HOME IMPROVEMENT PROGRAMS
REQUEST FOR QUALIFICATIONS

RETURN TO:

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Director of Home Improvement Programs
PHDC
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george.russell@phdc.phila.gov
I. INTRODUCTION

This Request for Qualifications (“RFQ”) provides interested contractors with the information required to prepare and submit qualifications for consideration by the Philadelphia Housing Development Corporation (“PHDC”) to satisfy the need for home rehabilitation services, accessibility modifications and asthma trigger reductions (collectively, “improvements”) to be provided to the homes of low-income households in Philadelphia. Improvements will be paid for by grants under the following programs (collectively, “Home Improvement Programs” or “HIP”):

- Basic Systems Repair Program (“BSRP”)
- Adaptive Modifications Program (“AMP”)
- Targeted Housing Preservation Programs (“THPP”)
- Community Asthma Prevention Program + Home Repairs Program (“CAPP+”).

Recipients of HIP grants will be the customers of the contractors selected to participate in the programs and the only remedies of all such homeowners for claims relating to any such improvements shall exclude any against PHDC and instead be limited to those against selected contractors that perform work in their homes under one or more of the programs, as well as any of their subcontractors, representatives, agents, directors, officers, partners or employees.

Contracts will be offered for 12-month periods with the option for two one-year renewals at PHDC’s discretion.

Typical Home Improvement Programs grant reimbursements for work performed by contractors range from $2,000 to $15,000 per property.

PHDC will select qualified contractors to perform work under HIP in the following trades:

- roofing
- plumbing
- carpentry
- general contracting (multiple trades)
- heating
- electric
- mechanical equipment (wheelchair lifts, elevators and stairway elevators)
- asbestos remediation
II. RESPONSE DATE

Responses to this RFQ will be accepted on an ongoing basis with PHDC response in approximately three months after receipt. See table below for schedule.

<table>
<thead>
<tr>
<th>RFQ Due Date</th>
<th>PHDC Response (no later than)</th>
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<td>11/29/2019</td>
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<tr>
<td>12/31/2020</td>
<td>3/31/2021</td>
</tr>
</tbody>
</table>

III. QUESTIONS

Contractors may call with questions or schedule appointments with PHDC staff to resolve RFQ response preparation questions. Appointments must be requested in advance by email to george.russell@phdc.phila.gov.

IV. ELIGIBLE SERVICES

PHDC’s HIP provides grants to pay for improvements in homes of income-eligible Philadelphia households. Requests for HIP grants come through PHDC’s HIP Hotline as well as direct referrals from community partners. PHDC staff inspects eligible properties to develop preliminary specifications. Work orders for eligible improvements are approved by PHDC and the grant recipients and issued to available selected contractors.

Different PHDC programs provide different levels of improvements. Contractors are expected to pay close attention to the work order(s) noting improvements ordered and to contact PHDC with any questions.

Contractors will be reimbursed by PHDC through HIP grants in accordance with the descriptions provided in the PHDC HIP Price List. An electronic copy of the most recent PHDC HIP Price List is available upon request. All work must comply with all applicable statutes, regulations and codes and homeowners will be limited to remedies against contractors that performed work at their homes, and any of their subcontractors, representatives, agents, directors, officers, partners or employees, for any noncompliance therewith.
V. LEAD BASED PAINT

Department of Housing and Urban Development Title X regulations, in effect as law since September 15, 2000, as amended, have added demands to HIP and other federally funded programs with respect to lead dust control. All contractors participating in BSRP will be required to comply with such regulations and exercise appropriate care to contain dust, particularly wherever it is necessary to disturb paint. Homeowners will be limited to remedies against selected contractors that performed work in their homes, and any of their subcontractors, representatives, agents, directors, officers, partners or employees, for any noncompliance of such regulations or failure to exercise due care.

Additionally, all contractors selected to be reimbursed under HIP grants in all HIP programs shall possess a Lead-Safe Firm certification from the Environmental Protection Agency and shall have relevant jobs overseen by a certified Lead Renovator.

VI. WORK PROCEDURES

A. PHDC inspects properties for eligible improvements and, if eligible, approves client grants under HIP. Each grant recipient must then approve and then sign off on the preliminary work scope.

B. PHDC assigns work orders to contractors on behalf of grant recipients. Work orders approved by grant recipients will be sent to contractors through PHDC’s Contractor Portal only. Each work order will have an expiration date and will include specification with the improvements detailed. Job site conferences are available to contractors where deemed necessary by PHDC or contractors.

C. Contractors and their employees and subcontractors shall be respectful of residents and shall communicate in a professional manner. Under no circumstances shall a contractor or subcontractor show up at a house to work without an appointment. Careful attention shall be given to the health and safety of workers and residents. Contractors shall contain dust while working and do a careful clean-up at the end of each work day. Contractors alone shall be responsible for reporting any hazardous conditions to PHDC and residents.

D. Contractors shall permit PHDC to inspect all buried piping while repairs are in process and before piping is covered. Contractors must inform PHDC one day prior to any hole re-covering to allow for the inspection to take place. Contractors alone shall be responsible for any defective or incomplete repairs involving any such piping, as well as any failure to identify any hazardous conditions related to the piping.

E. If based upon their expertise, contractors determine that change orders are necessary, contractors shall submit requests in accordance with the change order procedure attached as Exhibit B.

F. Contractors will submit final paperwork through the Contractor Portal within five business days of completing work. Upon receipt of all required paperwork, PHDC will schedule final inspections to determine whether work was completed in accordance with approved specifications and any change order(s). Contractors do not need to be present at final inspection. Contractors, and any of their subcontractors, representatives, agents, directors, officers, partners or employees, shall be solely liable to clients and
homeowners for any defective or incomplete work performed in their homes, as well as any failure to identify hazardous conditions associated with any such work.

G. Punch lists will be issued at final inspection, if necessary. All work must be approved by PHDC and the grant recipient, and required, related documentation must be completed and received by PHDC before invoices will be forwarded to be processed for payment.

H. PHDC will endeavor to complete final inspections within five business days of receipt of all required paperwork and attempt to process payment invoice within ten business days of approved inspection. Typical payment is made within 30 days of receipt of required paperwork.

I. Prior to PHDC processing payments, paperwork submitted by contractors at completion of job must include:

   i. Permits (plumbing, electrical, alteration, warm air, roofs (if rip off required)).
   ii. Roof guarantee for roofs. Equipment guarantees for house and water heaters.
   iii. House heater performance rating and specifications.
   iv. Underwriter’s certification for electrical work must be submitted within 45 days of work completion and is required prior to release of payment.

