

Maine State Housing Authority (MaineHousing)  
LEAD HAZARD REDUCTION DEMONSTRATION PROGRAM

**PROJECT COVER SHEET – MULTI-FAMILY**

**INSTRUCTIONS:** Complete this Cover Sheet and the forms contained in this Bundle will auto-populate. Adobe's bookmark feature provides users with access to each form contained in the Bundle. The Cover Sheet does not contain all the fields needed to completely populate forms. Review the forms, provide missing data and then print completed documents for signature(s). Forms not contained in the Bundle can be downloaded from the CAA Portal.

**Provide the following data:**

APPLICANT (OWNER)	
Company Name	_____
First Name	_____ MI _____
Last Name	_____
Mailing Address	_____
City	_____
State	_____ Zip _____
Daytime Telephone	_____
Evening Telephone	_____
Email	_____

CO-APPLICANT (CO-OWNER)	
Company Name	_____
First Name	_____ MI _____
Last Name	_____
Mailing Address	_____
City	_____
State	_____ Zip _____
Daytime Telephone	_____
Evening Telephone	_____
Email	_____

PROPERTY	
Property Street	_____
Property City	_____
Property State	_____ Zip _____
County	_____

CAA (ESCROW AGENT/ADMINISTRATOR)	
CAA Name	_____
Mailing Address	_____
City	_____
State	_____ Zip _____
Telephone	_____
Rep Name	_____
Rep Telephone	_____
Rep Email	_____
Inspector Name	_____
Inspector Telephone	_____
Inspector Email	_____
Intake Worker Name	_____
Intake Telephone	_____
Intake Email	_____

PROPERTY TYPE	
<input type="checkbox"/> Single Family	
<input type="checkbox"/> Multi-Family	# of Units _____

CONTRACT	
Contract/Grant Amount	\$ _____
Contract/Agreement Date	_____
Project Completion Date	_____
Interior Start Date	_____
Interior End Date	_____
Exterior Start Date	_____
Exterior End Date	_____

OWNER-OCCUPIED UNIT	
<b>UNIT #</b>	_____
Household Size:	_____
Maximum Eligible Income:	_____
AMI:	_____

CONTRACTOR	
Contractor Name	_____
Mailing Address	_____
City	_____
State	_____ Zip _____
Telephone	_____
Contractor Rep Name	_____
Contractor Rep Telephone	_____
Contractor Rep Email	_____
Lead Designer Name	_____
Lead Designer Telephone	_____
Lead Designer Email	_____

**TENANT INFORMATION**

**UNIT #**

Tenant Name \_\_\_\_\_  
First MI Last

Co-Tenant Name \_\_\_\_\_  
First MI Last

Mailing Address \_\_\_\_\_  
City, State Zip \_\_\_\_\_  
Telephone \_\_\_\_\_  
Email \_\_\_\_\_  
Household Size: \_\_\_\_\_  
Maximum Eligible Income: \_\_\_\_\_  
AMI: \_\_\_\_\_

**UNIT #**

Tenant Name \_\_\_\_\_  
First MI Last

Co-Tenant Name \_\_\_\_\_  
First MI Last

Mailing Address \_\_\_\_\_  
City, State Zip \_\_\_\_\_  
Telephone \_\_\_\_\_  
Email \_\_\_\_\_  
Household Size: \_\_\_\_\_  
Maximum Eligible Income: \_\_\_\_\_  
AMI: \_\_\_\_\_

**UNIT #**

Tenant Name \_\_\_\_\_  
First MI Last

Co-Tenant Name \_\_\_\_\_  
First MI Last

Mailing Address \_\_\_\_\_  
City, State Zip \_\_\_\_\_  
Telephone \_\_\_\_\_  
Email \_\_\_\_\_  
Household Size: \_\_\_\_\_  
Maximum Eligible Income: \_\_\_\_\_  
AMI: \_\_\_\_\_

Maine State Housing Authority (MaineHousing)  
LEAD HAZARD REDUCTION DEMONSTRATION GRANT PROGRAM

**APPLICANT ACKNOWLEDGEMENT OF LIMITED FUNDS**

**APPLICANT (BORROWER):**

\_\_\_\_\_  
Company Name (if applicable)

\_\_\_\_\_  
First Name            MI            Last Name

**PROPERTY:**

\_\_\_\_\_  
Property Street

\_\_\_\_\_  
Property City                      Property State            Property Zip

**CONTRACTOR:**

\_\_\_\_\_  
Contractor Name

**CO-APPLICANT (CO-BORROWER):**

\_\_\_\_\_  
Company Name (if applicable)

\_\_\_\_\_  
First Name            MI            Last Name

**COMMUNITY ACTION AGENCY (CAA)**

\_\_\_\_\_  
CAA Name

\_\_\_\_\_  
Mailing Address

\_\_\_\_\_  
City                                      State                      Zip

**CONTRACT AMOUNT:** \$ \_\_\_\_\_

**CONTRACT DATE:** \_\_\_\_\_

I/We the above referenced Owner(s) acknowledge and understand that the purpose of the funds being provided under the Lead Hazard Reduction Demonstration Grant Program (the "Program") is to reduce lead hazards in the above referenced Property. I/We also understand that the funds being provided to me/us under the Program may not be sufficient to address all lead hazards in or around the Property and that I/we will be responsible for providing any additional funds which may be necessary to address all such hazards. MaineHousing reserves the right to deny any project if completion of project can not be met under Program funding guidelines. MaineHousing will review each project on a case by case basis.

