



Residential Rehabilitation Operating Guidelines & Procedures

City of Tucson Housing and Community Development

310 N. Commerce Park Loop
Tucson, Arizona 85745
Phone: (520) 791-4171
TDD/TDY: (520) 791-2639

<https://www.tucsonaz.gov/hcd/program-policies-procedures>

Housing and Community Development Block Grant Program provides financing to for-profit and not-for-profit organizations for Residential Rehabilitation activities. The primary objective of the *CDBG Healthy Homes Repair Program and Home Assess Program* is to provide healthy and accessible homes in the Tucson City limits through the provision home modification, or home repair. Such programs evoke decent housing, a suitable living environment and expanded economic opportunities principally for persons of low- and moderate- income, defined as a person residing in a household with income at or below 80% of area median income adjusted for household size (LMI).

**THIS MANUAL IS A CONTINUOUS 'DRAFT' WORKING DOCUMENT, AVILBLE TO BE EDITED AT ANYTIME BY HCD STAFF ACCORDING TO HUD, EPA, AND LOCAL POLICY REQUIREMENTS. Notifications of changes will be immediate.*



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City of Tucson FY 2018
Home Access Program
Project Requirements

Property eligibility:

- Owner-occupied home built before 1997, within Tucson city limits.
- Assessed value shall not exceed home values established for the HOME Program.
- Mortgage (if any) and tax payments must be current.

Household eligibility:

- Household income \leq 80% of AMI (24 CFR Part 5 Income Determination completed by COT).
- At least one member of the household must be Over 62 OR Disabled and require home modification to remove barriers to safe access within the home.

Project selection:

- Date and Time complete application submitted to HCD.
- Family with two or more persons who are over 62 or disabled (1 preference point).
- Barriers create a risk of eviction/institutionalization (2 preference points¹).
- Barriers significantly inhibit independent living (1 preference points¹).

CDBG funding:

- Target of \$2,500 per home as called for in the Home Access Independent Living Goals Evaluation, repairs not to exceed MAX \$5,000 CDBG.

Terms:

- 100% Grant

¹ – Based on Home Access Independent Living Goals Evaluation of the subject property.

City of Tucson FY 2018
Healthy Homes Rehabilitation Program (CDBG)

Program Description

This program will affect enduring functional improvement to Tucson housing and neighborhoods by providing a healthy homes assessment and residential rehabilitation to a minimum of 10 single-family owner-occupied homes.

Available Funds: \$500,000

Minimum Award: \$250,000

Maximum Award: \$250,000

Maximum Number of Awards: Two (2)

Eligibility

- Organizations with a minimum of five years organizational experience completing owner-occupied low-income residential rehabilitation projects in compliance with 24 CFR 570.
(24 CFR Part 5 Income Determination completed by COT).

Selection Request For Proposals

- Applications will be reviewed for the following:
 - Organizational Experience
 - Historical Effectiveness
 - Capacity to carry out the FY 2018 Healthy Homes Rehabilitation Program
 - Leveraging: Preference given commensurate with the level of committed leveraging.

Program Activities

- A. Selected organization(s) shall provide outreach and navigation for potential clients and submit referrals to HCD. Property eligibility, income eligibility, quality control, and risk assessment will be provided by HCD. Individual projects will be assigned to selected organizations by HCD. Project delivery costs shall be documented and limited to 20 percent of project budget.
- B. For each Healthy Homes Rehabilitation project, the selected organization shall complete and submit to HCD a Healthy Homes Assessment per the form provided by HCD, identifying existing hazards, and the condition of all major systems within the home, the condition of all exterior surfaces of the home, and the condition of the site including vegetation, weeds, walls, and fences. Completion of the project must be feasible within a maximum \$40,000 budget inclusive of CDBG eligible items. Selected organization shall leverage CDBG funds with other sources to cover other items including CDBG eligible and non-CDBG eligible items such as major appliances, exterior paint, vegetation/weeds/trash, and fencing.
- C. In addition, selected organization will (a) Work with homeowner/applicants to pre-screen and assist them with filling out online housing rehabilitation program application. (b) Survey their clients (c) Provide pictures before, during, and after accompanied by a narrative on the impact the program had on the homeowner.