VII. COMPENSATION

    Unless otherwise noted, the contractor shall invoice using the PHDC HIP Price List in effect at the time the work order is issued. PHDC reserves the right to change or adjust the price list throughout the term of the contract as it deems necessary. All price changes will be clearly communicated to all contractors in writing as they occur. Electronic copies of the current price list are available upon request.

VIII. WARRANTY

    Contractor will warrant that all work, services and products, including, but not limited to, labor and installation, shall be free from defects in material and workmanship for a period of at least one year from the date of completion as noted in the Contractor Portal. Roof replacements shall be warranted to 10 years from the date of completion and mechanical equipment shall be warranted for three years from the date of completion.

    Defective materials and workmanship claimed during the warranty period must be repaired or replaced if not reasonably repairable, at no cost to PHDC or the grant recipient. The repair or replacement of defects will be covered by contractor if notice is given within the warranty period.

IX. NON-DISCRIMINATION

A. EQUAL OPPORTUNITY REQUIREMENTS

    Under the authority of Executive Order No. 03-12, the Office of Economic Opportunity of the City of Philadelphia (the “City”) has established an antidiscrimination policy setting ranges for participation by Minority Business Enterprises (“MBE”), Women Business Enterprises
(“WBE”) and Disabled Business Enterprises (“DSBE”) in City contracts which have been adopted by PHDC.

The City has established a citywide goal of 35% M/W/DSBE utilization as informed by its Annual Disparity Study. This citywide goal should be used as a benchmark for the contractor’s expression of best and good faith efforts to provide meaningful and representative opportunities for M/W/DSBEs under HIP. For HIP, in the absence of discrimination in the solicitation and selection of M/W/DSBEs, the percentage of MBE, WBE and DSBE participation that is reasonably attainable through the exercise of best and good faith efforts is stated below as participation ranges. These percentages relate to the good faith estimated entire cost of HIP. In order to maximize opportunities for as many businesses as possible, a firm that is certified in two or more categories (e.g. MBE and WBE and DSBE or WBE and DSBE) will only be credited toward one participation range as either an MBE or WBE or DSBE. The firm will not be credited toward more than one category. These ranges are based upon an analysis of factors such as the size and scope of the development and the availability of MBEs, WBEs, DSBEs and DBEs to participate in HIP.

<table>
<thead>
<tr>
<th>MBE</th>
<th>WBE</th>
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Contractors are expected to make a serious good-faith effort to enlist participation from Certified Minority, Female and Disabled owned firms prior to submitting your proposal to PHDC. Contractors must complete and submit the “Solicitation and Commitment Form” to PHDC demonstrating their plan for MBE/WBE/DSBE participation for approval by the City’s Division of Housing & Community Development (“DHCD”) Compliance Department. In addition, contractors will be required to submit an Equal Opportunity Plan for approval by the City’s Office of Equal Opportunity prior to a contract being executed.

B. NEIGHBORHOOD BENEFIT STRATEGY

In accordance with Executive Order 2-95, the City of Philadelphia has established a neighborhood benefit policy relating to opportunities for training, employment and contracts for work arising in connection with the planning, construction, rehabilitation and operation of housing assisted by DHCD and the City’s Office of Equal Opportunity.

Each contractor shall be encouraged to (1) establish a goal of employing low and very low income neighborhood and area residents at fifty percent (50%) or more of the aggregate number of new hires on the contract and (2) establish a goal of awarding fifty percent (50%) or more of the aggregate value of all construction contracts and service contracts associated with this contract to neighborhood and area businesses.

Contractors will be required to submit as part of their Equal Opportunity Plans, a “Neighborhood Benefit Strategy” which shall describe contractor’s proposed efforts to comply with the above goals. The Neighborhood Benefit Strategy Plan will be reviewed for compliance by DHCD staff.

C. SECTION 3 TRAINING AND EMPLOYMENT (BSRP only)

Under Title I of the Housing and Community Development Act of 1874 as amended, Section 3 of the Housing and Urban Development Act of 1968 requires that wherever possible,
opportunities for training and employment be given to lower income persons residing in the project area. Contracts for work in connection with the project must be awarded, whenever possible, to eligible businesses located in or owned in substantial part by residents of the same Section 3 area as the project. The contractor shall be subject to the requirements set forth in the Equal Opportunity and Affirmative Action Requirements.

Copies of the Equal Opportunity and Affirmative Action Requirements are available from the Division of Housing and Community Development Compliance Unit.

X. SUBCONTRACTING

General contractors may not subcontract the administration of assigned work. All contractors must be active participants in the work assigned to them. Contractors who are assigned work shall be responsible for quality control and for the rapid response to all field questions and problems. Subcontractors shall not be relied on for this purpose. Failure to comply will result in termination of the contract.

Specific trade contractors may not subcontract assigned work in their specialty without written approval from PHDC.

Contractors who need to subcontract work must indicate all intended subcontractors in their RFQ response. Contractors are free to change or add subcontractors during the period of the contract, however, these changes must be documented with and approved in writing by PHDC along with submission of the new subcontractor licenses, contracts and insurance documents for approval.

Any work performed for the contractor by a subcontractor shall be pursuant to a written contract between the contractor and the subcontractor that requires the subcontractor to (i) comply with all terms and conditions in the contract between PHDC and the contractor, (ii) perform all work in accordance with the requirements of the contract between PHDC and the contractor and (iii) be paid by the contractor no later than thirty (30) days after receiving payment from PHDC for any work performed. The contractor shall promptly report all payment disputes with the subcontractor to PHDC.

All written contracts that a contractor enters into with subcontractors must identify the contractor and each subcontractor as “Contractor” and “Subcontractor” and contain the following language:

“Subcontractor acknowledges and agrees to assume, faithfully perform and comply with all requirements and obligations of Contractor under the terms and conditions of the contract between the Philadelphia Housing Development Corporation ("PHDC") and Contractor, with said contract sections being incorporated and adopted herein by reference as though fully set forth herein, to the same extent required and as if Subcontractor, and not Contractor, was required to comply with said requirements and obligations under the contract between PHDC and Contractor.”

Failure to comply with all foregoing subcontractor requirements may result in the imposition of immediate sanctions, which include without limitation suspension or termination.
XI. SELECTION OF CONTRACTORS

The RFQ Review Committee will review all responses received. Responses will be reviewed and rated independently by two or more committee members. The Committee as a whole will make final contractor and contract size recommendations. Separate contracts will be issued for each program. The PHDC Contract Review Committee will review all recommendations made by the RFQ Review Committee before submitting recommendations to PHDC’s Board of Directors for approval.