I/We acknowledge and understand that the lead hazards to be addressed through Program funds will be those specifically identified in a Program Construction Contract between me/us and the above named Contractor on the above written Contact Date and such identified hazards will be mitigated in accordance with lead hazard control guidelines established by the Maine Department of Environmental Protection.

I/We, acknowledge that I/we have received a copy of the United States Environmental Protection Agency pamphlet entitled *Protect Your Family from Lead in Your Home* and a copy of the *Lead Inspection Report* prepared in connection with the above referenced Property.

**Signed by all owners of the property:**

\_\_\_\_\_  
Signature of Applicant (Owner)

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Co-Applicant (Co-Owner)

\_\_\_\_\_  
Date

**If I am an owner of rental properties that are enrolled into this Program, I further certify, by signing below, that the above referenced brochure and Lead Inspection Report has been distributed to my tenants as required by law.**

\_\_\_\_\_  
Signature of Applicant (Owner)

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Co-Applicant (Co-Owner)

\_\_\_\_\_  
Date

Maine State Housing Authority (MaineHousing)  
 LEAD HAZARD REDUCTION DEMONSTRATION GRANT PROGRAM

**TRUTH AND LENDING STATEMENT**

**TO:** \_\_\_\_\_

**LOAN TYPE:** Lead Hazard Reduction Demonstration

**FROM:** \_\_\_\_\_

<b>Annual Percentage Rate*</b> The cost of your credit as a yearly rate.	<b>Amount Financed</b> The amount of credit provided to you or on your behalf.	<b>Total of Payments</b> The amount you will have paid after you have made all payments scheduled.	<b>Finance Charge</b> The dollar amount the credit will cost you.	<b>Total Sale Price</b> (If purchase) The total cost of your purchase on credit, including your down payment.
%	\$	\$	\$	\$
				\$

(Credit Sales)

\*The annual percentage rate does not take into account any deposit you may have been required to make.

**Itemization:** You have a right at this time to receive an itemization of the Amount Financed.

I want an itemization.  I do not want an itemization.

**Your payment schedule will be:**

Number of Payments:	Amount of each Payment	When payments are due

**Insurance:** You may obtain insurance against loss or damage to property, or against liability arising out of ownership or use of the property if required, from any recognized insurer you want.

**Security:** You are giving a security interest in:  the property being purchased.  other property.

Brief description of other property: \_\_\_\_\_

**Late Charge:** If payment is late, you will be charged \_\_\_\_\_% of the payment.

**Prepayment:** If you pay off early, you will not have to pay a penalty.

**Assumption:** Someone buying your house

- May, subject to conditions.
- May not assume the remainder of the mortgage on the original terms without prior written consent.

See your loan documents (mortgage of deed of trust, promissory note, payment assistance, subsidy repayment agreement) for additional information about prepayments, default, and any required repayment in full before the schedule date. Note: The above disclosures do not take into account any subsidy which may be granted, subject to conditions, in the form of payment assistance.

I acknowledge receipt of the above disclosures. I received an original of this statement prior to becoming legally obligated to the lender. I understand that the estimated disclosures are identified by an "e".

\_\_\_\_\_  
Signature of Applicant

\_\_\_\_\_  
Signature of Co-Applicant

**Itemized of the Amount Financed of :** \_\_\_\_\_

\_\_\_\_\_ Amount given to you directly.  
 \_\_\_\_\_ Amount paid on your account.

**Amount paid to other on your behalf:**

\_\_\_\_\_ To (public officials) (credit bureau).  
 \_\_\_\_\_ To (name of other creditor).  
 \_\_\_\_\_ To (other).  
 \_\_\_\_\_ Prepaid finance charge.

Maine State Housing Authority (MaineHousing)  
LEAD HAZARD REDUCTION DEMONSTRATION GRANT PROGRAM

**MULTIFAMILY MORTGAGE DEED AND SECURITY AGREEMENT**

**1. Words Used Often in This Document.**

- A The word "Mortgage" means this document which is dated \_\_\_\_\_
- B. The words "I", "me", "my", "mine" and "the borrower" means each person who signs as a consumer below.
- C. The words "you", "your" or "the bank" means \_\_\_\_\_ and its successors and assigns.
- D. The word "Note" means, collectively, one or more promissory notes in the aggregate amount of \$ \_\_\_\_\_ signed by me and dated the same date as this Mortgage and any extension, renewal, refinancing or allonge of such note(s).
- E. The word "Property" means the property which is subject to this Mortgage and which is described below.

