this clause, means drawings submitted by the Contractor or subcontractor at any tier to show the construction of a particular structure or work as actually completed under the contract. "As-built drawings" shall be synonymous with "Record drawings."
- (b) As required by the Contracting Officer, the Contractor shall provide the Contracting Officer accurate information to be used in the preparation of permanent as-built drawings. For this purpose, the Contractor shall record on one set of contract drawings all changes from the installations originally indicated, and record final locations of underground lines by depth from finish grade and by accurate horizontal offset distances to permanent surface improvements such as buildings, curbs, or edges of walks.
- (c) This clause shall be included in all subcontracts at any tier. It shall be the responsibility of the Contractor to ensure that all as-built drawings prepared by subcontractors are submitted to the Contracting Officer.

#### 11. Material and Workmanship

- (a) All equipment, material, and articles furnished under this contract shall be new and of the most suitable grade for the purpose intended, unless otherwise specifically provided in this contract. References in the contract to equipment, material, articles, or patented processes by trade name, make, or catalog number, shall be regarded as establishing a standard of quality and shall not be construed as limiting competition. The Contractor may, at its option, use any equipment, material, article, or process that, in the judgment of, and as approved by the Contracting Officer, is equal to that named in the specifications, unless otherwise specifically provided in this contract.
- (b) Approval of equipment and materials.
  - (1) The Contractor shall obtain the Contracting Officer's approval of the machinery and mechanical and other equipment to be incorporated into the work. When requesting approval, the Contractor shall furnish to the Contracting Officer the name of the manufacturer, the model number, and other information concerning the performance, capacity, nature, and rating of the

machinery and mechanical and other equipment. When required by this contract or by the Contracting Officer, the Contractor shall also obtain the Contracting Officer's approval of the material or articles which the Contractor contemplates incorporating into the work. When requesting approval, the Contractor shall provide full information concerning the material or articles. Machinery, equipment, material, and articles that do not have the required approval shall be installed or used at the risk of subsequent rejection.

- (2) When required by the specifications or the Contracting Officer, the Contractor shall submit appropriately marked samples (and certificates related to them) for approval at the Contractor's expense, with all shipping charges prepaid. The Contractor shall label, or otherwise properly mark on the container, the material or product represented, its place of origin, the name of the producer, the Contractor's name, and the identification of the construction project for which the material or product is intended to be used.
- (3) Certificates shall be submitted in triplicate, describing each sample submitted for approval and certifying that the material, equipment or accessory complies with contract requirements. The certificates shall include the name and brand of the product, name of manufacturer, and the location where produced.
- (4) Approval of a sample shall not constitute a waiver of the PHA right to demand full compliance with contract requirements. Materials, equipment and accessories may be rejected for cause even though samples have been approved.
- (5) Wherever materials are required to comply with recognized standards or specifications, such specifications shall be accepted as establishing the technical qualities and testing methods, but shall not govern the number of tests required to be made nor modify other contract requirements. The Contracting Officer may require laboratory test reports on items submitted for approval or may approve materials on the basis of data submitted in certificates with samples. Check tests will be made on materials delivered for use only as frequently as the Contracting Officer determines necessary to insure compliance of materials with the specifications. The Contractor will assume all costs of retesting materials which fail to meet contract requirements and/or testing materials offered in substitution for those found deficient.
- (6) After approval, samples will be kept in the Project office until completion of work. They may be built into the work after a substantial quantity of the materials they represent has been built in and accepted.
- (c) Requirements concerning lead-based paint. The Contractor shall comply with the requirements concerning lead-based paint contained in the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4821-4846) as implemented by 24 CFR Part 35.

#### 12. Permits and Codes

- (a) The Contractor shall give all notices and comply with all applicable laws, ordinances, codes, rules and regulations. Notwithstanding the requirement of the Contractor to comply with the drawings and specifications in the contract, all work installed shall comply with all applicable codes and regulations as amended by any

waivers. Before installing the work, the Contractor shall examine the drawings and the specifications for compliance with applicable codes and regulations bearing on the work and shall immediately report any discrepancy it may discover to the Contracting Officer. Where the requirements of the drawings and specifications fail to comply with the applicable code or regulation, the Contracting Officer shall modify the contract by change order pursuant to the clause entitled Changes herein to conform to the code or regulation.

- (b) The Contractor shall secure and pay for all permits, fees, and licenses necessary for the proper execution and completion of the work. Where the PHA can arrange for the issuance of all or part of these permits, fees and licenses, without cost to the Contractor, the contract amount shall be reduced accordingly.

### 13. Health, Safety, and Accident Prevention

- (a) In performing this contract, the Contractor shall:
- (1) Ensure that no laborer or mechanic shall be required to work in surroundings or under working conditions which are unsanitary, hazardous, or dangerous to his/her health and/or safety as determined under construction safety and health standards promulgated by the Secretary of Labor by regulation;
  - (2) Protect the lives, health, and safety of other persons;
  - (3) Prevent damage to property, materials, supplies, and equipment; and,
  - (4) Avoid work interruptions.
- (b) For these purposes, the Contractor shall:
- (1) Comply with regulations and standards issued by the Secretary of Labor at 29 CFR Part 1926. 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 U.S.C. 3701 et seq.; and
  - (2) Include the terms of this clause in every subcontract so that such terms will be binding on each subcontractor.
- (c) The Contractor shall maintain an accurate record of exposure data on all accidents incident to work performed under this contract resulting in death, traumatic injury, occupational disease, or damage to property, materials, supplies, or equipment, and shall report this data in the manner prescribed by 29 CFR Part 1904.
- (d) The Contracting Officer shall notify the Contractor of any noncompliance with these requirements and of the corrective action required. This notice, when delivered to the Contractor or the Contractor's representative at the site of the work, shall be deemed sufficient notice of the noncompliance and corrective action required. After receiving the notice, the Contractor shall immediately take corrective action. If the Contractor fails or refuses to take corrective action promptly, the Contracting Officer may issue an order stopping all or part of the work until satisfactory corrective action has been taken. The Contractor shall not base any claim or request for equitable adjustment for additional time or money on any stop order issued under these circumstances.
- (e) The Contractor shall be responsible for its subcontractors' compliance with the provisions of this clause. The Contractor shall take such action with respect to any subcontract as the PHA, the Secretary of Housing and Urban Development, or the Secretary of Labor shall direct as a means of enforcing such provisions.

### 14. Temporary Heating

The Contractor shall provide and pay for temporary heating, covering, and enclosures necessary to properly protect all work and materials against damage by dampness and cold, to dry out the work, and to facilitate the completion of the work. Any permanent heating equipment used shall be turned over to the PHA in the condition and at the time required by the specifications.