Program Expectations

The rehabilitation project shall be considered complete when;

- 1. Mitigation of health and safety hazards (lead paint*, asbestos, mold, carbon monoxide or fire)
- 2. Structural deficiencies or deficiencies in the electrical, plumbing, HVAC, window and door, or roofing systems have been corrected.
- 3. All deteriorated exterior surfaces or peeling paint have been restored.
- 4. All weeds have been removed and vegetation appropriately trimmed.
- 5. All trash, debris, and dead vegetation has been removed from the site.
- 6. Damaged walls and fencing have been repaired, replaced, or removed.
- 7. All required building permits have been finalized/closed.
- 8. HCD has inspected and approved the work.
- 9. Written project reports including “before” and “after” pictures and client surveys have been completed and submitted to the City in a form determined by the City.
- 10. Billing to City of Tucson shall be project- based.

Healthy Homes Rehabilitation Project Requirements

Property eligibility:

- Owner-occupied permanent site-built home built before 1997, within Tucson city limits.
- Assessed value shall not exceed home values established for the HOME Program.
- Mortgage (if any) and tax payments must be current, and property must be insured (can roll one year of flood insurance and/or dwelling-only insurance into the project).

Household eligibility:

- Household income \leq 80% of AMI (24 CFR Part 5 Income Determination completed by COT).

Project selection:

- Date and Time complete application submitted to HCD.
- Family with one or more persons over 62 or disabled (1 preference point).
- Located within City of Tucson CDBG Target Area (1 preference point).
- Any referral from a City of Tucson authorized Acute Emergency Home Repair Program or City of Tucson Home Access Program service provider following an on-site evaluation by the service provider. This includes the need for additional repairs following an on-site evaluation by the service provider that determines the scope of required home repairs is beyond that which can be addressed through the Acute Emergency Home Repair Program (3 preference points)
- First FY2018 Healthy Homes Rehabilitation Program project in each Ward (6 pref-points).

CDBG funding and Conditions:

- Target of \$25,000 per home, scope of work written based on Healthy Homes Assessment. Max \$40,000 CDBG.
- Scope of work determined by using the Healthy Homes assessment tool.
- Completed work evaluated by completing a second Healthy Homes assessment.
- The rehabilitation project must be comprehensive, partial rehabilitation projects will not be funded under the Program.
- Rehabilitation projects requiring in excess of \$40,000 of CDBG funding will not be funded under the Healthy Homes Rehabilitation Program.

Terms:

- A property lien shall be filed for the original contract amount, and file amended subsequent change orders thereafter for the full amount billed to the project, including overhead. Lien may be transferred to first line heirs occupying the house if household income is \leq 80% of AMI (24 CFR Part 5 Income Determination completed by COT).
- CDBG funding plus existing mortgage may not exceed 120% of assessed value or 100% of a recent (no more than one year old) appraisal.

Homeowner Rehabilitation Applications

Homeowner can apply online only by visiting the online application, or call 520-791-3141 for assistance. <https://www.tucsonaz.gov/hcd/comprehensive-residential-rehabilitation-programs>

Sub-Recipient Applications

When funds are available HCD will release a formal notice (email list serve, newspaper, and online) of a Request For Proposals. All Sub recipients are accepted through ZOOMGRANTS

A. Create a New ZoomGrants Account

1. If you DO NOT already have a ZoomGrants account, please create a new account. Copy and paste the following link into your browser: <https://zoomgrants.com/gprop.asp?donorid=2208> and enter the following information: **a. Email.** Enter an email that is (preferably) issued by your agency and easy to remember. Please keep this information in a safe and secure location. After creating your ZoomGrants account, you will be asked for this email every time you log in. **b. Password.** The password must be at least eight characters, and contain one letter and one number. Please keep this information in a safe and secure location. After creating your ZoomGrants account, you will be asked for this password every time you log in. **c. First Name:** Enter your first name; initial capitalization is fine (e.g., John). **d. Last Name:** Enter your last name; initial capitalization is fine (e.g., Smith).
2. Click the “New Account” button. A new window should appear, confirming you have successfully created a new account. Once you have created a new account, follow the steps below to apply for open programs.

B. If You Already Have a ZoomGrants Account

1. Go to <https://zoomgrants.com/gprop.asp?donorid=2208> and log in at the top right-hand corner of the screen. You should now be on the City of Tucson ZoomGrants web page. Click on the “Open Programs” tab.
 2. Click on the “Apply” button for “Homeowner Residential Rehabilitation Program.”
 3. You should now be on a page with the following tabs: “Summary,” “Pre-Application,” “Application Questions,” “Budget” and “Documents.”
 4. Click on the “Pre-Application” tab. You should now see the Pre-Application questions.
- Please note: the weblinks as advertised link an applicant specifically to the application referenced.