A. THRESHOLD CRITERIA
PHDC has established certain threshold criteria that must be met by all contractors:

i. The contractor must have a minimum of three (3) years of experience with the trade for which he/she/it is applying and been in business as the same legal entity a minimum of three (3) years.

ii. The contractor must have a verifiable track record of responsiveness and quality work either with PHDC or with confirmed references.

iii. The contractor must make a good faith effort to comply with the Equal Opportunity Plan, Section 3 (where applicable) and Neighborhood Benefit Strategy goals.

iv. The contractor must have the appropriate trade license(s). Plumbers and electricians must be licensed in their trade. All other contractors must have a City of Philadelphia Contractor License.

v. The contractor must be registered with the Pennsylvania Attorney General’s Office as a Home Improvement Contractor.

vi. The contractor must demonstrate financial, legal and technological resources sufficient to perform work in a timely manner.

Contractors who do not meet the above threshold criteria will be eliminated from further consideration.

B. EVALUATION CRITERIA
Once it is established that a contractor has met all threshold criteria, the contractor will be evaluated for contract award size. Evaluation will include:

i. Contractor’s demonstrated financial capacity to manage work with at least 60 days of cash flow, corresponding to the peak portion of the proposed production schedule
ii. Contractor’s demonstrated production capacity (i.e., crew size, equipment, subcontractor performance and ability to perform the work proposed in conjunction with other expected business). Both the contractor’s response package to this RFQ and their past performance with PHDC HIP grants will be reviewed to help determine capacity questions. (New contractors are typically awarded relatively small contracts.)

iii. Contractor’s work quality, as judged by PHDC.

iv. The number of other contractors applying, or that previously applied, for contracts in the same trades who have been approved to provide services subject for reimbursement under program grants.

v. Funding for the various HIP grants made available to PHDC.

vi. Client demand for the various trades.

XII. CONTRACT AWARD

PHDC intends to enter into contracts for HIP grant reimbursement with the contractor(s) recommended by the committees and approved by the Board of Directors.

The contract(s) resulting from this RFQ will be awarded to the qualified contractor(s) whose proposal(s) will be the most advantageous to PHDC and HIP grant recipients.

The selected contractor(s) will be required to execute a contract document prepared by PHDC. The General Terms and Conditions which will be a part of that document will include, but not be limited to:

- Administrative requirements
- Conflicts of interest
- Environmental requirements
- Liability indemnification in the event of damage claims

A copy of the General Terms and Conditions is available upon request.

XIII. INSURANCE REQUIREMENTS

Minimum insurance requirements for the selected contractor(s) are shown on the sample insurance certificate attached hereto as Exhibit D. Before submitting a response to this RFQ, contractors should verify through their insurance carriers that they will be able to obtain the necessary insurance coverage, including, but not limited to, required completed operations, additional insured and primary and noncontributory endorsements, if selected. Contractors should not make changes to coverage to comply with PHDC requirements until notified of selection by PHDC.

Only sole proprietors and LLCs without employees, who are not required to purchase worker’s compensation insurance under Pennsylvania law, are excluded from carrying worker’s compensation coverage and must complete and submit any and all supporting documentation as
requested. All other contractors will be required to carry worker’s compensation insurance. Contractors may not use subcontractors who do not carry all required insurance at the levels specified herein and name PHDC and the City of Philadelphia as additional insureds on all liability insurance policies except workers’ compensation and professional liability insurance.

**PHDC and the City of Philadelphia** must be named as additional insureds on all required liability insurance policies except workers’ compensation and professional liability insurance before contracts can be finalized. All policies will include contractual liability insurance as applicable to the contractor’s obligations hereunder. All general liability insurance must include coverage for completed operations. Certificates of Insurance showing the required coverages and naming PHDC and the City as the certificate holders must be submitted along with endorsements stating that the coverage afforded PHDC and the City is “primary and noncontributory” to any other coverage available before contracts can be executed.

**XIV. PROPOSAL FORMAT (HOW TO APPLY)**

Your proposal must be delivered as a complete package using the Proposal Form. Be sure to answer all questions thoroughly and thoughtfully. Lengthy answers are not necessary or advisable. Proposals must be typed or clearly printed. Be sure to complete the required forms provided and to supply all other items, as applicable.

For reference and convenience, pages to be returned are numbered 14 through 32 (inclusive) plus additional supporting documentation listed in the checklist (pages 12-13) is attached.

 Responses with missing pages will be rejected as incomplete. Please do not velum or spiral bind proposals. The proposals submitted become the sole property of PHDC.

Any contractor who willingly and knowingly provides material false information, as verified by PHDC, will be immediately disqualified from consideration and may be referred to the appropriate authority for criminal prosecution.

An official authorized to bind the contractor to its provisions must sign the proposals. PHDC does not accept any responsibility for accuracy in pricing. No changes in pricing can be accepted after the proposal is submitted to PHDC.

**XV. RESERVATION OF RIGHTS BY PHDC**

PHDC, in its sole discretion, reserves the right to reject any and all responses to this RFQ and is not bound to adopt any proposal submitted in response to this RFQ that is contrary to its best interests.

PHDC reserves and may exercise the right to accept or reject any and all proposals and reissue this RFQ at any time prior to execution of a final contract; issue a new RFQ with terms and conditions substantially different from those set forth herein; extend the time period for responding to this RFQ; or cancel this RFQ with or without another notice of RFQ. In addition, PHDC reserves and may exercise the following rights and options with respect to this selection process:

- Request supplementation, clarification, confirmation or modification to or of any information in the submission;
• Supplement, amend, substitute or otherwise modify this RFQ at any time prior to selection of one or more applicants for negotiation, and cancel this RFQ with or without issuing another RFQ;
• Request supplements to proposals based on the review of all proposals;
• Negotiate any aspect of the proposal;
• Conduct personal interviews with applicants to assess compliance with the selection criteria;
• Terminate any negotiations at any time;
• Accept or reject at any time prior to the execution of a contract, all submissions and/or withdraw this RFQ without notice;
• Expressly waive any defect or technicality in any proposal;
• Solicit new proposals;
• Rescind a selection prior to contract execution if PHDC determines in its sole discretion that the proposal does not conform to the specifications of this RFQ; and/or
• Rescind a selection prior to contract execution if PHDC determines that the specifications contained in this RFQ are not in conformity with law or that the process in selection of the applicant was not in conformity with law or with the legal obligations of PHDC.

By submitting a proposal in response to this RFQ, an applicant affirmatively indicates acceptance of the terms and conditions of this RFQ.

XVI. AMENDMENT

This Request for Qualifications may be changed, amended, augmented, or rescinded, in whole or in part, at the discretion of PHDC. Any amendment to this Request for Qualifications shall be distributed to all contractors who have provided contact information (including fax number and email address) to PHDC for this purpose.
The following attachments must be included as part of your proposal. Submissions with missing documents will be rejected. Use this form as a checklist to aid in the assembly of your proposal. This form does not need to be returned.