### 15. Availability and Use of Utility Services

- (a) The PHA shall make all reasonably required amounts of utilities available to the Contractor from existing outlets and supplies, as specified in the contract. Unless otherwise provided in the contract, the amount of each utility service consumed shall be charged to or paid for by the Contractor at prevailing rates charged to the PHA or, where the utility is produced by the PHA, at reasonable rates determined by the Contracting Officer. The Contractor shall carefully conserve any utilities furnished without charge.
- (b) The Contractor, at its expense and in a manner satisfactory to the Contracting Officer, shall install and maintain all necessary temporary connections and distribution lines, and all meters required to measure the amount of each utility used for the purpose of determining charges. Before final acceptance of the work by the PHA, the Contractor shall remove all the temporary connections, distribution lines, meters, and associated paraphernalia.

### 16. Protection of Existing Vegetation, Structures, Equipment, Utilities, and Improvements

- (a) The Contractor shall preserve and protect all structures, equipment, and vegetation (such as trees, shrubs, and grass) on or adjacent to the work site, which are not to be removed under this contract, and which do not unreasonably interfere with the work required under this contract.
- (b) The Contractor shall only remove trees when specifically authorized to do so, and shall avoid damaging vegetation that will remain in place. If any limbs or branches of trees are broken during performance of this contract, or by the careless operation of equipment, or by workmen, the Contractor shall trim those limbs or branches with a clean cut and paint the cut with a tree-pruning compound as directed by the Contracting Officer.
- (c) The Contractor shall protect from damage all existing improvements and utilities (1) at or near the work site and (2) on adjacent property of a third party, the locations of which are made known to or should be known by the Contractor. Prior to disturbing the ground at the construction site, the Contractor shall ensure that all underground utility lines are clearly marked.
- (d) The Contractor shall shore up, brace, underpin, secure, and protect as necessary all foundations and other parts of existing structures adjacent to, adjoining, and in the vicinity of the site, which may be affected by the excavations or other operations connected with the construction of the project.
- (e) Any equipment temporarily removed as a result of work under this contract shall be protected, cleaned, and replaced in the same condition as at the time of award of this contract.

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- (f) New work which connects to existing work shall correspond in all respects with that to which it connects and/or be similar to existing work unless otherwise required by the specifications.
  - (g) No structural members shall be altered or in any way weakened without the written authorization of the Contracting Officer, unless such work is clearly specified in the plans or specifications.
  - (h) If the removal of the existing work exposes discolored or unfinished surfaces, or work out of alignment, such surfaces shall be refinished, or the material replaced as necessary to make the continuous work uniform and harmonious. This, however, shall not be construed to require the refinishing or reconstruction of dissimilar finishes previously exposed, or finished surfaces in good condition, but in different planes or on different levels when brought together by the removal of intervening work, unless such refinishing or reconstruction is specified in the plans or specifications.
  - (i) The Contractor shall give all required notices to any adjoining or adjacent property owner or other party before the commencement of any work.
  - (j) The Contractor shall indemnify and save harmless the PHA from any damages on account of settlement or the loss of lateral support of adjoining property, any damages from changes in topography affecting drainage, and from all loss or expense and all damages for which the PHA may become liable in consequence of such injury or damage to adjoining and adjacent structures and their premises.
  - (k) The Contractor shall repair any damage to vegetation, structures, equipment, utilities, or improvements, including those that are the property of a third party, resulting from failure to comply with the requirements of this contract or failure to exercise reasonable care in performing the work. If the Contractor fails or refuses to repair the damage promptly, the Contracting Officer may have the necessary work performed and charge the cost to the Contractor.

#### **17. Temporary Buildings and Transportation of Materials**

- (a) Temporary buildings (e.g., storage sheds, shops, offices, sanitary facilities) and utilities may be erected by the Contractor only with the approval of the Contracting Officer and shall be built with labor and materials furnished by the Contractor without expense to the PHA. The temporary buildings and utilities shall remain the property of the Contractor and shall be removed by the Contractor at its expense upon completion of the work. With the written consent of the Contracting Officer, the buildings and utilities may be abandoned and need not be removed.
- (b) The Contractor shall, as directed by the Contracting Officer, use only established roadways, or use temporary roadways constructed by the Contractor when and as authorized by the Contracting Officer. When materials are transported in prosecuting the work, vehicles shall not be loaded beyond the loading capacity recommended by the manufacturer of the vehicle or prescribed by any federal, state, or local law or regulation. When it is necessary to cross curbs or sidewalks, the Contractor shall protect them from damage. The Contractor shall repair or pay for the repair of any damaged curbs, sidewalks, or roads.

#### **18. Clean Air and Water**

The contractor shall comply with the Clean Air Act, as amended, 42 USC 7401 et seq., the Federal Water Pollution Control Water Act, as amended, 33 U.S.C. 1251 et seq., and standards issued pursuant thereto in the facilities in which this contract is to be performed.

#### **19. Energy Efficiency**

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

#### **20. Inspection and Acceptance of Construction**

- (a) Definitions. As used in this clause -
  - (1) "Acceptance" means the act of an authorized representative of the PHA by which the PHA approves and assumes ownership of the work performed under this contract. Acceptance may be partial or complete.
  - (2) "Inspection" means examining and testing the work performed under the contract (including, when appropriate, raw materials, equipment, components, and intermediate assemblies) to determine whether it conforms to contract requirements.
  - (3) "Testing" means that element of inspection that determines the properties or elements, including functional operation of materials, equipment, or their components, by the application of established scientific principles and procedures.
- (b) The Contractor shall maintain an adequate inspection system and perform such inspections as will ensure that the work performed under the contract conforms to contract requirements. All work is subject to PHA inspection and test at all places and at all reasonable times before acceptance to ensure strict compliance with the terms of the contract.
- (c) PHA inspections and tests are for the sole benefit of the PHA and do not: (1) relieve the Contractor of responsibility for providing adequate quality control measures; (2) relieve the Contractor of responsibility for loss or damage of the material before acceptance; (3) constitute or imply acceptance; or, (4) affect the continuing rights of the PHA after acceptance of the completed work under paragraph (j) below.
- (d) The presence or absence of the PHA inspector does not relieve the Contractor from any contract requirement, nor is the inspector authorized to change any term or condition of the specifications without the Contracting Officer's written authorization. All instructions and approvals with respect to the work shall be given to the Contractor by the Contracting Officer.
- (e) The Contractor shall promptly furnish, without additional charge, all facilities, labor, and material reasonably needed for performing such safe and convenient inspections and tests as may be required by the Contracting Officer. The PHA may charge to the Contractor any additional cost of inspection or test when work is not ready at the time specified by the Contractor for inspection or test, or when prior rejection makes reinspection or retest necessary. The PHA shall perform all inspections and tests in a manner that will not unnecessarily delay the work. Special, full size, and performance tests shall be performed as described in the contract.