C. Pre-Application

1. The Pre-Application allows City Staff to review initial funding requests, and provide technical assistance, if appropriate, to assess applicant eligibility for the type of funding requested based upon the project description. (The Pre-Application Is not always mandatory)

Public Facilities

A City of Tucson Department/Division may be given an opportunity to submit, and engage in a Memorandum of Understanding (MOU) with HCD for their proposed project.

The Community Block Grant Development program requires that each CDBG-funded activity must either principally benefit low and moderate income persons, aid in the prevention or elimination of slums or blight, or meet a community development need having a particular urgency because existing conditions pose a serious and immediate threat to the health or welfare of the community. With respect to activities that principally benefit low- and moderate-income persons, at least 51 percent of the activity's beneficiaries must be low and moderate income. Some CDBG assisted activities, such as parks, neighborhoods, facilities, community centers and streets, serve an identified geographic area or 'TARGET AREA'. These activities generally meet the low- and moderate-income principal benefit requirement if 51 percent of the residents in the activity's service area are low and moderate income. *(All projects must comply with EPA, HUD, Fair Housing, and HCD policy & procedures) (HCD Staff, RRPC is responsible for IDIS reporting, project oversight, Payment Approvals)*

A City of Tucson Department/Division Project Proposal Details:

PROJECT APPROACH, DESCRIPTION AND NEED: How was your project developed? Outline involvement with key partners or stakeholders. Fully describe the project and how it will be implemented. Explain site control and permanence of improvements to be made. Provide information relating to preference areas as follows: ADA compliance, City's unfunded priority list, Pima County endorsement, commitment to invest resources and leverage, how stress factors, disparity and poverty are addressed, clearly describe the need for this project. **PROJECT TIME LINE:** Provide a project timeline that clearly identifies milestones to be identified. Provide realistic expectations for funded activities and outline if project is 'shovel ready' (planning, design and engineering areas have advanced to the stage where projects can be ready for the *competitive bid process*). Note that an environmental review and clearance is **required** for all projects, please contact HCD for further information if your project will impact a historic facility, is in a designated historic area, flood plain or you have other concerns regarding the location. **ORGANIZATIONAL CAPACITY:** Describe department/divisional organizational skills, experience and resources necessary to implement and manage the project. Describe staff's roles and responsibilities. Identify the program manager. Describe past project performance or success completing similar projects. **CENSUS TRACT:** State census tract location for your project. **BUDGET/LEVERAGE:** Provide a detailed budget for this project, outlining if project planning has been completed and include all soft/hard costs. State information relating to other funding sources that will be leveraged (amount/source), and specify if other funding is committed or proposed. Note that federal requirements including Davis Bacon, Section 3, etc. will apply to your project.

Lead Based Paint Requirements & Compliance

1. If lead based paint is discovered at a project site, any mitigation shall be administered by HCD; the selected organization shall coordinate all other rehabilitation activities at the site with HCD to ensure timely and effective completion of all rehabilitation activities.
2. Lead Safe Work Practices will be determined, and enforced by RRPC. EPA's Lead Renovation, Repair and Painting Rule (RRP Rule) requires that firms performing renovation, repair, and painting projects that disturb lead-based paint in homes, child care facilities and pre-schools built before 1978 have their firm certified by EPA (or an EPA authorized state), use certified renovators who are trained by EPA-approved training providers and follow lead-safe work practices.
3. Federal law requires that before being obligated under a contract to buy housing built prior to 1978, buyers must receive the following from the homeseller:
 - An EPA-approved information pamphlet on identifying and controlling lead-based paint hazards titled [Protect Your Family From Lead In Your Home \(PDF\)](#).
 - Any known information concerning the presence of lead-based paint or lead-based paint hazards in the home or building.
 - For multi-unit buildings, this requirement includes records and reports concerning common areas and other units when such information was obtained as a result of a building-wide evaluation.
4. EPA: <https://www.epa.gov/lead/renovation-repair-and-painting-program>

Training

All Contractors and HCD Rehab staff receive required EPA Training & Certifications to include RRP, Risk Assessor & Lead Supervisor required for this specialized Lead Safe Work Practice. *Certifications are readily available, and kept on file at HCD home office.*

In addition, RRPC receive annual Inspector Training, and building code training when available.

HCD Housing Rehabilitation Staff hold Fair Housing Training Completion Certifications.