**2. Grant of Mortgage and Description of Property.**

As security for the Note, I grant to you the property which is located at:

\_\_\_\_\_ (Street)  
\_\_\_\_\_ (Town/City)  
\_\_\_\_\_ (County), Maine \_\_\_\_\_ (Zip)

with all rights that the law gives to mortgage holders including the rights known as "mortgage covenants," except you agree not to use any encumbrances identified in this Mortgage as the basis for exercising these rights. The Property has the following legal description (legal descriptions may be attached):

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This Mortgage also covers all additions to and improvements of the property, including without limitation, the following mobile home (if applicable):

Make: \_\_\_\_\_ Model: \_\_\_\_\_

Serial number: \_\_\_\_\_

This is the same Property conveyed to me by deed or lease dated \_\_\_\_\_, recorded in the \_\_\_\_\_ County Registry of Deeds in Book \_\_\_\_\_, Page \_\_\_\_\_. The Property is not already subject to a prior first mortgage given to \_\_\_\_\_ dated \_\_\_\_\_, recorded in said Registry in Book \_\_\_\_\_, Page \_\_\_\_\_.

**3. Default and Foreclosure.**

I am in default if I make any false statements in or break any promises under this Mortgage, the Note, the Borrower Affidavit or any other document I signed as part of my application for this loan. I am also in default if I break any of the promises made to the holder of my first mortgage, if any.

If I am in default you may demand immediate payment of the entire remaining balance under the Note. If you require Immediate Payment in Full you will send me a notice which states this requirement. The notice will give me at least 30 days to make payment in full. The 30-day period will begin on the date which is 3 days after the day the notice is mailed or, if it is not mailed, on the date the notice is delivered. If I do not make payment in full during that period, you may bring a lawsuit for foreclosure without giving me any further notice or demand for payment. I agree to pay your reasonable expenses in exercising your rights under this paragraph, including attorneys' fees, costs, and agent's compensation.

**4. Future Advances.**

You may, at your sole option, make future advances to me, provided however, that the total principal amount secured hereby and remaining unpaid, including such advances, shall not at any time exceed \$100,000 for lead paint hazard control loans. This does not limit advances to protect your security. I shall execute a note or an allonge evidencing any further advances. All provisions of this Mortgage shall apply to further advances. I understand that you are under no obligation to make further advances.

**5. Borrower's Promises.**

A. Taxes and Claims. I will pay all taxes due on the Property and will keep the Property free from all future claims against it.

B. Repair and Maintenance. I will keep the Property in good condition and make all repairs reasonably necessary.

If I do not pay taxes, keep the Property free from further claims, keep the Property properly insured, keep the Property in good condition, or comply with my responsibilities under any lease, you may do so and add the cost to the balance of my loan and you will be entitled to interest on the additional amount at the same rate as the Note. This Mortgage also secures any amount you add to the balance of my loan under this paragraph.

C. Low/Mod Guidelines. At time of job completion, 50% of the units receiving lead paint hazard control financing must be occupied by tenants with gross household incomes at or below 50% of the area median income as established by the U.S. Department of Housing and Urban Development (HUD). At time of job completion the remaining 50% of the units receiving lead paint hazard control financing must be occupied by tenants with gross household incomes at or below 80% of the area median income as established by HUD. If these requirements are not met, the loan shall be in default and shall be accelerated, and all sums due and payable under the note shall be due and payable immediately. Additionally, I will comply with Program Administrator's request to complete and submit an Annual Verification of Grant Compliance form.

D. If these requirements are not met, the loan shall be in default and shall be accelerated, and all sums due and payable under the note shall be due and payable immediately.

**6. Assumption/Transfer the Property.**

A. I will not sell or transfer all or part of the Property or any rights in the Property without your consent. If I sell or transfer the Property or any rights in the Property without your consent I will still be fully obligated under the Note and under this Mortgage and you may require Immediate Payment In Full. However, you will not have the right to require Immediate Payment In Full as a result of a transfer of rights in household appliances, to a person who provides me with the money to buy those appliances, in order to protect that person against possible losses.

B. If you give your consent, any person to whom I sell or transfer the Property may take over all of my rights and obligations under this Mortgage (known as an "assumption of the Mortgage") if certain conditions are met. Those conditions are:

1. I give you notice of the sale or transfer;
2. You agree that the person's credit is satisfactory;
3. The person agrees to pay interest on the amount owed to you under the Note and under this Mortgage at whatever rate you require;
4. The person signs an assumption agreement that is acceptable to you and that obligates the person to keep all of the promises and agreements made in the Note and in this Mortgage; and
5. If this Mortgage is held by the Maine State Housing Authority, the person also satisfies the same eligibility requirements that I had to satisfy in order to obtain this loan, including the tenant gross household income limits

**7. Discharge.**

When I have paid all amounts due under the Note and this Mortgage or those amounts have been forgiven, you will record a discharge of this Mortgage in the Registry of Deeds.