- (f) The PHA may conduct routine inspections of the construction site on a daily basis.
- (g) The Contractor shall, without charge, replace or correct work found by the PHA not to conform to contract requirements, unless the PHA decides that it is in its interest to accept the work with an appropriate adjustment in contract price. The Contractor shall promptly segregate and remove rejected material from the premises.
- (h) If the Contractor does not promptly replace or correct rejected work, the PHA may (1) by contract or otherwise, replace or correct the work and charge the cost to the Contractor, or (2) terminate for default the Contractor's right to proceed.
- (i) If any work requiring inspection is covered up without approval of the PHA, it must, if requested by the Contracting Officer, be uncovered at the expense of the Contractor. If at any time before final acceptance of the entire work, the PHA considers it necessary or advisable, to examine work already completed by removing or tearing it out, the Contractor, shall on request, promptly furnish all necessary facilities, labor, and material. If such work is found to be defective or nonconforming in any material respect due to the fault of the Contractor or its subcontractors, the Contractor shall defray all the expenses of the examination and of satisfactory reconstruction. If, however, such work is found to meet the requirements of the contract, the Contracting Officer shall make an equitable adjustment to cover the cost of the examination and reconstruction, including, if completion of the work was thereby delayed, an extension of time.
- (j) The Contractor shall notify the Contracting Officer, in writing, as to the date when in its opinion all or a designated portion of the work will be substantially completed and ready for inspection. If the Architect determines that the state of preparedness is as represented, the PHA will promptly arrange for the inspection. Unless otherwise specified in the contract, the PHA shall accept, as soon as practicable after completion and inspection, all work required by the contract or that portion of the work the Contracting Officer determines and designates can be accepted separately. Acceptance shall be final and conclusive except for latent defects, fraud, gross mistakes amounting to fraud, or the PHA's right under any warranty or guarantee.

## 21. Use and Possession Prior to Completion

- (a) The PHA shall have the right to take possession of or use any completed or partially completed part of the work. Before taking possession of or using any work, the Contracting Officer shall furnish the Contractor a list of items of work remaining to be performed or corrected on those portions of the work that the PHA intends to take possession of or use. However, failure of the Contracting Officer to list any item of work shall not relieve the Contractor of responsibility for complying with the terms of the contract. The PHA's possession or use shall not be deemed an acceptance of any work under the contract.
- (b) While the PHA has such possession or use, the Contractor shall be relieved of the responsibility for (1) the loss of or damage to the work resulting from the PHA's possession or use, notwithstanding the terms of the clause entitled Permits and Codes herein; (2) all maintenance costs on the areas occupied; and, (3) furnishing heat, light, power, and water used in the areas

occupied without proper remuneration therefore. If prior possession or use by the PHA delays the progress of the work or causes additional expense to the Contractor, an equitable adjustment shall be made in the contract price or the time of completion, and the contract shall be modified in writing accordingly.

## 22. Warranty of Title

The Contractor warrants good title to all materials, supplies, and equipment incorporated in the work and agrees to deliver the premises together with all improvements thereon free from any claims, liens or charges, and agrees further that neither it nor any other person, firm or corporation shall have any right to a lien upon the premises or anything appurtenant thereto.

## 23. Warranty of Construction

- (a) In addition to any other warranties in this contract, the Contractor warrants, except as provided in paragraph (j) of this clause, that work performed under this contract conforms to the contract requirements and is free of any defect in equipment, material, or workmanship performed by the Contractor or any subcontractor or supplier at any tier. This warranty shall continue for a period of **per contract** (one year unless otherwise indicated) from the date of final acceptance of the work. If the PHA takes possession of any part of the work before final acceptance, this warranty shall continue for a period of (one year unless otherwise indicated) from the date that the PHA takes possession.
- (b) The Contractor shall remedy, at the Contractor's expense, any failure to conform, or any defect. In addition, the Contractor shall remedy, at the Contractor's expense, any damage to PHA-owned or controlled real or personal property when the damage is the result of—
  - (1) The Contractor's failure to conform to contract requirements; or
  - (2) Any defects of equipment, material, workmanship or design furnished by the Contractor.
- (c) The Contractor shall restore any work damaged in fulfilling the terms and conditions of this clause. The Contractor's warranty with respect to work repaired or replaced will run for (one year unless otherwise indicated) from the date of repair or replacement.
- (d) The Contracting Officer shall notify the Contractor, in writing, within a reasonable time after the discovery of any failure, defect or damage.
- (e) If the Contractor fails to remedy any failure, defect, or damage within a reasonable time after receipt of notice, the PHA shall have the right to replace, repair or otherwise remedy the failure, defect, or damage at the Contractor's expense.
- (f) With respect to all warranties, express or implied, from subcontractors, manufacturers, or suppliers for work performed and materials furnished under this contract, the Contractor shall:
  - (1) Obtain all warranties that would be given in normal commercial practice;
  - (2) Require all warranties to be executed in writing, for the benefit of the PHA; and,
  - (3) Enforce all warranties for the benefit of the PHA.
- (g) In the event the Contractor's warranty under paragraph (a) of this clause has expired, the PHA may bring suit at its own expense to enforce a subcontractor's, manufacturer's or supplier's warranty.

- (h) Unless a defect is caused by the negligence of the Contractor or subcontractor or supplier at any tier, the Contractor shall not be liable for the repair of any defect of material or design furnished by the PHA nor for the repair of any damage that results from any defect in PHA furnished material or design.
- (i) Notwithstanding any provisions herein to the contrary, the establishment of the time periods in paragraphs (a) and (c) above relate only to the specific obligation of the Contractor to correct the work, and have no relationship to the time within which its obligation to comply with the contract may be sought to be enforced, nor to the time within which proceedings may be commenced to establish the Contractor's liability with respect to its obligation other than specifically to correct the work.
- (j) This warranty shall not limit the PHA's rights under the Inspection and Acceptance of Construction clause of this contract with respect to latent defects, gross mistakes or fraud.

#### 24. Prohibition Against Liens

The Contractor is prohibited from placing a lien on the PHA's property. This prohibition shall apply to all subcontractors at any tier and all materials suppliers.

#### Administrative Requirements

#### 25. Contract Period

this contract within \_\_\_\_\_ calendar days of the effective date of the contract, or within the time schedule established in the notice to proceed issued by the Contracting Officer.

#### 26. Order of Provisions

In the event of a conflict between these General Conditions and the Specifications, the General Conditions shall prevail. In the event of a conflict between the contract and any applicable state or local law or regulation, the state or local law or regulation shall prevail; provided that such state or local law or regulation does not conflict with, or is less restrictive than applicable federal law, regulation, or Executive Order. In the event of such a conflict, applicable federal law, regulation, and Executive Order shall prevail.

#### 27. Payments

- (a) The PHA shall pay the Contractor the price as provided in this contract.
- (b) The PHA shall make progress payments approximately every 30 days as the work proceeds, on estimates of work accomplished which meets the standards of quality established under the contract, as approved by the Contracting Officer. The PHA may, subject to written determination and approval of the Contracting Officer, make more frequent payments to contractors which are qualified small businesses.
- (c) Before the first progress payment under this contract, the Contractor shall furnish, in such detail as requested by the Contracting Officer, a breakdown of the total contract price showing the amount included therein for each principal category of the work, which shall substantiate the payment amount requested in order to provide a

basis for determining progress payments. The breakdown shall be approved by the Contracting Officer and must be acceptable to HUD. If the contract covers more than one project, the Contractor shall furnish a separate breakdown for each. The values and quantities employed in making up this breakdown are for determining the amount of progress payments and shall not be construed as a basis for additions to or deductions from the contract price. The Contractor shall prorate its overhead and profit over the construction period of the contract.