HCD Housing Rehabilitation Staff are encouraged to take computer-training courses available to them year round. Organizational training includes required OSHA, Hazardous Materials (MSDS) personal safety, and health & wellness, disaster preparedness, active shooter, and social safety trainings provided by the City of Tucson organization.

Fair Housing Requirements & Compliance

HCD Housing Rehabilitation Staff hold *Fair Housing Training Completion Certifications*, and further provide funding to Southwest Fair Housing Council to help support them with the data and tools that will help them to meet long-standing fair housing obligations.

The Federal Fair Housing Act (and its Amendments) protect individuals from being discriminated in housing because of their:

1. Race
2. Color
3. National Origin
4. Religion
5. Sex
6. Familial Status (having children under the age of 18 living in the home)
7. Disability

Federal Fair Housing laws **prohibit discrimination** in the following aspects of housing:

- Rental/Sale/Leasing
- Mortgages and Lending
- Appraisals
- Advertising
- Construction
- Design
- Zoning

If you feel you have witnessed or been the victim of housing discrimination, please call the toll free number (1-888-624-4611) Or Visit them in Tucson: 177 N Church St, Suite 1104, Tucson, AZ 85701 (520) 798.1568. <http://swfhc.com/> <https://www.hud.gov/fairhousing>

Contractor Selection, Oversight & Disputes

- Ensure all have current insurance meeting COT & program requirements.
- Ensure all have current EPA certifications meeting program requirements
- Must have current Arizona Registrar of Contractors License
- Contractor selected from 3 competitive bids, bids cannot be above or below 10% of inspectors estimate without written approval signed by both parties.
- Homeowner may select a contractor to be considered. HCD will provide guidance to homeowner to ensure contractor meets requisite criteria, and on through the project.
- Changes of scope, and cost estimates must be reasonable, and can only be determined, approved, by the HCD Residential Rehabilitation Project Coordinator (RRPC), approval signatures by all parties to the contract by be attained on the change order prior to final authorization by the Project Supervisor/Administrator. The RRPC shall pull from a variety of sourcing to ensure costs are reasonable. The RRPC shall reference the most appropriate edition 'Book of RS Means', conduct local cost comparisons, and employ recent similar historical & experiential costs to determine, and ensure the all housing rehabilitation costs are reasonable.
- The public, agencies, contractors, and stakeholders will be advised by detailed written communication any overall work specifications have changed due to industry changes or other reasons. Work specifications (to include policy & procedures) shall also be available upon request at any time by HCD staff, who are aware or both the electronic and hard copy locations.
- All Contractor and or Contract disputes can first be addressed to the RRPC & Project Supervisor/Administrator. If resolution has not been reached, the 'Registrar of Contractors' shall be contacted for resolution, which may include mediation.
<https://roc.az.gov/complaints-and-investigations> (Tucson Office: (520) 628-6345)

Database Maintenance

RRPC must maintain several sites on a regular basis to assure reliable data tracking for all projects. Such data is used for various reporting venture, and IDIS.

- Updated as cases are closed for retention and destruction
S:\REHAB\FILES- Housing Files

- (A) Payments & Project Tracking
S:\REHAB\REHABSHARE\ACCOUNTS

- (B) Policy and Procedure, Work Specs, and program information
S:\PCcommon\PCD Division\REHAB

- (C) Waiting list downloads, program lists.
S:\PCcommon\PCD Division\REHAB

- (D) Intake & Eligibility
S:\PCcommon\PCD Division\REHAB\5 REHAB Comprehensive Residential Rehab Program (CRR)

- (E) 3 CRRP COT PROJECT & ACCOUNT TRACKING SHEET
S:\PCcommon\PCD Division\REHAB\5 REHAB Comprehensive Residential Rehab Program (CRR)

- (F) HCD Housing Rehabilitation Staff are encouraged to take *computer-training courses* available to them year round.

Reviewing Case Documents

All Personal Client Information shall remain secured in the office, and not taken into the field.

- Client Meets Eligibility: The income/asset memorandum consists of four sections:

Name & address	Source of income
Total household income	Assets

- Ensure PC estimated repair costs are reasonable and relative to market value

- All Bid Breakdown Sheets are to be on legal sized paper

- Ensure contract work does not exceed grant amount

- Ensure names, addresses, and amounts are accurate on all Encumbrances / Payments

- The RRPC is to write the Rehab Work Required (RWR), per program guidelines and include alternate item(s), per same guidelines; this may put the total cost of the job over program limits. Approval of Alternates as a Change Order occur in the event the original base bid was less than the grant limit and no concealed conditions arose from the original scope of work that necessitated a Change Order, precluding authorization of work on the alternate item(s).