Dated: \_\_\_\_\_

\_\_\_\_\_  
Signature of Borrower

Witness \_\_\_\_\_

\_\_\_\_\_  
Borrower Name

\_\_\_\_\_  
Signature of Borrower

Witness \_\_\_\_\_

\_\_\_\_\_  
Co- Borrower Name

STATE OF MAINE  
COUNTY OF \_\_\_\_\_, ss

Personally appeared the above-named \_\_\_\_\_ in his/her capacity as \_\_\_\_\_ and acknowledged the foregoing to be his/her free act and deed.

[Notarial Seal]

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

Notary Public/Attorney-at-Law

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



Maine State Housing Authority (MaineHousing)  
LEAD HAZARD REDUCTION DEMONSTRATION GRANT PROGRAM

**MULTIFAMILY RENTAL RIDER STATEMENT AND AGREEMENT**

I/We \_\_\_\_\_, of \_\_\_\_\_, Maine (Owners, if not Owner, Legally Authorized Agents for Owner) hereinafter "**Owner**" in consideration of and as a condition of eligibility for monies provided for lead paint hazard control work to be done on the premises owned by **Owner** at \_\_\_\_\_, Maine, agree to the following:

Following completion of lead hazard control work on apartment(s) \_\_\_\_\_, and associated interior and exterior common areas located on the property which I own located at \_\_\_\_\_, Maine shall be rented to households with gross annual incomes at or below 50% of the area median income as established by the United States Department of Housing and Urban Development for a period of three years from date of loan closing unless the property is converted into an owner occupied dwelling.

Following completion of lead hazard control work on apartment(s) \_\_\_\_\_, and associated interior and exterior common areas located on the property which I own located at \_\_\_\_\_, Maine shall be rented to households with gross annual incomes at or below 80% of the area median income as established by the United States Department of Housing and Urban Development for a period of three years from date of loan closing unless the property is converted into an owner occupied dwelling.

I agree and understand that the Maine State Housing Authority may independently verify, at any time, that I have met these requirements by obtaining financial information from any tenants, and that the rental of the described units to persons who meet the income guidelines described herein is a condition of my eligibility for this lead paint hazard control loan.

I further agree and understand that if I fail to provide documentation to the Maine State Housing Authority that my tenants meet income guidelines specified herein, that I am in default of the Mortgage Deed and Promissory Note and that as a result, the Maine State Housing Authority may foreclose the mortgage or refuse to discharge its mortgage in the event the Note is paid until such time as the documentation is provided by me.

Dated: \_\_\_\_\_

\_\_\_\_\_  
Signature of Owner

\_\_\_\_\_  
Owner Name

\_\_\_\_\_  
Signature of Co-Owner

\_\_\_\_\_  
Co-Owner Name

Witness \_\_\_\_\_

Witness \_\_\_\_\_





**MULTIFAMILY PROMISSORY NOTE DEFERRED/FORGIVABLE LOAN**

Dated: \_\_\_\_\_

In this Note, the words "I", "me", "mine", and "my" mean each and all of those who signed it.

The words "you" "your" and "yours" mean \_\_\_\_\_ (Financial Institution) whose address is \_\_\_\_\_ and any other person to whom this Note is assigned including, without limitation, the Maine State Housing Authority, whose address is 353 Water Street, Augusta, Maine 04333.

**1. Promise to pay.** In return for a loan that I have received, I promise to pay to your order the amount of \_\_\_\_\_ Dollars ("principal") with no interest (0%) as set forth below. Most of the proceeds of the loan are being deposited in a construction escrow pursuant to a Construction Escrow Agreement among you, my contractor, and me. Upon close of the construction escrow, you will send me a Notice of Final Escrow Disbursement in the form attached as Appendix A to notify me of any unused proceeds being applied to reduce the loan balance. There will be no monthly payments of principal and interest on this loan. **This loan will be forgiven upon conversion of the property to an income eligible owner occupied single family dwelling or three years from the date set forth above unless prior to that date one or more of the following events occur:**

- a. The property described in the mortgage or leasehold mortgage and security agreement (the "Mortgage") I have given to secure this Note (the "Property") is transferred or sold. Refinancing the loan is a sale or transfer of the Property for purposes of this Note.
- b. I am in default of this Note or the Mortgage.

I agree to give you notice of any sale or transfer of the Property or any change in the use of the Property. In order for the property to be treated as a single family dwelling for forgiveness purposes as outlined above I must provide proof of such a change to the satisfaction of Maine State Housing Authority. Such proof shall consist of confirmation from the local Code Enforcement Officer and a change in the municipality's assessment of the property that it has been converted.