- (d) The Contractor shall submit, on forms provided by the PHA, periodic estimates showing the value of the work performed during each period based upon the approved

submitted not later than \_\_\_\_\_ days in advance of the date set for payment and are subject to correction and revision as required. The estimates must be approved by the Contracting Officer with the concurrence of the Architect prior to payment. If the contract covers more than one project, the Contractor shall furnish a separate progress payment estimate for each.

- (e) Along with each request for progress payments and the required estimates, the Contractor shall furnish the following certification, or payment shall not be made: I hereby certify, to the best of my knowledge and belief, that:

- (1) The amounts requested are only for performance in accordance with the specifications, terms, and conditions of the contract;
- (2) Payments to subcontractors and suppliers have been made from previous payments received under the contract, and timely payments will be made from the proceeds of the payment covered by this certification, in accordance with subcontract agreements; and,
- (3) This request for progress payments does not include any amounts which the prime contractor intends to withhold or retain from a subcontractor or supplier in accordance with the terms and conditions of the subcontract.

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

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

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

- (f) Except as otherwise provided in State law, the PHA shall retain ten (10) percent of the amount of progress payments until completion and acceptance of all work under the contract; except, that if upon completion of 50 percent of the work, the Contracting Officer, after consulting with the Architect, determines that the Contractor's performance and progress are satisfactory, the PHA may make the remaining payments in full for the work subsequently completed. If the Contracting Officer subsequently determines that the Contractor's performance and progress are unsatisfactory, the PHA shall reinstate the ten (10) percent (or other percentage as provided in State law) retainage until such time as the Contracting Officer determines that performance and progress are satisfactory.
- (g) The Contracting Officer may authorize material delivered on the site and preparatory work done to be taken into consideration when computing progress payments.

Material delivered to the Contractor at locations other than the site may also be taken into consideration if the Contractor furnishes satisfactory evidence that (1) it has acquired title to such material; (2) the material is properly stored in a bonded warehouse, storage yard, or similar suitable place as may be approved by the Contracting Officer; (3) the material is insured to cover its full value; and (4) the material will be used to perform this contract. Before any progress payment which includes delivered material is made, the Contractor shall furnish such documentation as the Contracting Officer may require to assure the protection of the PHA's interest in such materials. The Contractor shall remain responsible for such stored material notwithstanding the transfer of title to the PHA.

- (h) All material and work covered by progress payments made shall, at the time of payment become the sole property of the PHA, but this shall not be construed as (1) relieving the Contractor from the sole responsibility for all material and work upon which payments have been made or the restoration of any damaged work; or, (2) waiving the right of the PHA to require the fulfillment of all of the terms of the contract. In the event the work of the Contractor has been damaged by other contractors or persons other than employees of the PHA in the course of their employment, the Contractor shall restore such damaged work without cost to the PHA and to seek redress for its damage only from those who directly caused it.
- (i) The PHA shall make the final payment due the Contractor under this contract after (1) completion and final acceptance of all work; and (2) presentation of release of all claims against the PHA arising by virtue of this contract, other than claims, in stated amounts, that the Contractor has specifically excepted from the operation of the release. Each such exception shall embrace no more than one claim, the basis and scope of which shall be clearly defined. The amounts for such excepted claims shall not be included in the request for final payment. A release may also be required of the assignee if the Contractor's claim to amounts payable under this contract has been assigned.
- (j) Prior to making any payment, the Contracting Officer may require the Contractor to furnish receipts or other evidence of payment from all persons performing work and supplying material to the Contractor, if the Contracting Officer determines such evidence is necessary to substantiate claimed costs.
- (k) The PHA shall not; (1) determine or adjust any claims for payment or disputes arising there under between the Contractor and its subcontractors or material suppliers; or, (2) withhold any moneys for the protection of the subcontractors or material suppliers. The failure or refusal of the PHA to withhold moneys from the Contractor shall in nowise impair the obligations of any surety or sureties under any bonds furnished under this contract.

## 28. Contract Modifications

- (a) Only the Contracting Officer has authority to modify any term or condition of this contract. Any contract modification shall be authorized in writing.
- (b) The Contracting Officer may modify the contract unilaterally (1) pursuant to a specific authorization stated in a contract clause (e.g., Changes); or (2) for administrative matters which do not change the rights or

responsibilities of the parties (e.g., change in the PHA address). All other contract modifications shall be in the form of supplemental agreements signed by the Contractor and the Contracting Officer.

- (c) When a proposed modification requires the approval of HUD prior to its issuance (e.g., a change order that exceeds the PHA's approved threshold), such modification shall not be effective until the required approval is received by the PHA.

## 29. Changes

- (a) The Contracting Officer may, at any time, without notice to the sureties, by written order designated or indicated to be a change order, make changes in the work within the general scope of the contract including changes:
  - (1) In the specifications (including drawings and designs);
  - (2) In the method or manner of performance of the work;
  - (3) PHA-furnished facilities, equipment, materials, services, or site; or,
  - (4) Directing the acceleration in the performance of the work.
- (b) Any other written order or oral order (which, as used in this paragraph (b), includes direction, instruction, interpretation, or determination) from the Contracting Officer that causes a change shall be treated as a change order under this clause; provided, that the Contractor gives the Contracting Officer written notice stating (1) the date, circumstances and source of the order and (2) that the Contractor regards the order as a change order.
- (c) Except as provided in this clause, no order, statement or conduct of the Contracting Officer shall be treated as a change under this clause or entitle the Contractor to an equitable adjustment.
- (d) If any change under this clause causes an increase or decrease in the Contractor's cost of, or the time required for the performance of any part of the work under this contract, whether or not changed by any such order, the Contracting Officer shall make an equitable adjustment and modify the contract in writing. However, except for a adjustment based on defective specifications, no proposal for any change under paragraph (b) above shall be allowed for any costs incurred more than 20 days (5 days for oral orders) before the Contractor gives written notice as required. In the case of defective specifications for which the PHA is responsible, the equitable adjustment shall include any increased cost reasonably incurred by the Contractor in attempting to comply with the defective specifications.
- (e) The Contractor must assert its right to an adjustment under this clause within 30 days after (1) receipt of a written change order under paragraph (a) of this clause, or (2) the furnishing of a written notice under paragraph (b) of this clause, by submitting a written statement describing the general nature and the amount of the proposal. If the facts justify it, the Contracting Officer may extend the period for submission. The proposal may be included in the notice required under paragraph (b) above. No proposal by the Contractor for an equitable adjustment shall be allowed if asserted after final payment under this contract.
- (f) The Contractor's written proposal for equitable adjustment shall be submitted in the form of a lump sum proposal supported with an itemized breakdown of all increases and decreases in the contract in at least the following details:

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- (1) Direct Costs. Materials (list individual items, the quantity and unit cost of each, and the aggregate cost); Transportation and delivery costs associated with materials; Labor breakdowns by hours or unit costs (identified with specific work to be performed); Construction equipment exclusively necessary for the change; Costs of preparation and/ or revision to shop drawings resulting from the change; Worker's Compensation and Public Liability Insurance; Employment taxes under FICA and FUTA; and, Bond Costs when size of change warrants revision.
- (2) Indirect Costs. Indirect costs may include overhead, general and administrative expenses, and fringe benefits not normally treated as direct costs.
- (3) Profit. The amount of profit shall be negotiated and may vary according to the nature, extent, and complexity of the work required by the change. The allowability of the direct and indirect costs shall be determined in accordance with the Contract Cost Principles and Procedures for Commercial Firms in Part 31 of the Federal Acquisition Regulation (48 CFR 1-31), as implemented by HUD Handbook 2210.18, in effect on the date of this contract. The Contractor shall not be allowed a profit on the profit received by any subcontractor. Equitable adjustments for deleted work shall include a credit for profit and may include a credit for indirect costs. On proposals covering both increases and decreases in the amount of the contract, the application of indirect costs and profit shall be on the net-change in direct costs for the Contractor or subcontractor performing the work.
- (g) The Contractor shall include in the proposal its request for time extension (if any), and shall include sufficient information and dates to demonstrate whether and to what extent the change will delay the completion of the contract in its entirety.
- (h) The Contracting Officer shall act on proposals within 30 days after their receipt, or notify the Contractor of the date when such action will be taken.
- (i) Failure to reach an agreement on any proposal shall be a dispute under the clause entitled Disputes herein. Nothing in this clause, however, shall excuse the Contractor from proceeding with the contract as changed.
- (j) Except in an emergency endangering life or property, no change shall be made by the Contractor without a prior order from the Contracting Officer.

### 30. Suspension of Work

- (a) The Contracting Officer may order the Contractor in writing to suspend, delay, or interrupt all or any part of the work of this contract for the period of time that the Contracting Officer determines appropriate for the convenience of the PHA.
- (b) If the performance of all or any part of the work is, for an unreasonable period of time, suspended, delayed, or interrupted (1) by an act of the Contracting Officer in the administration of this contract, or (2) by the Contracting Officer's failure to act within the time specified (or within a reasonable time if not specified) in this contract an adjustment shall be made for any increase in the cost of performance of the contract (excluding profit) necessarily caused by such unreasonable suspension, delay, or interruption and the contract modified in writing accordingly. However, no adjustment shall be made under this clause for any suspension, delay, or interruption to the extent that performance would have

been so suspended, delayed, or interrupted by any other cause, including the fault or negligence of the Contractor or for which any equitable adjustment is provided for or excluded under any other provision of this contract.

- (c) A claim under this clause shall not be allowed (1) for any costs incurred more than 20 days before the Contractor shall have notified the Contracting Officer in writing of the act or failure to act involved (but this requirement shall not apply as to a claim resulting from a suspension order); and, (2) unless the claim, in an amount stated, is asserted in writing as soon as practicable after the termination of the suspension, delay, or interruption, but not later than the date of final payment under the contract.

### 31. Disputes

- (a) "Claim," as used in this clause, means a written demand or written assertion by one of the contracting parties seeking, as a matter of right, the payment of money in a sum certain, the adjustment or interpretation of contract terms, or other relief arising under or relating to the contract. A claim arising under the contract, unlike a claim relating to the contract, is a claim that can be resolved under a contract clause that provides for the relief sought by the claimant. A voucher, invoice, or other routine request for payment that is not in dispute when submitted is not a claim. The submission may be converted to a claim by complying with the requirements of this clause, if it is disputed either as to liability or amount or is not acted upon in a reasonable time.
- (b) Except for disputes arising under the clauses entitled Labor Standards - Davis Bacon and Related Acts, herein, all disputes arising under or relating to this contract, including any claims for damages for the alleged breach thereof which are not disposed of by agreement, shall be resolved under this clause.
- (c) All claims by the Contractor shall be made in writing and submitted to the Contracting Officer for a written decision. A claim by the PHA against the Contractor shall be subject to a written decision by the Contracting Officer.
- (d) The Contracting Officer shall, within 60 (unless otherwise indicated) days after receipt of the request, decide the claim or notify the Contractor of the date by which the decision will be made.
- (e) The Contracting Officer's decision shall be final unless the Contractor (1) appeals in writing to a higher level in the PHA in accordance with the PHA's policy and procedures, (2) refers the appeal to an independent mediator or arbitrator, or (3) files suit in a court of competent jurisdiction. Such appeal must be made within (30 unless otherwise indicated) days after receipt of the Contracting Officer's decision.
- (f) The Contractor shall proceed diligently with performance of this contract, pending final resolution of any request for relief, claim, appeal, or action arising under or relating to the contract, and comply with any decision of the Contracting Officer.

### 32. 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 Contracting Officer may, by written notice to the Contractor, terminate the right to

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

- (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 PHA or other governmental entity in either its sovereign or contractual capacity, (iii) acts of another contractor in the performance of a contract with the PHA, (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
  - (2) The Contractor, within days (10 days unless otherwise indicated) from the beginning of such delay (unless extended by the Contracting Officer) notifies the Contracting Officer in writing of the causes of delay. The Contracting Officer shall ascertain the facts and the extent of the delay. If, in the judgment of the Contracting Officer, 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 Contracting Officer shall be reduced to a written decision which shall be subject to the provisions of the Disputes clause of this contract.
- (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 PHA.

### 33. Liquidated Damages

- (a) If the Contractor fails to complete the work within the time specified in the contract, or any extension, as specified in the clause entitled Default of this contract, the Contractor shall pay to the PHA as liquidated damages, the sum of \$ 250.00 / day [Contracting Officer insert amount] for each day of delay. If different completion dates are specified in the contract for separate parts or stages of the work, the amount of liquidated damages shall be assessed on those parts or stages which are delayed. To the extent that the Contractor's delay or nonperformance is excused under another clause in this contract, liquidated damages shall not be due the PHA. The Contractor remains liable for damages caused other than by delay.
- (b) If the PHA terminates the Contractor's right to proceed, the resulting damage will consist of liquidated damages until such reasonable time as may be required for final

completion of the work together with any increased costs occasioned the PHA in completing the work.

- (c) If the PHA does not terminate the Contractor's right to proceed, the resulting damage will consist of liquidated damages until the work is completed or accepted.