- When including alternate items on a RWR separated the alternate items from the base bid items by a large shaded space. Include, in this space the wording “**Alternate Items Listed Below**”, preferable in two or three location across the shaded area in larger font.

- RWR Request for Approval memorandum must be specific as it relates to Lead Base Paint. Use specific terms such as - "post 1978", “no disturbed paint”, " disturbed paint tested negative ".

- Approved Change Orders are for concealed conditions or omissions to the original scope of work or for alternate items contained on the RWR. The file copy is to include the “Explanation and Cost Breakdown for Change Order”, detailing both the Project Coordinators and contractors costs for each line item.

- RRPC shall extend contracts three days prior to their scheduled completion date.

- RRPC complete all portions of the Progress Payment / Final payment, inspection forms.

Case Sequence

- File development
 - Pull applicants from Program List
 - Transfer information to appropriate spreadsheet.
 - Check Environmental and Served Client databases
 - Print and attach file label to include Program, Name, Address, Contact Number
 - Pull assessors records, tax records and ownership deeds
 - Pre-qualify applicant by phone (size of household, income, etc.)
 - Set appointment for initial field visit
 - Pull all paperwork for initial visit and put in file.

- Interview (Eligibility Checklist)
 - Application
 - Information authorization
 - Staff Ownership verification
 - Income documentation
 - Conduct Home inspection, note repairs for Scope of Work
 - Photos
 - Lead Safe Rule Pamphlet : Lead Risk Assessment and samples (If required)
 - Owner Acceptance of RWR
 - Subordination Agreement (lien)

- RWR write up & package for bid (Scope to follow CDBG PCD Specifications & Policy)
 - Conduct Environmental Review
 - RWR Approval Memo
 - Owners Acceptance
 - RWR write up, cost estimates & drawings
 - Risk assessment and Lead Report to Home owner
 - Photos

- Bid Process
 - Bid package – Bid & Proposal, Intention to Receive Sealed Bids & RWR (Goes to Contractors via email)
 - Mail bid letter & copy of RWR to homeowner(s)
 - Print contractors bid list put in file

- Bid opening
 - Retrieve bid book & bids from front desk
 - Open bids and log into bid sheet (Minimum 2 people to open bids)
 - Scan bid, log and email to contractors
 - Winning bid cannot exceed PC bid by more than 10%, review own estimate or negotiate cost with contractor; no resolution results in re-bid of the RWR.
 - Call homeowner with winning contractor and set appointment for contract signing.
 - Non awarded bids become part of file

- Second Visit (Contract signing Homeowner)
 - Bid & proposal (Award)
 - Contractor / Homeowner Contract
 - Pull license from ROC (home owner to sign only if issues)
 - Addenda to contract
 - Notice to proceed
 - Lien (perpetual)
 - Notary book (perpetual)

- Additional File assembly
 - Assemble project books for homeowner, contractor & project file, per contract
 - Complete encumbrance; attach Grant Summary & Bid & Proposal, along with a file copy to outside of file. Submit file for approval.
 - Create separate lien file, with signed, unrecorded lien. After project closure, complete lien, with final dollar amount, forward for recording at Pima County Recorder. Upon return, place original in lien file, send copy to homeowner, along with original encumbrance and any change orders, place copy in project file, submit lien file for processing.
 - Turn in completed file for approval

- Execute contract with contractor
 - Advised contractor contracts are ready for signature and execution.
 - Indicate where contractor signs on Addenda, Contract & Notice to Proceed
 - Request start date on Contract
 - Set file at front desk addressed to contractor

- Executed contracts
 - Call homeowner with proposed start date, advise contractor will be in touch
 - Mail contract book to both homeowner and contractor
 - Update all data bases

- Project Construction
 - Site visit inspections to assure quality control, avoid any unforeseen issues, and determine skilled employees complete work.
 - Change orders and inspections (payments, change order (DA23), and database updates)
 - Permit inspections, clearance of permits by COT
 - Clearance wipes (if applicable)

- Final inspection
 - Walk through with Contractor and homeowner
 - Final inspection with Homeowner and Contractor
 - Process payment (partial, lien waiver, final inspection form, and invoice)
 - Clean up file and put in order according to Case file Organization
 - Have file checked by Quality Control personnel.