FORMS SUPPLIED BY PHDC: The following documents must be completed by all contractors:

1. Cover Sheet
2. Subcontractor Information
3. References
4. Production Plan & Financial Demonstration (2 pgs.)
5. Solicitation & Commitment Form
6. Executive Order 2-95 Certification
7. Section 3 Forms (BSRP applicants only)
   a. Form A
   b. Form B
   c. Form C
   d. Form D
8. Tax Status Certification Request
9. Conflict of Interest Statement
10. Statement of No Pending or Threatened Litigation
11. Anti-Lobbying Certification
12. Minimum Wage/Benefit Certification
13. W-9
14. Certification Form
SUPPORTING DOCUMENTS – ALL CONTRACTORS: The following documents must be submitted by all contractors

1. Copy of Current Trade License or Contractor License
2. Copy of Current Commercial Activity License
3. Copies of Letters of Credit or bank statement showing cash on hand
4. Copy of most recent Federal Tax Return
   (signed or with electronic postmark)
5. Copy of EPA Renovator Certification
6. Copy of EPA Firm Certification
7. Copy of PA Home Improvement Contractor Registration
8. Subcontractor Qualifications (insurance certificate, trade license, tax status certification and references for each subcontractor)

SUPPORTING DOCUMENTS – NON-CURRENT CONTRACTORS: The following documents must be submitted by contractors who have not contracted with PHDC in the last two fiscal years:

1. Articles of Incorporation and Bylaws; Certificate of Organization and Operation Agreement; Partnership Agreement; or Fictitious Name Registration
2. Copy of Company Credit Report from a major credit bureau
3. Resumes of owners and key staff
PHDC HOME IMPROVEMENT PROGRAMS – REQUEST FOR QUALIFICATIONS COVER SHEET

Trade (check): ___ Roofing ___ Plumbing ___ Electric ___ Carpentry/Masonry ___ Heating ___ General Contractor* ___ Asbestos ___ Mechanical Equip

(* General contractors must provide electric, heating, plumbing, carpentry & masonry services)

FIRM NAME: __________________________________________________________________

ADDRESS:  ______________________________________________________

TELEPHONE: _________________________ FAX: ______________________

CONTACT PERSON:  ____________________________________________________

EMAIL (required) ___________________________ CELL/PAGER:  _______________

TYPE OF BUSINESS:  ____ Sole Proprietorship ____ Partnership   ____ Corporation ___ LLC

FEDERAL EIN / TAX IDENTIFICATION NUMBER:  ____________________________

DATE OF INCORPORATION / ORGANIZATION / INITIATION:  ____________________

COMMERCIAL ACTIVITY LICENSE # ______________________________ (attach copy)

PHILA CONTRACTOR OR SPECIALTY LICENSE #____________________ (attach copy)

PA HOME IMPROVEMENT CONTRACTOR #_________________________ (attach copy)

TOTAL STAFF:  Administrative/Supervisory:  ____  Construction:  ______  Clerical:  ______

TOTAL GROSS SALES FOR LAST COMPLETED FY (from IRS documents):  $___________

MBE/WBE/DBE Certified?  _____ No  _____ Yes (attach certification)

Have any of the company’s principal officers, partners, members or owners been indicted or convicted of a felony?

_____ No  _____ Yes (please explain circumstances and final disposition on a separate sheet)

SIGNED:  _______________________________________  DATE: ________________

PRINTED NAME & TITLE: _________________________________________________
SUBCONTRACTOR INFORMATION

Provide information for all proposed subcontractors to be used:

Business Name: ____________________________ Trade: ___________________

Describe intended use of the subcontractor (trade, percentage of your contract)

List two largest customers from 2018/2019, other than PHDC (phone # must be included)

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<tr>
<th>Customer</th>
<th>Contact</th>
<th>Phone #</th>
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</table>

Include the following attachments:

____ Insurance Certificate    ____ Trade License

Business Name: ____________________________ Trade: ___________________

Describe intended use of the subcontractor (trade, percentage of your contract)

List two largest customers from 2018/2019, other than PHDC (phone # must be included)

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<tr>
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</tbody>
</table>

Include the following attachments:

____ Insurance Certificate    ____ Trade License

(make additional copies of this page as necessary)
REFERENCES

Please list five references for **residential** work completed **within the last year** in the City of Philadelphia, indicating property address, description of work, monetary value of work, contact person and telephone number for each job. PHDC will contact three by telephone. Please notify each reference of the possibility of PHDC calling. **Points will be deducted if reference is not notified of use as a reference. Individual properties must be listed.**

1. **Name:** ____________________________________________________________
   **Address & Phone:** ___________________________________________________
   **Type of Work:** _______________________________________________________
   **Date Completed:** ________________________________ **Dollar Amount:** $________

2. **Name:** ____________________________________________________________
   **Address & Phone:** ___________________________________________________
   **Type of Work:** _______________________________________________________
   **Date Completed:** ________________________________ **Dollar Amount:** $________

3. **Name:** ____________________________________________________________
   **Address & Phone:** ___________________________________________________
   **Type of Work:** _______________________________________________________
   **Date Completed:** ________________________________ **Dollar Amount:** $________

4. **Name:** ____________________________________________________________
   **Address & Phone:** ___________________________________________________
   **Type of Work:** _______________________________________________________
   **Date Completed:** ________________________________ **Dollar Amount:** $________

5. **Name:** ____________________________________________________________
   **Address & Phone:** ___________________________________________________
   **Type of Work:** _______________________________________________________
   **Date Completed:** ________________________________ **Dollar Amount:** $________
PRODUCTION PLAN
(enter number of projected completions for each month)

Your projections should be based on how many repairs in each trade applied for which you can reasonably accomplish each month given other commitments. PHDC will use your input to help decide contract sizes.