### 34. Termination for Convenience

- (a) The Contracting Officer may terminate this contract in whole, or in part, whenever the Contracting Officer determines that such termination is in the best interest of the PHA. 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 PHA shall be liable to the Contractor for reasonable and proper costs resulting from such termination upon the receipt by the PHA 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 PHA 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 PHA or assignee takes possession thereof or assumes responsibility therefore; (4) the actual or estimated cost of legal and accounting services reasonably necessary to prepare and present the termination claim to the PHA; and (5) an amount constituting a reasonable profit on the value of the work performed by the Contractor.
- (c) The Contracting Officer will act on the Contractor's claim within days (60 days unless otherwise indicated) of receipt of the Contractor's claim.
- (d) Any disputes with regard to this clause are expressly made subject to the provisions of the Disputes clause of this contract.

### 35. Assignment of Contract

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

### 36. Insurance

- (a) Before commencing work, the Contractor and each subcontractor shall furnish the PHA with certificates of insurance showing the following insurance is in force and will insure all operations under the Contract:
  - (1) Workers' Compensation, in accordance with state or Territorial Workers' Compensation laws.
  - (2) Commercial General Liability with a combined single limit for bodily injury and property damage of not less than \$ 1,000,000.00 [Contracting Officer insert amount]

per occurrence to protect the Contractor and each subcontractor against claims for bodily injury or death and damage to the property of others. This shall cover the use of all equipment, hoists, and vehicles on the site(s) not covered by Automobile Liability under (3) below. If the Contractor has a "claims made" policy, then the following additional requirements apply: the policy must provide a "retroactive date" which must be on or before the execution date of the Contract; and the extended reporting period may not be less than five years following the completion date of the Contract.

- (3) Automobile Liability on owned and non-owned motor vehicles used on the site(s) or in connection therewith for a combined single limit for bodily injury and property damage of not less than \$ \_\_\_\_\_ [Contracting Officer insert amount] per occurrence.

- (b) Before commencing work, the Contractor shall furnish the PHA with a certificate of insurance evidencing that Builder's Risk (fire and extended coverage) Insurance on all work in place and/or materials stored at the building site(s), including foundations and building equipment, is in force. The Builder's Risk Insurance shall be for the benefit of the Contractor and the PHA as their interests may appear and each shall be named in the policy or policies as an insured. The Contractor in installing equipment supplied by the PHA shall carry insurance on such equipment from the time the Contractor takes possession thereof until the Contract work is accepted by the PHA. The Builder's Risk Insurance need not be carried on excavations, piers, footings, or foundations until such time as work on the superstructure is started. It need not be carried on landscape work. Policies shall furnish coverage at all times for the full cash value of all completed construction, as well as materials in place and/or stored at the site(s), whether or not partial payment has been made by the PHA. The Contractor may terminate this insurance on buildings as of the date taken over for occupancy by the PHA. The Contractor is not required to carry Builder's Risk Insurance for modernization work which does not involve structural alterations or additions and where the PHA's existing fire and extended coverage policy can be endorsed to include such work.
- (c) All insurance shall be carried with companies which are financially responsible and admitted to do business in the State in which the project is located. If any such insurance is due to expire during the construction period, the Contractor (including subcontractors, as applicable) shall not permit the coverage to lapse and shall furnish evidence of coverage to the Contracting Officer. All certificates of insurance, as evidence of coverage, shall provide that no coverage may be canceled or non-renewed by the insurance company until at least 30 days prior written notice has been given to the Contracting Officer.

### 37. Subcontracts

- (a) Definitions. As used in this contract -
- (1) "Subcontract" means any contract, purchase order, or other purchase agreement, including modifications and change orders to the foregoing, entered into by a subcontractor to furnish supplies, materials, equipment, and services for the performance of the prime contract or a subcontract.

- (2) "Subcontractor" means any supplier, vendor, or firm that furnishes supplies, materials, equipment, or services to or for the Contractor or another subcontractor.

- (b) The Contractor shall not enter into any subcontract with any subcontractor who has been temporarily denied participation in a HUD program or who has been suspended or debarred from participating in contracting programs by any agency of the United States Government or of the state in which the work under this contract is to be performed.
- (c) The Contractor shall be as fully responsible for the acts or omissions of its subcontractors, and of persons either directly or indirectly employed by them as for the acts or omissions of persons directly employed by the Contractor.
- (d) The Contractor shall insert appropriate clauses in all subcontracts to bind subcontractors to the terms and conditions of this contract insofar as they are applicable to the work of subcontractors.
- (e) Nothing contained in this contract shall create any contractual relationship between any subcontractor and the PHA or between the subcontractor and HUD.

### 38. Subcontracting with Small and Minority Firms, Women's Business Enterprise, and Labor Surplus Area Firms

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

- (a) Placing qualified small and minority businesses and women's business enterprises on solicitation lists;
- (b) Ensuring that small and minority businesses and women's business enterprises are solicited whenever they are potential sources;
- (c) Dividing total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by small and minority businesses and women's business enterprises;
- (d) Establishing delivery schedules, where the requirements of the contract permit, which encourage participation by small and minority businesses and women's business enterprises; and
- (e) Using the services and assistance of the U.S. Small Business Administration, the Minority Business Development Agency of the U.S. Department of Commerce, and State and local governmental small business agencies.

### 39. Equal Employment Opportunity

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

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

- (c) The Contractor shall post in conspicuous places available to employees and applicants for employment the notices to be provided by the Contracting Officer that explain this clause.
- (d) The Contractor shall, in all solicitations or advertisements for employees placed by or on behalf of the Contractor, state that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex, national origin, or handicap.
- (e) The Contractor shall send, to each labor union or representative of workers with which it has a collective bargaining agreement or other contract or understanding, the notice to be provided by the Contracting Officer advising the labor union or workers' representative of the Contractor's commitments under this clause, and post copies of the notice in conspicuous places available to employees and applicants for employment.
- (f) The Contractor shall comply with Executive Order 11246, as amended, and the rules, regulations, and orders of the Secretary of Labor.
- (g) The Contractor shall furnish all information and reports required by Executive Order 11246, as amended, Section 503 of the Rehabilitation Act of 1973, as amended, and by rules, regulations, and orders of the Secretary of Labor, or pursuant thereto. The Contractor shall permit access to its books, records, and accounts by the Secretary of Labor for purposes of investigation to ascertain compliance with such rules, regulations, and orders.
- (h) In the event of a determination that the Contractor is not in compliance with this clause or any rule, regulation, or order of the Secretary of Labor, this contract may be canceled, terminated, or suspended in whole or in part, and the Contractor may be declared ineligible for further Government contracts, or Federally assisted construction contracts under the procedures authorized in Executive Order 11246, as amended. In addition, sanctions may be imposed and remedies invoked against the Contractor as provided in Executive Order 11246, as amended, the rules, regulations, and orders of the Secretary of Labor, or as otherwise provided by law.
- (i) The Contractor shall include the terms and conditions of this clause in every subcontract or purchase order unless exempted by the rules, regulations, or orders of the Secretary of Labor issued under Executive Order 11246, as amended, so that these terms and conditions will be binding upon each subcontractor or vendor. The Contractor shall take such action with respect to any subcontract or purchase order as the Secretary of Housing and Urban Development or the Secretary of Labor may direct as a means of enforcing such provisions, including sanctions for noncompliance; provided that if the Contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction, the Contractor may request the United States to enter into the litigation to protect the interests of the United States.
- (j) Compliance with the requirements of this clause shall be 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 and the Indian Preference clause of this contract.