The loan evidenced by this Note is made pursuant to the U.S. Department of Housing and Urban Development Lead Hazard Control Program. Repayments shall be deposited to the Maine State Housing Authority's Lead Hazard Control Trust Account. You may release me from all obligations under this Note and the Mortgage if, prior to the sale or transfer of the Property, you and the person to whom the Property is to be sold or transferred agree in writing that such person is eligible to assume such obligations and if my successor in interest has executed a written agreement accepted in writing by you.

**2. Right to Prepay.** I have the right to make payments of principal at any time before they are due. A payment of principal only is known as a "prepayment." When I make a prepayment, I will send you a notice that I am doing so. A prepayment of all the unpaid principal is known as a "full prepayment." A prepayment of only part of the unpaid principal is known as a "partial prepayment." I may make a full prepayment or a partial prepayment at any time without paying any penalty. You will use all of my prepayments to reduce the amount of principal that I owe under this Note.

**3. Security Agreement.** The Mortgage securing this Note further describes my responsibilities and it describes how and under what conditions I may be required to make immediate payment in full of all amounts I owe under this Note. If I default under this Note, you may foreclose on the Property. A default under any Mortgage I have given you is also a default under this Note. I hereby convey a security interest in the following property which secures this Note:

**4. Default.** I shall be in default if for any reason I fail to make any payment on time or if I make any false statements or break any promises in the Note, Mortgage, Borrower Affidavit or any other document that I have signed to obtain this loan. I am also in default if I die, become insolvent, or go into bankruptcy. If I am in default you can demand immediate payment of the entire remaining unpaid balance of this loan. If you require immediate payment in full you will send me a notice which states this requirement. The notice will give me at least thirty (30) days to make payment in full. The 30-day period will begin on the date which is three (3) days after the day the notice is mailed or, if it is not mailed, on the date the notice is delivered. If I do not make payment in full during that period, you may, without any further notice or demand for payment, bring a lawsuit against me for collection of the amount due.

**5. Waivers.** I waive my rights to require you to do certain things. Those things are: (A) to demand payment of amounts due (known as "presentment"); (B) to give notice that amounts due have not been paid (known as "notice of dishonor"); and (C) to obtain an official certification of nonpayment (known as "protest"). Anyone else who agrees to keep the promises made in this Note, or who agrees to make payments to you if I fail to keep my promises under this Note also waives these rights. These persons are known as "guarantors, sureties and endorsers."

**6. Giving of Notices.** Any notice that must be given to me under this Note will be given by delivering it or by mailing it to me at the Borrower Address below. A notice will be delivered or mailed to me at a different address if I give you a written notice of my different address. Any notice that must be given to you under this Note will be given by mailing it to you at your address set forth above or a different address if you give me written notice of your different address.

**7. Each Signer Liable.** All persons who sign this Note are responsible for keeping the promises made in this Note. Although more than one person may have signed this Note, I understand that I, as an individual, am responsible for paying back the full amount according to the terms of this Note. You may take legal action against all persons who have signed this Note or only me to collect all amounts due under this Note even though I have not received any direct personal benefit from the loan. All persons who sign this Note are entitled to a copy of it.

**8. Successors and Assigns.** I agree that I will not transfer this Note to another person without your consent. If I transfer this Note to another person, that person will be responsible for keeping all of my promises under this Note. If I die, any person who inherits my property by law (known as "heirs") or by will (known as "devisees") and any person appointed to dispose of my property to my heirs or devisees by the court (known as "administrator" or "administratrix") or by me in my will (known as "executor" or "executrix") will be responsible for paying the full amount due under this Note.

**NOTICE TO CONSUMER: (1) DO NOT SIGN THIS AGREEMENT BEFORE YOU READ IT. (2) YOU ARE ENTITLED TO A COPY OF THIS AGREEMENT.**

Property Address: \_\_\_\_\_ Borrower: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_ Borrower: \_\_\_\_\_

Payable without recourse to the order of the Maine State Housing Authority.

Date: \_\_\_\_\_ Financial Institution: \_\_\_\_\_  
Signature: \_\_\_\_\_  
Name of Signatory: \_\_\_\_\_  
Title of Signatory: \_\_\_\_\_

Maine State Housing Authority (MaineHousing)  
LEAD HAZARD REDUCTION DEMONSTRATION GRANT PROGRAM

**ASSIGNMENT OF MORTGAGE**

KNOW ALL PERSONS BY THESE PRESENTS, that \_\_\_\_\_, a financial institution having its principal place of business at \_\_\_\_\_ in the City of \_\_\_\_\_, County of \_\_\_\_\_ and State of Maine (the "Lender") holder of the mortgage dated \_\_\_\_\_ and recorded in the \_\_\_\_\_ County Registry of Deeds in Book \_\_\_\_\_, Page \_\_\_\_\_ From \_\_\_\_\_, in consideration of one (1) dollar and other valuable consideration paid by the Maine State Housing Authority, a public body corporate and politic and an instrumentality of the State of Maine, having its principal place of business at Augusta, County of Kennebec and State of Maine, the receipt whereof is hereby acknowledged, does hereby sell, assign, transfer and convey unto the said Maine State Housing Authority, its successors and assigns, the debts and claims thereby secured, and all its rights, title and interest by virtue of said mortgage in and to the real estate therein described.