- Turn in closed file to be logged into S:\CDD\REHAB\FILES Housing Files1

Lead Hazard Control Case Example

Inquiries/referrals

- Referrals and or lead inquiries are numbered and placed into a database.
- Assignment of cases is in sequential order from said database; a child referred, with an elevated blood level, they take priority over existing cases.

Case Assignment

Property Eligibility

- Verify property is within City Limits
- Verify property was built prior to 1978
- Verify status of property – single family and/or attached to real property
- Verify ownership (property records)
- Verify property taxes are current and absence of tax liens, etc.

Applicant Eligibility

- Verify child under six resides in home or visits on a regular basis.
- Assist homeowner with completion of program application
 - Address & contact numbers
 - Individuals in household (names and ages)
 - Income of individuals (80% of HUD median)
 - Note areas of concern
 - Explain and leave EPA “Renovate Right” pamphlet
 - Obtain permission to conduct lead testing through accredited outside firm

Note: income verifications must be in written form.

Risk Assessment

- Request Lead Base Paint risk assessment from ECS Services
- Upon receipt of Risk Assessment, notify homeowner of findings. If lead above the approved threshold is found, schedule inspection. If not, provide homeowner with report and close case.

Blood Testing

Lead found above the allowable limit, mandates any children under the age of six have a blood test to determine if lead exposure has occurred. If a homeowner chooses not to have their child or children tested, they will not be able to participate in the program, as this is a HUD requirement for participation in the Lead Hazard Control Program.

Note: Blood test/results take place before inspection

Scope of Work

- Determined by findings in Risk Assessment Report
- Detailed, written identification of work performed and method – interim controls vs. abatement.
- Homeowner approves scope of work
- Estimate determined by RRPC prior to receiving bids

Bid process

- Bid package consisting of Bid & Proposal, Notice of Intention to Received Bids, Owner Acceptance, and Scope of Work provided to a list of contractors approved by City of Tucson staff (Licensed, bonded & insured).
- Proof of EPA certification of firm and individuals must be on file prior to commencement of lead work.
- Bids are received in a sealed envelope on a given date and time, clearly showing the name of the resident & address.
- RRPC determines eligibility of bid

Contracts

- Notify homeowner and contractor of winning bid; schedule appointment with homeowner.
- Execute Acceptance of bid and contract documents with homeowner.

Approval & Processing of Funds

- Purchase order completed and approved for Lead Hazard Work
- Contractor signs Lead Hazard Contract
- Any applicable permits will be submitted
- Issue Notice to Proceed

Construction Work

- RRPC will be on site for containment set up and for final cleaning.
- Periodic inspections conducted to confirm compliance with appropriate regulations such as EPA & OSHA, occupancy protection and conformance with work specifications/code.
- Change orders approved by the RRPC and Grant Administrator.
- Costs for additional work will be determined by the RRPC prior and independently of the Contractor prior to completion of work.

Clearance

- Clearance testing conducted by RRPC no later than 1 hour after approved method of cleaning has occurred.
- Minimum of nine wipes taken from common areas and bedroom(s) of children under six (Must be (1) from windowsill and (1) from the floor of each room.)
- Clearance samples will be packaged and shipped out same day.
- Test results provided within 24 hours of lab receipt of samples.
- Clearance test failure requires notification to both Contractor and Homeowner.
- RRPC will be on site for subsequent cleaning and will test no later than 1 hour after approved method of cleaning.
- Test results provided within 24 hours of lab receipt of samples.
- Subsequent clearance failure(s) follow same protocol but contractor is responsible for additional testing costs and relocation if applicable.

Payment of Contract

- Project must achieve final clearance before disbursement of funds.
- RRPC will conduct all inspections (partials & final) for completed work and will obtain homeowners authorization prior to release of funds.
- Homeowner will sign a certificate of acceptance and satisfaction
- Contractor will issue a letter of guarantee.

Close out of File

- Closing packet to homeowner, to include but not limited to Certificate of Post-Abatement clearance, change order(s), contractor report, and copy of On-going Monitoring and Maintenance Acknowledgement form.
- In file, place original On-going Monitoring and Maintenance Acknowledgement form signed by homeowner(s) acknowledging notification of intent to conduct subsequent lead dust sampling/analysis on first anniversary of project completion.
- Enter owner information and subsequent test date in database.