**40. Employment, Training, and Contracting Opportunities for Low-Income Persons, Section 3 of the Housing and Urban Development Act of 1968.**

- (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).

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#### 41. Interest of Members of Congress

No member of or delegate to the Congress of the United States of America shall be admitted to any share or part of this contract or to any benefit that may arise therefrom.

#### 42. Interest of Members, Officers, or Employees and Former Members, Officers, or Employees

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

#### 43. Limitations on Payments made to Influence Certain Federal Financial Transactions

- (a) The Contractor agrees to comply with Section 1352 of Title 31, United States Code which prohibits the use of Federal appropriated funds to pay any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, and officer or employee of Congress, or an employee of a Member of Congress in connection with any of the following covered Federal actions: the awarding of any Federal contract; the making of any Federal grant; the making of any Federal loan; the entering into of any cooperative agreement; or the modification of any Federal contract, grant, loan, or cooperative agreement.
- (b) The Contractor further agrees to comply with the requirement of the Act to furnish a disclosure (OMB Standard Form LLL, Disclosure of Lobbying Activities) if any funds other than Federal appropriated funds (including profit or fee received under a covered Federal transaction) have been paid, or will be paid, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a Federal contract, grant, loan, or cooperative agreement.

#### 44. Royalties and Patents

The Contractor shall pay all royalties and license fees. It shall defend all suits or claims for infringement of any patent rights and shall save the PHA harmless from loss on account thereof; except that the PHA shall be responsible for all such loss when a particular design, process or the product of a particular manufacturer or manufacturers is specified and the Contractor has no reason to believe that the specified design, process, or product is an infringement. If, however, the Contractor has reason to believe that any design, process or product specified is an infringement of a patent, the Contractor shall promptly notify the Contracting Officer. Failure to give such notice shall make the Contractor responsible for resultant loss.

#### 45. Examination and Retention of Contractor's Records

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

#### 46. Labor Standards - Davis-Bacon and Related Acts

If the total amount of this contract exceeds \$2,000, the Federal labor standards set forth in the clause below shall apply to the development or construction work to be performed under the contract.

- (a) Minimum Wages.
  - (1) All laborers and mechanics employed under this contract in the development or construction of the project(s) involved 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 1(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 regular 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 in 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.

- (2) (i) Any class of laborers or mechanics, including helpers, 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 all the following criteria have been met: (A) The work to be performed by the classification requested is not performed by a classification in the wage determination; and (B) The classification is utilized in the area by the construction industry; and (C) The proposed wage rate, including any bona fide fringe benefits, bears a reasonable relationship to the wage rates contained in the wage determination.
- (ii) 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, Employee Standards Administration, U.S. Department of Labor, Washington, DC 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.
- (iii) 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 of the Wage and Hour Division 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.
- (iv) The wage rate (including fringe benefits where appropriate) determined pursuant to subparagraphs (a)(2)(ii) or (iii) of this clause shall be paid to all workers performing work in the classification under this contract from the first day on which work is performed in classification.
- (3) 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.
- (4) 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.

- (b) Withholding of funds. 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 in the construction or development of the project, all or part of the wages required by the contract, HUD or its designee may, after written notice to the Contractor, take such action as may be necessary to cause the suspension of any further payment, advance, or guarantee of funds 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.
- (c) Payrolls and basic records.
  - (1) Payrolls and basic records relating thereto shall be maintained by the Contractor during the course of the work and preserved for a period of three years thereafter for all laborers and mechanics working in the construction or development of the project. 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 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.

- (2) (i) The Contractor shall submit weekly for each week in which any contract work is performed a copy of all payrolls to the Contracting Officer 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 subparagraph (c)(1) of this clause. This information may be submitted in any form desired. Optional Form WH-347 (Federal Stock Number 029-005-00014-1) is available for this purpose and may be purchased from the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402. The Contractor is responsible for the submission of copies of payrolls by all subcontractors. (Approved by the Office of Management and Budget under OMB Control Number 1214-0149.)
- (ii) 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:
- (A) That the payroll for the payroll period contains the information required to be maintained under paragraph (c) (1) of this clause and that such information is correct and complete;
- (B) 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; and
- (C) 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.
- (iii) The weekly submission of a properly executed certification set forth on the reverse side of Optional Form WH-347 shall satisfy the requirements for submission of the "Statement of Compliance" required by subparagraph (c)(2)(ii) of this clause.
- (iv) 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 3729 of Title 31 of the United States Code.
- (3) The Contractor or subcontractor shall make the records required under subparagraph (c)(1) available for inspection, copying, or transcription by authorized representatives of HUD or its designee, the Contracting Officer, 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, 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.

- (d) (1) 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 and Training, Employer and Labor Services (OATELS), or with a State Apprenticeship Agency recognized by OATELS, 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 OATELS 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 in this paragraph, 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 journeyman 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 of the Wage and Hour Division determines that a different practice prevails for the applicable apprentice classification, fringes shall be paid in accordance with that determination. In the event OATELS, or a State Apprenticeship Agency recognized by OATELS, 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.
- (2) 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 in 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 in 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 in the wage determination for the classification of 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 in 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.
- (3) Equal employment opportunity. The utilization of apprentices, trainees, and journeymen under this clause shall be in conformity with the equal employment opportunity requirements of Executive Order 11246, as amended, and 29 CFR Part 30.
- (e) Compliance with Copeland Act requirements. The Contractor shall comply with the requirements of 29 CFR Part 3, which are hereby incorporated by reference in this contract.
- (f) Contract termination; debarment. A breach of this contract clause may be grounds for termination of the contract and for debarment as a Contractor and a subcontractor as provided in 29 CFR 5.12.
- (g) 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.
- (h) Disputes concerning labor standards. Disputes arising out of the labor standards provisions of this clause 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 the PHA, HUD, the U.S. Department of Labor, or the employees or their representatives.
- (i) Certification of eligibility.
- (1) 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 contracts by the United States Government by virtue of section 3(a) of the Davis-Bacon Act or 29 CFR 5.12(a)(1).
- (2) No part of this contract shall be subcontracted to any person or firm ineligible for award of a United States Government contract by virtue of section 3(a) of the Davis-Bacon Act or 29 CFR 5.12(a)(1).
- (3) The penalty for making false statements is prescribed in the U. S. Criminal Code, 18 U.S.C. 1001.
- (j) Contract Work Hours and Safety Standards Act. 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, including watchmen and guards, 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 provisions set forth in subparagraph (j)(1) of this clause, 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 provisions set forth in subparagraph (j)(1) of this clause, in the sum of \$10 for each calendar day on which such individual was required or permitted to work in excess of the standard workweek of 40 hours without payment of the overtime wages required by provisions set forth in subparagraph (j)(1) of this clause.
- (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 Federal contract with the same prime Contractor, or any other Federally-assisted contract subject to the Contract Work Hours and Safety Standards Act, which is held by the same prime Contractor, such sums as may be determined to be necessary to satisfy any liabilities of such Contractor or subcontractor for unpaid wages and liquidated damages as provided in the provisions set forth in subparagraph (j)(2) of this clause.
- (k) Subcontracts. The Contractor or subcontractor shall insert in any subcontracts all the provisions contained in this clause, and such other clauses as HUD or its designee may by appropriate instructions require, and also a clause requiring the subcontractors to include these provisions in any lower tier subcontracts. The prime Contractor shall be responsible for the compliance by any subcontractor or lower tier subcontractor with all these provisions.