IN WITNESS WHEREOF, Lender has caused this instrument to be signed in its corporate name on

\_\_\_\_\_

Witness: \_\_\_\_\_

Lender: \_\_\_\_\_

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

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

Its: \_\_\_\_\_

STATE OF MAINE  
COUNTY OF \_\_\_\_\_, ss

Date \_\_\_\_\_

Personally appeared the above-named \_\_\_\_\_ in his/her capacity as \_\_\_\_\_ and acknowledged the foregoing to be his/her free act and deed in his/her said capacity and the free act and deed of Lender.

[Notarial Seal]

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

Notary Public/Attorney-at-Law

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

**NOTICE OF ESCROW FINAL DISBURSEMENT**

**NOTICE TO BORROWER**

Dear Borrower:

The proceeds of your Promissory Note, dated \_\_\_\_\_, \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ have now been fully disbursed. As agreed under the terms of the Note you are notified of the following key information:

Amount of any unused proceeds being applied to reduce the loan balance: \$ \_\_\_\_\_

\_\_\_\_\_  
Lender

cc Maine State Housing Authority

Maine State Housing Authority (MaineHousing)  
LEAD HAZARD REDUCTION DEMONSTRATION GRANT PROGRAM

**NOTICE OF APPROVAL**

Single Family Home

Multi-Family Home

**APPLICANT (OWNER):**

Company Name (if applicable)

First Name MI Last Name

Mailing Address

City State Zip

**PROPERTY:**

Property Street

City State Zip

**CO-APPLICANT (CO-OWNER):**

Company Name (if applicable)

First Name MI Last Name

Mailing Address

City State Zip

**COMMUNITY ACTION AGENCY (CAA):**

CAA Name

CAA Mailing Address

City State Zip

Your application for a Lead Hazard Reduction Demonstration Grant Program grant/loan with the above-named CAA has been reviewed and approved for the following:

Lead Hazard Control Program Grant Amount	\$
Additional Project Cost: Owner Assumed Obligation	\$
<b>TOTAL PROJECT COST</b>	<b>\$</b>

**You will need to bring the following documents with you to the Closing (if applicable):**

- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

**Your Closing is scheduled on:**

**Date:** \_\_\_\_\_ **Place:** \_\_\_\_\_  
**Time:** \_\_\_\_\_

It is important that you bring the above-mentioned items (if applicable) to Closing to avoid any delays. If you have any questions, please contact your CAA Representative prior to your Closing date.

Signature of CAA Representative \_\_\_\_\_ CAA Representative Name \_\_\_\_\_

Date \_\_\_\_\_ CAA Representative Telephone \_\_\_\_\_

CAA Representative Email \_\_\_\_\_

Maine State Housing Authority (MaineHousing)  
LEAD HAZARD REDUCTION DEMONSTRATION GRANT PROGRAM

**NOTICE TO BORROWER**

Single Family Home

Multi-Family Home

**APPLICANT (OWNER):**

\_\_\_\_\_  
Company Name (if applicable)

\_\_\_\_\_  
First Name          MI          Last Name

\_\_\_\_\_  
Mailing Address

\_\_\_\_\_  
City    State          Zip

**PROPERTY:**

\_\_\_\_\_  
Property Street

\_\_\_\_\_  
City    State          Zip

**CO-APPLICANT (CO-OWNER):**

\_\_\_\_\_  
Company Name (if applicable)

\_\_\_\_\_  
First Name          MI          Last Name

\_\_\_\_\_  
Mailing Address

\_\_\_\_\_  
City    State          Zip

**COMMUNITY ACTION AGENCY (CAA):**

\_\_\_\_\_  
CAA Name

\_\_\_\_\_  
CAA Mailing Address

\_\_\_\_\_  
City    State          Zip

The Lead Hazard Reduction Demonstration Grant Program Loan you received today is anticipated to be purchased by the Maine State Housing Authority (MaineHousing).

The loan is a deferred/forgivable with the following terms;

Term of the loan is 0% and no monthly payments required. For Multi-Family owners the entire debt will be forgiven if you adhere to the three year tenant affordability requirements as established in the loan documents. If you sell, refinance, or transfer title of your building before the three year period ends, the entire loan amount is due and payable.

If at any time you wish to make a principal reduction, please provide specific instructions on how you want the funds applied to your account. You may be eligible to have your payment automatically deducted from your checking or savings account. If you are interested, contact MaineHousing's loan servicing department at the number listed below.

Please sign below that you have received a copy of this notice to keep for your records. Please feel free to contact MaineHousing's loan servicing department with any questions you may have by writing to the above address, or by calling 1-800-452-4668 (voice) or 207-626-4640 (FAX).