<table>
<thead>
<tr>
<th>Trade</th>
<th>Average Cost</th>
<th># per month</th>
<th>$ per month</th>
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<tbody>
<tr>
<td>Asbestos Remediation</td>
<td>$ 2,500</td>
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<tr>
<td>Carpentry/Masonry</td>
<td>$ 2,000</td>
<td></td>
<td></td>
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<tr>
<td>Electric</td>
<td>$ 3,500</td>
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<tr>
<td>General</td>
<td>$ 8,000</td>
<td></td>
<td></td>
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<tr>
<td>Heating</td>
<td>$ 4,500</td>
<td></td>
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<tr>
<td>Plumbing</td>
<td>$ 6,000</td>
<td></td>
<td></td>
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<tr>
<td>Roofing</td>
<td>$ 3,500</td>
<td></td>
<td></td>
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<tr>
<td>Roof Insulation</td>
<td>$ 2,000</td>
<td></td>
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<tr>
<td>Accessible Bathrooms</td>
<td>$ 12,000</td>
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<tr>
<td>Stairway Elevators</td>
<td>$ 3,000</td>
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<tr>
<td>Wheelchair Lifts</td>
<td>$ 15,000</td>
<td></td>
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<tr>
<td>Railings</td>
<td>$ 800</td>
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Estimate the percentage of your work that will be for this contract for the above months: _______

How many field crews will you use for this contract? _______

Estimate average days between job assignment from PHDC and proceeding with work: _______

Estimate average days between starting job and job completion: _______
FINANCIAL DEMONSTRATION

NOTE: Resources described on this page must be substantiated with documentation submitted to PHDC. Acceptable documentation includes recent bank statements or lines of credit showing company name, date and available cash/credit. **Only show available amounts, not total credit lines.**

<table>
<thead>
<tr>
<th>Source</th>
<th>Funds Available</th>
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<tbody>
<tr>
<td>Cash (bank accounts)</td>
<td></td>
</tr>
<tr>
<td>Credit (bank, lending institutions)</td>
<td></td>
</tr>
<tr>
<td>Credit (suppliers)</td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td></td>
</tr>
<tr>
<td>Company Name:</td>
<td>Address:</td>
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</tbody>
</table>

**SOLICITATION and COMMITMENT FORM (BID)**

**MINORITY / WOMEN and DISABLED BUSINESS ENTERPRISES**

**LIST BELOW ALL FIRMS THAT WILL BE UTILIZED IN THIS CONTRACT. PLEASE MAKE SURE THEY KNOW THEY WILL BE CALLED BY THE CITY TO CONFIRM THEIR PARTICIPATION. IF WHEN THE CITY CALLS THEY ARE NOT AWARE THEY HAVE BEEN LISTED ON THIS FORM IT WILL DELAY PROJECT APP.**

<table>
<thead>
<tr>
<th>Type of Subcontract</th>
<th>Date Solicited</th>
<th>Commitment Made</th>
<th>Give Reason(s)</th>
</tr>
</thead>
<tbody>
<tr>
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</table>

**DBE** **MBE** **WBE** **SEC.III**
EXECUTIVE ORDER 2-95 CERTIFICATION
NEIGHBORHOOD BENEFIT STRATEGY

Pursuant to Executive Order 2-95 issued by the Mayor of Philadelphia on January 31, 1995, each project sponsor, developer, or builder working on a housing or community development project that is funded by PHDC, DHCD or the Department of Commerce or their designees, whether such project is financed in part by HUD funds, certifies and covenants

A. That to the greatest extent feasible, opportunities for training and employment arising in connection with the planning, construction, rehabilitation and operation of housing assisted under such projects shall be given to persons of low and very low income residing in the areas of such projects; and

B. That to the greatest extent feasible, contracts for work to be performed pursuant to such projects shall be awarded to business concerns including individuals or firms doing business in the field of design, architecture, including building construction, rehabilitation, maintenance or repair, that are owned by, employ or otherwise provide economic opportunities to low or very low income persons residing in the areas of such projects.

Furthermore:

A. Project sponsors, developers or builders receiving PHDC, DHCD or Department of Commerce funds for housing and community development projects are encouraged to establish a goal of employing low and very low income neighborhood area residents at fifty percent (50%) or more of the aggregate number of new hires associated with these projects.

B. Project sponsors, developers or builders are encouraged to establish a goal of awarding fifty percent (50%) or more of the aggregate value of all construction contracts and service contracts associated with these projects to neighborhood area businesses.

These goals should not be construed as requirements, quotas, set asides, or a cap on hiring or contracting with low and very low income individuals and businesses. However, the goals, if met, constitute a safe harbor for project sponsors, developers and builders on the issue of compliance with this order.

Neighborhood Benefit Strategy certification is required by all project sponsors, developers or builders submitting proposals in response to this Request. The respondent certifies and agrees that it is under no contractual obligation or other disability which would prevent it from complying with these requirements.

_____________________________  _________________________________
Date      Signature

_____________________________  __________________________________
Title      Name (type or print)
Section 3 – Form A

CITY OF PHILADELPHIA
DIVISION OF HOUSING AND COMMUNITY DEVELOPMENT

SECTION 3 CERTIFICATION

(THIS FORM SHOULD BE SUBMITTED WITH PRE-CONTRACT DOCUMENTS SUCH AS A BID, RFQ, RFQ OR EEO/AA PLAN)

Name of Company: _______________________________________________________

Address: __________________________________________________________________

Project Title: PHDC HIP

This is to certify that I have read and understand the Section 3 resident employment and Section 3 resident business utilization requirements that apply to the above cited project, said requirements being known as the Section 3 Clause found in 24 CFR 135, and that neither the project nor the company are under any contractual restrictions or other impediment that would prevent the company from complying with said requirements.

Indicate the efforts that you will make, to the greatest extent feasible, to either train, employ or provide economic opportunities for low- and very low-income persons and toward Section 3 businesses. (Check all that apply.)

I will demonstrate compliance with the requirements of Section 3 by committing:

_____ 30% of the aggregate number of new hires each year over the duration of this project to Section 3 residents

_____ at least 10% of the total amount of all construction, rehabilitation or lead abatement subcontracts to businesses that meet the definition of Section 3 business concerns.

_____ at least 3% of the total amount of all other Section 3 covered contracts.

(Please note that, to the extent feasible, the City of Philadelphia’s Executive Order 2-95, The Neighborhood Benefit Strategy, encourages contractors to establish a goal of employing low- and very low-income neighborhood and area residents as 50 percent of new hires associated with the project and awarding 50 percent of all construction and service contracts to neighborhood and area businesses.)

Signature of Company Officer: _________________________________________________

Title of Officer: ______________________________________________________________

Date: _____________________________________________________________________
SECTION 3 – Form B
CITY OF PHILADELPHIA
DIVISION OF HOUSING AND COMMUNITY DEVELOPMENT

SECTION 3: ESTIMATED WORK FORCE BREAKDOWN

To be completed by contractors with pre-contract documents such as a Bid, RFQ, RFP or EEO/AA Plan.