CASE FILE ORGANIZATION
(CDBG Funded Projects)

LEFT SIDE (from bottom up)

RIGHT SIDE (from bottom up)

1. Approved RWR (include memo, pictures, drawings, etc).	1. Contact Letter
2. Client Bid Letter	2. Application (program intake form, & healthy home).
3. Authorization to take Lead Base Paint samples (non-LHC).	3. Verification of Age –
4. Chain of Custody – Copy	4. Older American Agreement -
5. Risk Assessment Report	5. Assessor Record
6. Fiberquant Partial	6. Real Estate Tax Inquiry
7. Non-winning bids & Write ups (numerical order)	7. Ownership deed (warranty, disclaimer, JT/RS, Etc).
8. Bid Response Sheet	8. Pima County Record Search (note discrepancies & provide explanations).
9. Contract Book (see attached for contract book organization).	9. Staff Ownership Review
10. Bid Determination Memo (if, required +/- 10%).	10. Environmental Review
11. One Bid Only Memo	11. Information Authorization
12. ROC License Check (note reason for open complaints & obtain homeowners signature verifying knowledge of complaint).	12. Income/Assets (pay stubs, taxes, bank statements, etc.).
13. Partial Payment Requests (lien waiver, checks, etc).	13. Memo to File (name, income, assets, etc.).
14. Lead Clearance	14. Homeowner Contribution Form (if applicable).
15. Final Payment	15. Encumbrance, with Application for Grant & Bid (bid & proposal is removed & placed in contract book, once approved).
16. Sources & Payments	16. Change Order(s) Encumbrance (DA23, change order & explanation of change order).
17. Copy of Permit (if required) & Evidence of Clearance	17. Subordination Agreement (signed by HO & PC).
18. After Pictures	18. Copy of Recorded Lien, if applicable.
19. Notice of Completion (Pending, completion of policy changes)	19. Copy of applicable “Checklist”.
20. Chrono	

LEAD CASE FILE ORGANIZATION

FILE PAGE 1 (from bottom up)

FILE PAGE 2 (from bottom up)

1. Approved RWR (homeowner acceptance, write-up, before pictures, attachments, etc).	1. Partial Payments (lien waivers, checks, etc).
2. Client Bid Letter	2. Final Payments (lien waivers, checks, etc).
3. Non Winning bids & write ups	3. Sources & Payments
4. Bid Response Sheet	4. Notice of Completion (pending, completion of policy changes)
5. Contract book	
6. Bid Determination Memo (if required, +/- 10%).	
7. One Bid Only Memo	
8. ROC License Check (note reason for any open complaint & obtain owners signature, verifying awareness of complaint).	
9. Copy of Permit (if required) & evidence of clearance.	
10. After Pictures (if taken)	
11. Chronology Sheet	

LEAD CASE FILE ORGANIZATION

FILE PAGE 3 (from bottom up)

FILE PAGE 4 (from bottom up)

1. XRF request, if applicable	1. Visiting Child Documentation (if applicable)
2. ECS Lead Report	2. El Rio Community Health Blood Referral (if applicable)
3. ECS Lead Report Invoice, unless XRF request by SERI	3. Blood Test Results
4. Partial - Payment to ECS for Lead Report (accounting).	4. Resident Agreement to Vacate Premises during lead work (no relocation).
5. Notification to EPA (sent by contractor prior to construction)	
6. Partial – Payment to ECS for Clearance Wipes (accounting).	
7. Certificate of Lead Base Paint Compliance (attach wipe results – and provide copy to owner).	
8. Lead Hazard Reduction Activity Report	

LEAD CASE FILE ORGANIZATION

FILE PAGE 5 (from bottom up)

FILE PAGE 6 (from bottom up)