\_\_\_\_\_  
Signature of Borrower

Date \_\_\_\_\_

\_\_\_\_\_  
Signature of Borrower

Date \_\_\_\_\_

Maine State Housing Authority (MaineHousing)  
LEAD HAZARD REDUCTION DEMONSTRATION GRANT PROGRAM

**RELEASE AND HOLD HARMLESS**

**APPLICANT (BORROWER):**

\_\_\_\_\_  
Company Name (if applicable)

\_\_\_\_\_  
First Name      MI      Last Name

**PROPERTY:**

\_\_\_\_\_  
Property Street

\_\_\_\_\_  
Property City      Property State      Property Zip

**CONTRACTOR:**

\_\_\_\_\_  
Contractor Name

**APPLICANT (CO-BORROWER):**

\_\_\_\_\_  
Company Name (if applicable)

\_\_\_\_\_  
First Name      MI      Last Name

**COMMUNITY ACTION AGENCY (LENDER)**

\_\_\_\_\_  
Lender Name

\_\_\_\_\_  
Mailing Address

\_\_\_\_\_  
City      State      Zip

**Contract Amount:** \_\_\_\_\_

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

Regarding the *Construction Contract* ("Contract") entered into between the Owner and Contractor named above for work performed on the above-referenced Property in accordance with the agreed upon project specifications, the Applicant states as follows:

1. Applicant desires to participate in the Lead Hazard Reduction Demonstration Grant Program ("Program") and desires to utilize the Contract provided by the above named CAA and the Program when hiring a Contractor to perform the required lead reduction work.
2. Applicant understands that the Contract is provided as a courtesy by the CAA and the Program does not warrant its sufficiency nor guaranty the performance of the Contract.
3. Applicant agrees to assume all risk of injury, harm or damage to his/her person or property which may arise as a result of the performance of the Contract by Contractor and does hereby release and agree to indemnify and hold harmless MaineHousing, the CAA and their agents, officers and employees from any and all liability actions, damages and claims of any kind and nature whatsoever for injury or harm that might arise in connection with the use of the Contract, the Contractor's performance of the Contract and/or Applicant's participation in the Program.

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

\_\_\_\_\_  
Signature of Borrower

\_\_\_\_\_  
Witness

\_\_\_\_\_  
Signature of Co-Borrower

\_\_\_\_\_  
Witness

Maine State Housing Authority (MaineHousing)  
LEAD HAZARD REDUCTION DEMONSTRATION GRANT PROGRAM

**NOTICE OF RIGHT TO CANCEL**

**Single Family Home**

**Multi-Family Home**

**APPLICANT (BORROWER):**

**APPLICANT (CO-BORROWER):**

\_\_\_\_\_  
Company Name (if applicable)

\_\_\_\_\_  
Company Name (if applicable)

\_\_\_\_\_  
First Name      MI      Last Name

\_\_\_\_\_  
First Name      MI      Last Name

**PROPERTY:**

**COMMUNITY ACTION AGENCY (CAA)**

\_\_\_\_\_  
Property Street

\_\_\_\_\_  
CAA Name

\_\_\_\_\_  
Property City      Property State      Property Zip

\_\_\_\_\_  
Mailing Address

\_\_\_\_\_  
City      State      Zip

**CONTRACTOR:**

**Contract Amount:** \_\_\_\_\_

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

\_\_\_\_\_  
Contractor Name

In this Notice, the words "I", "me", and "my" mean each person who signs as a Borrower below. The words "you" and "your", and "the Lender" mean the Community Action Agency who signs as a Lender below.

**1. DESCRIPTION OF LOAN**

This Notice relates to a grant/loan from the Lead Hazard Reduction Demonstration Program for the above referenced Contract Amount and on the above-referenced Contract Date (the "Loan"), secured by a mortgage on my home which is located at the above-referenced Property.

**2. MY RIGHT TO CANCEL**

I am entering into a Loan that will result in a mortgage on my home. I have a legal right to cancel this Loan, without cost, within three business days from whichever of the following events occurs last:

- a. the date of the loan; or
- b. the date I received my Mortgage Loan Disclosure; or
- c. the date I received the Notice of Right to Cancel.

If I cancel the Loan, the mortgage is also canceled. Within 20 calendar days after you receive my notice, you must take the steps necessary to reflect that the mortgage on my home has been canceled and you must return to me any money or property I have given to you or to anyone else in connection with this loan.

I may keep any property or money you have given me until you have done the things mentioned above, but I must then offer to return the money or property. If it is impractical or unfair for me to return the property, I must offer its reasonable value. I may offer to return the property at my home or at the location of the property. Money must be returned to the Lender at the address above. If you do not take possession of the money or property within 20 calendar days of my offer, I may keep it without further obligation.

**3. HOW TO CANCEL**

If I decide to cancel this loan, I may do so by notifying the Lender in writing at the address above. I may use any written statement that is signed and dated by me and states my intention to cancel, or I may use this Notice by dating and signing it where indicated below. I should keep one copy of this Notice because it contains important information about my rights.