<table>
<thead>
<tr>
<th>1. Contractor Name and Address:</th>
<th>2. Contract No.</th>
<th>3. Dollar Amount of Contract</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>4. Contact Person</th>
<th>5. Phone (include area code)</th>
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</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>6. Reporting Period</th>
<th>7. Date Report Submitted</th>
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</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>8. Project Name:</th>
<th>9. HUD No.:</th>
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</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>10. Person Completing Form (if different from 4 above)</th>
<th>11. Phone (if different from 5 above)</th>
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</thead>
<tbody>
<tr>
<td></td>
<td></td>
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</table>

**Employment and Training**

<table>
<thead>
<tr>
<th>Job Category</th>
<th>Total Estimated Positions Needed for Project</th>
<th>No. Of Positions Occupied by Permanent Employees</th>
<th>Number of Positions not Occupied</th>
<th>Number of Positions to be filled with Section 3 Residents*</th>
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</thead>
<tbody>
<tr>
<td>Professionals</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Technicians</td>
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<tr>
<td>Office/Clerical</td>
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<td></td>
</tr>
<tr>
<td>Construction by Trade (List)</td>
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<tr>
<td>Trade</td>
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<tr>
<td>Other (List)</td>
<td></td>
<td></td>
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</tr>
</tbody>
</table>

*Section 3 Resident: public housing resident or resident of the City of Philadelphia (preferably, but not necessarily, of the immediate or extended area served by the HUD funded project) who qualifies as a low-income person. HUD defines a low-income person as one whose household income does not exceed 80% of the median income for the region, with adjustments for family size.
Section 3 – Form C
City of Philadelphia
Division of Housing & Community Development

CERTIFICATION FOR BUSINESS CONCERNS SEEKING SECTION 3 PREFERENCE IN CONTRACTING AND DEMONSTRATION OF CABILITY
To be used for PRA & PHDC Projects

Name of Business: ________________________________

Address of Business: ______________________________

Type of Business:  
- Corporation
- Partnership
- Sole Proprietorship
- Joint Venture

Attached is the following documentation as evidence of status:

For Business claiming status as a Section 3 resident-owned enterprise:
- Copy of resident lease
- Copy of evidence in participation in a public assistance program
- Copy of receipt of public assistance
- Other evidence

For business entity as applicable:
- Copy of Articles of Incorporation
- Certificate of Good Standing
- Assumed Business Name Certificate
- Partnership Agreement
- List of owners/stockholders and % ownership of each
- Corporation Annual Report
- Organization chart with names and titles
- Latest Board minutes appointing officers
- Additional Documents

For business claiming Section 3 status by subcontracting 25 percent of the dollar awarded to qualified Section 3 business:
- List of subcontracted Section 3 business(es) and subcontract amount

For business claiming Section 3 status, claiming at least 30 percent of whose workforce are currently Section 3 residents or were Section 3 eligible residents within 3 years of date of first employment with the business:
- List of all current full-time employees
- List of employees claiming Section 3 status
- PHA/IHA Residential lease less than 3 years from date of employment
- Other evidence of Section 3 status less than 3 years from date of employment

Evidence of availability to perform successfully under the terms and conditions of the proposed contract:
- Current financial statement
- Statement of ability to comply with public policy
- List of owned equipment
- List of all contracts for the past two years

I understand that false statements made herein are subject to the penalties of 18 Pa C.S.A 4904 relating to unsworn falsification to authorities.

________________________________________  (Corporate Seal)
Authorized Name & Signature

Attested by: _________________________________
Section 3 is a provision of the Housing and Urban Development Act of 1968 (12 U.S.C 1701u) (section 3) to ensure that employment and other economic opportunities generated by certain HUD finance assistance shall, to the greatest extent feasible, and consistent with existing Federal, State and local laws and regulations, be directed to low- and very low- income persons, particularly those who are recipients of government assistance for housing, and to business concerns which provide economic opportunities to low- and very low-income persons.

Eligibility for Preference
A Section 3 resident seeking preference in training and employment provided by this part shall certify, or submit evidence to the recipient contractor or subcontractor, if requested, that the person is a Section 3 resident, as defined in Section 135.5

Those seeking to certify as a Section 3 resident, after reading the eligibility guidelines* on the following page, should fill in the form below, sign, date and submit this page along with the appropriate documentation** to the project contractor.

Certification for Resident Seeking Section 3 Preference in Training and Employment

I, ____________________________, am a legal resident of the _______________________________ and meet the income eligibility guidelines for a low- or very low-income person as published on the reverse.

My permanent address is: ________________________________

I have attached the following documentation as evidence of my status:

___ Copy of lease   ___ Copy of receipt of public assistance

___ Copy of Evidence of participation   ___ Other evidence
   In a public assistance program

I understand that false statements made herein are subject to penalties of 18 Pa C.S.A. 4904 relating to unsworn falsifications to authorities.

Signature: ____________________________  Date: ____________________________

Printed Name: ________________________________
SECTION 3 INCOME LIMITS

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

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

<table>
<thead>
<tr>
<th>Number in Household</th>
<th>Very Low Income</th>
<th>Low Income</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Individual</td>
<td>$31,550.00</td>
<td>$50,480.00</td>
</tr>
<tr>
<td>2 Individuals</td>
<td>$36,550.00</td>
<td>$58,480.00</td>
</tr>
<tr>
<td>3 Individuals</td>
<td>$40,550.00</td>
<td>$64,880.00</td>
</tr>
<tr>
<td>4 Individuals</td>
<td>$45,050.00</td>
<td>$72,080.00</td>
</tr>
<tr>
<td>5 Individuals</td>
<td>$48,700.00</td>
<td>$77,920.00</td>
</tr>
<tr>
<td>6 Individuals</td>
<td>$52,300.00</td>
<td>$83,680.00</td>
</tr>
<tr>
<td>7 Individuals</td>
<td>$55,900.00</td>
<td>$89,440.00</td>
</tr>
<tr>
<td>8 Individuals</td>
<td>$59,500.00</td>
<td>$95,200.00</td>
</tr>
</tbody>
</table>

*Please be advised that this is the 2019 guideline. Eligibility Guidelines are updated every year and can be found on HUD’s website at [http://www.huduser.org/datasets/il.html](http://www.huduser.org/datasets/il.html)*

** Documentation
Acceptable documentation includes, but is not limited to the following:

- Proof of residency in a public housing development
- Evidence of participation in a HUD Youthbuild program operated in the metropolitan (or non-metropolitan county) where the Section 3 covered assistance is spent;
- Copy of Section 8 voucher or certificate
- Evidence of eligibility or participation in a federally assisted program for low- and very low- income persons (e.g. Jobs JTPA, Job Corps, etc.);
- Evidence that the individual resides in the Section 3 area and is a low- or very low- income person as defined in Section 3(b)(2) of the US Housing Act of 1937 (1937 Act);