1. Temporary Relocation Brochure & Policy receipt	1. Contact Letter (if applicable)
2. Eligibility Relocation Options	2. Application
3. Temporary Move Agreement & Consent	3. Assessor Record
4. Temporary Relocation letter	4. Real Estate Tax Inquiry
5. Explanation of Benefits as it relates to Income	5. Ownership Deed (warranty, disclaimer, JT/RS)
6. Confirmation Letter to Hotel	6. Pima County Record Search (note discrepancies & provide explanations).
7. Payment Authorization (to owner) for food allowance. Attach food allowance per diem to authorization.	7. Staff Ownership Review
8. Payment Authorization (to owner) for self-move. Attach Temporary Relocation Benefit Table to authorization.	8. Environmental Review
9. Copy of Check for Food/Move Allowance, signed by owner.	9. Information Authorization
10. Payment Authorization (to owner) for additional food allowance – if required.	10. Income (pay stubs, taxes, bank statements, etc)
11. Copy of Check for Additional Food Allowance, signed by owner.	11. Homeowner Contribution Form (if applicable)
11. PODS Encumbrance (set-up), attach invoice.	12. Encumbrance, with grant app & bid (detach bid and place in contract book, once approved)
12. PODS Partial, attach invoice	13. Change Order(s) Encumbrances (DA23, change order, explanation and cost breakdown for change order)
13. PODS Encumbrance (pick-up), attach invoice.	14. Subordination Agreement (signed by HO & PC)
14. PODS Partial, attach invoice.	15. Recorded Lien, if applicable
15. “Hotel” Encumbrance, attach room breakdown.	16. Copy of applicable checklist.
16. “Hotel” Partial, attach invoice & remit payment as a direct pay. Note: Encumbrance & partial required for every room.	

Supplemental Guidance from COT Procurement/ Selecting Contractors

>>> Kristina Tequida Thursday, April 05, 2018 2:24 PM >>>

That pretty much sums it up! Let me know if you have any additional questions.

Thank You,

Kristina Tequida

Senior Contract Officer

City of Tucson

Business Services Department

Shared Services - Procurement

255 W Alameda, 6th Floor

[520-837-4126](tel:520-837-4126)

>>> Raymond Quihuis 4/4/2018 2:11 PM >>>

Kristina & Terry,

Thank you both for your time, and consideration in trouble shooting our unique circumstances.

Before I march forward as discussed, I wanted to confirm the basics steps with you both one last time.

Please let me know that I understand correctly, and am on the right track. Very much appreciated!

Ray

Contractor lists are potentially available for HCD use:

1. HCD Contractor Bid List (existing)
2. COT Building Modifications JOC List
3. Pima County LEAD JOC List

Solicitation Process:

1. CITY requires at least 3 Bid Requests be solicited to any Contractor on the List(s).
2. Selection of any solicited Contractors can be justified (and recorded) according to HCD need.

For example, but not limited to;

- Quick Responsiveness
- Size of Project
- Size of Firm
- Type of Work

Awarding Bids:

1. CITY requires at least 3 Sealed bids, (HUD requires 2) before awarding
2. Low bidder does not guarantee bid-award, with suitable justification.

For example, but not limited to;

- Responsiveness
- Size of Project & Size of Firm
- Past performance
- Repeated Time Extensions
- Specialty of Work
- Project Overload

3. When only 1 bid is received, a Complete 'Re-Bid' is not necessary, additional bids can be requested and then added to meet the 2 bid minimum.

4. Clumping projects together beneath the formal threshold of \$100k is permissible.

Electronic Bidding as a normal practice (Email):

Sealed bidding preferred for all formal solicitation for bidding. Sealed means box or enveloped or package which is not tampered, and sealed. Formal solicitation is the process of sending out a scope of work to contractors, and requesting a bid from them. Therefore; 'Electronic Bidding' is not accepted as a preferred method of receiving a sealed bid for formal solicitation of bids for our projects.

##

End

Ray Quihuis, MA.

Program Director,

Lead Hazard Control Program, & Housing Rehabilitation Services.

City of Tucson

Housing & Community Development Department

310 N. Commerce Park Loop

Tucson, Arizona 85745

[520-837-5336](tel:520-837-5336)

Raymond.Quihuis@Tucsonaz.gov

>>> Kristina Tequida Tuesday, April 03, 2018 3:46 PM >>>

Hello,

As promised, here are the links to both contract.

http://webcms.pima.gov/UserFiles/Servers/Server_6/File/Government/Procurement/Design%20and%20Construction%20Solicitations/Active/290154,%20JOMA-%20Asbestos%20Abatement%20Lead-Based%20Paint%20Abatement%20&%20Mold%20Remed....pdf

^^ Pima County Solicitation

http://tucsonprocurement.com/internal_SearchResults.aspx?ContractNum=120530&ContractTitle=&Keywords=&VendorName=&Department=&selecttype=Internal&orderby=ContractTitle

^^ link to City of Tucson JOC for Facility Modifications, Repair & Maintenance.

I just heard back from Pima County and their JOC does not contain cooperative language. However, this would be a good jumping off point if we decided to create our own JOC.

Thank You,

Kristina Tequida

Senior Contract Officer

City of Tucson

Business Services Department

Shared Services - Procurement

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[520-837-4126](tel:520-837-4126)