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#### 47. Non-Federal Prevailing Wage Rates

- (a) Any prevailing wage rate (including basic hourly rate and any fringe benefits), determined under State or tribal law to be prevailing, with respect to any employee in any trade or position employed under the contract, is inapplicable to the contract and shall not be enforced against the Contractor or any subcontractor, with respect to employees engaged under the contract whenever such non-Federal prevailing wage rate exceeds:
  - (1) The applicable wage rate determined by the Secretary of Labor pursuant to the Davis-Bacon Act (40 U.S.C. 3141 et seq.) to be prevailing in the locality with respect to such trade;
- (b) An applicable apprentice wage rate based thereon specified in an apprenticeship program registered with the U.S. Department of Labor (DOL) or a DOL-recognized State Apprenticeship Agency; or
- (c) An applicable trainee wage rate based thereon specified in a DOL-certified trainee program.

#### 48. Procurement of Recovered Materials.

- (a) In accordance with Section 6002 of the Solid Waste Disposal Act, as amended by the Resource Conservation and Recovery Act, the Contractor shall procure items designated in guidelines of the Environmental Protection Agency (EPA) at 40 CFR Part 247 that contain the highest percentage of recovered materials practicable, consistent with maintaining a satisfactory level of competition. The Contractor shall procure items designated in the EPA guidelines that contain the highest percentage of recovered materials practicable unless the Contractor determines that such items: (1) are not reasonably available in a reasonable period of time; (2) fail to meet reasonable performance standards, which shall be determined on the basis of the guidelines of the National Institute of Standards and Technology, if applicable to the item; or (3) are only available at an unreasonable price.
- (b) Paragraph (a) of this clause shall apply to items purchased under this contract where: (1) the Contractor purchases in excess of \$10,000 of the item under this contract; or (2) during the preceding Federal fiscal year, the Contractor: (i) purchased any amount of the items for use under a contract that was funded with Federal appropriations and was with a Federal agency or a State agency or agency of a political subdivision of a State; and (ii) purchased a total of in excess of \$10,000 of the item both under and outside that contract.

**FORM OF NON-COLLUSIVE AFFIDAVIT**

**A F F I D A V I T**

(PRIME BIDDER)

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

\_\_\_\_\_, bring duly sworn, deposes and says: that he is  
(Name)

\_\_\_\_\_, of the firm/company of \_\_\_\_\_,  
(Partner or Corporate Title)

the party making the foregoing proposal or bid, that such proposal or bid is genuine and not collusive or sham; that said bidder has not colluded, conspired, connived or agreed, directly or indirectly, with any bidder or person, to put in a sham bid or to refrain from bidding, and has not in any manner, directly or indirectly, sought by agreement or collusion, or communication or conference, with any person, to fix the bid price of affiant or of any other bidder, or to fix any overhead, profit or cost element of said bid price, or of that of any other bidder, or to secure any advantage against the TULSA HOUSING AUTHORITY or any person interested in the proposed contract; and that all statements in said proposal or bid are true.

\_\_\_\_\_  
SIGNATURE

(Bidder, if an individual)

(Partner, if a Partnership)

(Officer, if a Corporation)

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

\_\_\_\_\_  
NOTARY PUBLIC

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

( S E A L )

# DISCLOSURE OF LOBBYING ACTIVITIES

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

Approved by OMB

0348-0046

(See reverse for public burden disclosure.)

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |  |                                                                                                                                                                                 |                                                                                                                                          |                                                                                                                                                                                                                  |  |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| <b>1. Type of Federal Action:</b><br><input type="checkbox"/> a. contract<br><input type="checkbox"/> b. grant<br><input type="checkbox"/> c. cooperative agreement<br><input type="checkbox"/> d. loan<br><input type="checkbox"/> e. loan guarantee<br><input type="checkbox"/> f. loan insurance                                                                                                                                                                                                                                                                    |  | <b>2. Status of Federal Action:</b><br><input type="checkbox"/> a. bid/offer/application<br><input type="checkbox"/> b. initial award<br><input type="checkbox"/> c. post-award |                                                                                                                                          | <b>3. Report Type:</b><br><input type="checkbox"/> a. initial filing<br><input type="checkbox"/> b. material change<br><b>For Material Change Only:</b><br>year _____ quarter _____<br>date of last report _____ |  |
| <b>4. Name and Address of Reporting Entity:</b><br><input type="checkbox"/> Prime <input type="checkbox"/> Subawardee<br>Tier _____, if known:<br><br><b>Congressional District, if known:</b>                                                                                                                                                                                                                                                                                                                                                                         |  |                                                                                                                                                                                 | <b>5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime:</b><br><br><b>Congressional District, if known:</b> |                                                                                                                                                                                                                  |  |
| <b>6. Federal Department/Agency:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |  |                                                                                                                                                                                 | <b>7. Federal Program Name/Description:</b><br><br>CFDA Number, if applicable: _____                                                     |                                                                                                                                                                                                                  |  |
| <b>8. Federal Action Number, if known:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |  |                                                                                                                                                                                 | <b>9. Award Amount, if known:</b><br>\$ _____                                                                                            |                                                                                                                                                                                                                  |  |
| <b>10. a. Name and Address of Lobbying Registrant</b><br>(if individual, last name, first name, MI):                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |  |                                                                                                                                                                                 | <b>b. Individuals Performing Services</b> (including address if different from No. 10a)<br>(last name, first name, MI):                  |                                                                                                                                                                                                                  |  |
| <b>11.</b> Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure. |  |                                                                                                                                                                                 | Signature: _____<br>Print Name: _____<br>Title: _____<br>Telephone No.: _____ Date: _____                                                |                                                                                                                                                                                                                  |  |
| <b>Federal Use Only:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |  |                                                                                                                                                                                 |                                                                                                                                          | Authorized for Local Reproduction<br>Standard Form LLL (Rev. 7-97)                                                                                                                                               |  |

## INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503.