Other acceptable documentation to the Recipient
TAX STATUS CERTIFICATION REQUEST

Taxpayer Name: ____________________________ Date: _____________________

Taxpayer Trading As: ____________________________________________________

Home Address: ________________________________________________________

Business Address: ______________________________________________________

1. Are you a Registered Taxpayer?                                                Yes [    ]    No [    ]
   If so, Philadelphia A/C #
   Social Security Number

2. Identify all of your subsidiaries and affiliates:

3. Are you or any of your subsidiaries or your affiliates presently delinquent in any City of Philadelphia School District Taxes, business taxes and/or others taxes?
   If so, what tax(es) and amount(s) owed:
   Yes [    ]    No [    ]

4. Are you or any of your subsidiaries or affiliates presently delinquent in Water and Sewer Changes and/or Philadelphia Gas Works Payments?
   If so, amount(s) owed:
   Yes [    ]    No [    ]

5. Have you or any of your subsidiaries or affiliates been sued by the City of Philadelphia?
   If so, list date(s) and nature of law suit(s):
   Yes [    ]    No [    ]

6. Are you or any of your subsidiaries or affiliates involved in any other business activity? If so, list company name and describe activity:
   Yes [    ]    No [    ]

7. Do you or any of your subsidiaries or affiliates own real estate?
   If so, list address (es) here or back of this form.
   Yes [    ]    No [    ]

I hereby affirm that the information provided above is true and correct to the best of my knowledge, information and belief; said affirmation being made subject to the penalties prescribed by 18 Pa. C. S. A. Sec. 4904 relating to unsworn falsifications to authorities.

Name: ________________________________________________________________

Signature: ____________________________ Date: _____________________
CONFLICT OF INTEREST

Applicants for assistance involving Community Development Block Grant ("CDBG") funds are required to comply with federal regulations regarding conflicts of interest. The regulations affect the following groups of people:

   a) Employees, consultants and officers of the City of Philadelphia and its quasi-city agencies and departments;
   b) Elected or appointed officials of the City of Philadelphia, the Commonwealth of Pennsylvania or the federal government of the United States; and
   c) Employees, consultants or officers of any firm receiving CDBG program funds.

You must answer the following questions to determine if a conflict of interest exists:

1. Are you now, or have you been within the preceding year in one of the categories (a, b or c) described above?

   Yes __________ No __________

2. Is any member of your family or your spouse’s family now or have they been within the preceding year in one of the categories (a, b or c) described above? (Family members include spouses, parents, siblings and children.)

   Yes __________ No __________

3. Is any business associate (see prior definition) of yours now or have they been within the preceding year in one of the categories (a, b or c) described above?

   Yes __________ No __________

SIGNATURE: ____________________________________ DATE: ________________

TITLE: ___________________________ COMPANY: ____________________________
STATEMENT OF NO PENDING OR THREATENED LITIGATION

Other than as attached, there is no pending or threatened litigation, claim, consent order, settlement agreement, investigation, challenge or other proceedings being brought by applicant, and/or any business associate of applicant against the City of Philadelphia or any of its departments, its Division of Housing and Community Development (“DHCD”), the Philadelphia Housing Development Corporation (“PHDC”), the Philadelphia Land Bank (“PLB”), the Philadelphia Redevelopment Authority (“PRA”) or the Philadelphia Industrial Development Corporation (“PIDC”).

A business associate includes, but may not be limited to: officers, directors, partners, employees, lenders, lessors and consultants. Depending on the circumstances, business associates may also include shareholders, landlords, sellers of real estate, agents, representatives, subsidiaries, affiliates or joint ventures. Applicants are encouraged to use a broad definition of “business associate” when completing this and other questions where that term is used.

On an attached sheet, list the following information regarding any pending or threatened litigation, claim, consent order, settlement agreement, investigation, challenge or other proceeding: name(s) of parties, type of proceeding, claim, etc; status of proceeding, claim, etc.

NAME (print): ____________________________________________________________

TITLE:  ________________________________________________________________

COMPANY:  ____________________________________________________________

SIGNATURE:  ___________________________________________________________

DATE:  ___________________________________________________________________
ANTI-LOBBYING CERTIFICATION

I, _____________________, on behalf of ____________________________________
(“Contractor”), hereby certify that I have been duly authorized to execute this Certification on
behalf of Contractor and that no Federally-appropriated funds have been paid or will be paid by
or on behalf of Contractor 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 the awarding of any Federal contract, the
making of any Federal grant, the making of any Federal loan, the entering into of any
cooperative agreement, and the extension, continuation, renewal, amendment or modification of
any Federal contract, grant, loan or cooperative agreement.

Contractor will provide immediate written notification to PHDC if Contractor learns that the
above certification was erroneous when submitted or has become erroneous because of changed
circumstances.

On behalf of Contractor, I also certify that Contractor has required, and will continue to require
during the term of this Contract, this same certification from its contractors.

I verify and affirm that the statements made in this certification are true and correct in all
material ways. I understand that any false statements contained herein are made subject to the
penalties of 18 Pa.C.S. § 4904 relating to unsworn falsification to authorities.

________________________________         ________________________________
Witness      Name:

Title:
PHILADELPHIA CODE CHAPTER 17-1300 CERTIFICATION
MINIMUM WAGE / BENEFIT ORDINANCE

Section A: Gross Receipts

Contractor, __________________________________________________ certifies that Contractor’s gross receipts are:

___ $1,000,000 per year or less
(Skip to Signature line)

___ in excess of $1,000,000 per year
(Complete Section B)

Section B: Minimum Wage

Contractor certifies that all employees working on this PHDC program will be paid a minimum of $13.25 per hour, excluding benefits. Employees being paid less than $13.25 per hour should be listed below:

<table>
<thead>
<tr>
<th>Employee Classification</th>
<th>Hourly Rate</th>
</tr>
</thead>
<tbody>
<tr>
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</tbody>
</table>

_____________________________________________ _________________________
Signature       Date

Printed Name & Title
Form W-9
Request for Taxpayer Identification Number and Certification

Give Form to the requestor. Do not send to the IRS.

Name (as shown on your income tax return)

Business name/disregarded entity name, if different from above

Check appropriate box for federal tax classification:
☐ Individual/sole proprietor ☐ C Corporation ☐ S Corporation ☐ Partnership ☐ Trust/estate
☐ Limited liability company. Enter the tax classification (C= Corporation, S=S corporation, P=partnership)
☐ Other (see instructions)

Exempt payee

Address [number, street, and apt. or suite no.]

City, state, and ZIP code

Requestor's name and address (optional)

List account number(s) here (optional)

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

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

Part II Certification
Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and

2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and

3. I am a U.S. citizen or other U.S. person (defined below).

Certification Instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions on page 4.

Social security number

Employer identification number

Sign Here
Signature of U.S. person

Date

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

Purpose of Form
A person who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) to report, for example, income paid to you, real estate transactions, mortgage interest you paid, acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA.

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN to the person requesting it (the requester) and, when applicable, to:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),

2. Certify that you are not subject to backup withholding, or

3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income.

Note. If a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

Definition of a U.S. person. For federal tax purposes, you are considered a U.S. person if you are:

• An individual who is a U.S. citizen or U.S. resident alien,
• A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States,
• An estate (other than a foreign estate), or
• A domestic trust (as defined in Regulations section 301.7701-7).

Special rules for partnerships. Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax on any foreign partners' share of income from such business.

Further, in certain cases where a Form W-9 has not been received, a partnership is required to presume that a partner is a foreign person, and pay the withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid withholding on your share of partnership income.
CERTIFICATION

I hereby declare that I have not used any position of influence to be selected to receive assistance under a city housing program. Further, I do hereby declare that I have filed the foregoing Proposal and do hereby certify that the statements made in the foregoing application as well as in all forms and documents that are attached are true and correct to the best of my knowledge, information and belief. I understand that false statements made herein are subject to the penalties of 18 Pa C.S.A. 4904, relating to unsworn falsification to authorities.

NAME (print): __________________________________________________________

TITLE:: ________________________________________________________________

COMPANY: ____________________________________________________________

SIGNATURE: ____________________________________________________________

DATE: __________________________________________________________________
## Heater Spec Form

<table>
<thead>
<tr>
<th>Spec Info</th>
<th>Unit Price $</th>
<th>Estimate Qty</th>
<th>Estimate Amount $</th>
<th>Approved Changes Qty</th>
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<th>Revised Qty</th>
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Total: 5,566.00

**Comments:**

Prepared By Training Instructor on 10/9/2013 6:08:30 PM
Approved By Donna Poccari on 10/9/2013 8:10:04 PM
EXHIBIT B
Home Improvement Programs
CHANGE ORDER POLICY

1. Change orders are submitted by the contractor, relying on his/her/its experience and expertise, to alter the original work order specifications prepared by PHDC for changes necessary to address the work ordered by PDHC.

2. All change orders must be authorized by PHDC prior to performing work. The contractor will not receive payment for unauthorized work and, in most cases, will not receive authorization after completing work.

3. The only exceptions to point #2 are when the changes are required for the immediate health and safety of the client, or the changes are required by code. Even under these emergency conditions, the contractor must first obtain verbal or email approval from a PHDC assistant manager, field supervisor or director and must submit a change order request the same day. The change order must indicate that verbal or email approval was obtained prior to change order being submitted and who gave the approval.

4. The contractor shall submit change order requests in the Contractor Portal. Requests must include the correct specification number (from the current Home Improvement Program Work Item Price List) and requested quantity.

5. PHDC will make every attempt to responding to all change order requests within three business days, unless a fund-limit waiver is required. PHDC will strive to respond within one business day. Contractors will receive notice of response to change orders by email.

6. PHDC may authorize small and/or simple change orders without site visits. However, as part of PHDC’s responsibility to control costs and limit work to items prescribed by the program design, PHDC reserves the right to visit every site.

7. PHDC Inspectors have the right to deny contractor change order requests. Contractors have the right to appeal Inspector denials. Appeals should be addressed to the Inspector’s immediate Supervisor. In such cases the Supervisor and the Inspector will consult, and possibly visit the site together. The contractor may also attend. Supervisors have the authority to resolve differences between inspectors and contractors. PHDC will, again, strive to follow the guidelines of response, as explained in point #3.

8. Change order approvals are only valid when approved by a PHDC Field Supervisor or Assistant Manager. Field Supervisor reviews are to determine the change order request is within the scope of the original work order and the case is within budget to assure sufficient fund balance in the client grant.
HOME IMPROVEMENT PROGRAMS
CERTIFICATIONS

JOB #: ___________ CLIENT: ____________________

ADDRESS: ______________________________________________

CONTRACTOR: ___________________________________________

I HEREBY CERTIFY that all work reported as complete on the attached invoice and specifications sheet has been completed in accordance with PHDC specifications and all applicable codes and regulations.

I CERTIFY that the quantities and costs reflect the work performed at the property listed above and request that PHDC inspect the work reported hereon and make payment.

I WARRANT that all work listed is guaranteed for one year against defects in material and workmanship (three years for mechanical equipment; ten years for roofs) from the date of PHDC inspection.

I CERTIFY that I will place no liens against the property as remuneration for the repairs described herein.

This agreement is binding on the parties hereto (Contractor, PHDC and Homeowner), their respective heirs, personal representatives, successors and assigns. This agreement is executed and delivered in the Commonwealth of Pennsylvania and shall be construed under the laws thereof.

CONTRACTOR SIGNATURE: ___________________________________________

DATE: ______________
## EXHIBIT D
### SAMPLE INSURANCE CERTIFICATE

### CERTIFICATE OF LIABILITY INSURANCE

**This certificate is issued as a matter of information only and confers no rights upon the certificate holder. This certificate does not constitute a contract between the issuing insurer, authorized representative or producer, and the certificate holder.**

**Important:** If the certificate holder is an additional insured, the policyholder must have additional insured provisions or endorsements if subrogation is waived; subject to the terms and conditions of the policy, certain policies may require an endorsement. A statement on this certificate does not confer rights to the certificate holder in lieu of such an endorsement.

<table>
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<tr>
<th>PRODUCER</th>
<th>BROKER</th>
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<th>CONTRACTOR</th>
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<td>ADDR.:</td>
<td>NFL, INC.</td>
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**COVERAGES**

**CERTIFICATE NUMBER:**

**REVISION NUMBER:**

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<tr>
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**DESCRIPTION OF OPERATIONS OCCUPIED BY VEHICLES (ACORD 861, Additional Premises Endorsement, may be attached to one coverage in total)**

**PHILADELPHIA HOUSING DEVELOPMENT CORPORATION AND THE CITY OF PHILADELPHIA ARE LISTED AS ADDITIONAL INSURABLES UNDER GENERAL LIABILITY, INCLUDING COMPLETE OPERATIONS, AND AUTO LIABILITY, WITH COVERAGE FOR THESE ADDITIONAL INSURABLES BEING PRIMARY AND NON-CONTRIBUTORY AS REQUIRED BY INSURED'S CONTRACT WITH PHILADELPHIA HOUSING DEVELOPMENT CORPORATION**

**CERTIFICATE HOLDER:**

**CANCELATION:**

**PHILADELPHIA HOUSING DEVELOPMENT CORPORATION**

**AUTHORIZED REPRESENTATIVE:**

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