You may use any written statement that is signed and dated by you and states your intention to cancel, or you may use this Notice by dating and signing below. Keep one copy of this notice as it contains important information about your rights.

If I cancel by mail or telegram, I must send the notice **no later than midnight of** \_\_\_\_\_ (midnight of the third business day from the date above). If I send or deliver my written notice to cancel some other way, it must be delivered no later than that time.

*I WISH TO CANCEL*

\_\_\_\_\_  
Signature of Borrower

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

\_\_\_\_\_  
Signature of Co-Borrower

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

**4. ACKNOWLEDGMENT OF RECEIPT**

Each of us acknowledges receipt of two completed copies of this Notice, and we understand its meaning.

\_\_\_\_\_  
Signature of Borrower

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

\_\_\_\_\_  
Signature of Co-Borrower

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

Maine State Housing Authority (MaineHousing)  
LEAD HAZARD REDUCTION DEMONSTRATION GRANT PROGRAM

**MAINEHOUSING INVOICE**

Applicant (Owner):	CAA:
Property Address:	Number of Units:
	Invoice Date:

<b>1st PHASE</b>	
Lead Inspection and Risk Assessment (\$600)	\$
Lead Design (\$500)	\$
Abatement amount and Merchant Fee	\$
Approved change order	\$
Healthy Home intervention	\$
Dust wipes for units occupied by children under 6	\$
Water test for units occupied by children under 6	\$
Soil test for units occupied by children under 6	\$

<b>INTERIM PHASE</b>	
Approved change order	\$

<b>FINAL PHASE</b>	
Relocation, must include copies of invoices & receipts*	\$
Travel reimbursement for projects over 50 miles from office (must include amount of mileage and how many trips)	\$
Origination Fee (s) up to \$1,300 per unit (standard fee)	\$
Final Dust wipes _____ swipes @ _____	\$
Miles _____ # of site visits _____	\$

<b>TOTAL PROJECT AMOUNT</b>	<b>\$</b>
-----------------------------	-----------

\*Must include copies of invoices, receipts, mileage to receive any reimbursement for Relocation & Travel

Maine State Housing Authority (MaineHousing)  
LEAD HAZARD REDUCTION DEMONSTRATION GRANT PROGRAM

**DOCUMENT CHECKLIST – MULTI-FAMILY LOAN SUBMISSION**

Applicant (Owner):	CAA:
Property Address:	Number of Units:
	Date Submitted:

<b>PHASE 2</b>	<b>CAA DOCUMENT SOURCE</b>
<b>FILE SECTION 1 (Owner)</b>	
Applicant Acknowledgement Form (Owner)	Appendix LD-A
Release and Hold Harmless	Appendix LD-K
Truth in Lending Statement	Appendix LD-D
Multifamily Promissory Note	Appendix LD-F
Mortgage Deed, Rental Rider Statement, and Exhibit A	Appendix LD-G
Assignment of Mortgage	Appendix LD-H
Notice of Approval	Appendix LD-I
Notice to Borrower	Appendix LD-J
Notice of Right to Cancel	Appendix LD-L
Notice to Commence Work	MaineHousing
<b>FILE SECTION 2 (Tenants &amp; Invoices)</b>	
Phase 2 Billing Invoice	Appendix I-A
Phase 2 Multifamily Checklist for Loan Documentation	Appendix U-2
Authorization to Release Information (Tenant)	Appendix E
Tenant Acknowledgement Form	Appendix LD-B
Relocation Assistance Acknowledgement	Appendix LD-C
<b>FILE SECTION 3 (Contractor)</b>	
Construction Contract	Appendix C-A
Construction Escrow Agreement	Appendix C-B
<b>FILE SECTION 5 (Federal &amp; State Compliance)</b>	
HUD 1A Settlement Statement	Appendix LD-E
Healthy Homes Intervention Construction Contract <i>(if applicable)</i>	Appendix HH-1
Healthy Homes Intervention Escrow Agreement <i>(if applicable)</i>	Appendix HH-2
Healthy Homes Intervention Bid Package <i>(if applicable)</i>	Exhibit HH-C
Healthy Homes Intervention Compliance Agreement Form <i>(if applicable)</i>	Appendix HH-6
<b>FILE SECTION 6 (Photos, Correspondence, Wires)</b>	
Correspondence (if applicable)	CAA

CAA/Administrator certifies that all documents listed have been included with the project file located at the CAA/Administrator's office. CAA/Administrator further certifies that documents not included on this checklist, but are required by program regulations as referenced in the Procedures Guide, are maintained in the Borrower(s) file at the CAA/Administrator's office. These documents are subject to periodic inspection by MaineHousing.

\_\_\_\_\_  
CAA Representative Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
CAA Representative Name

UNIT # \_\_\_\_\_

Maine State Housing Authority (MaineHousing)  
LEAD HAZARD REDUCTION DEMONSTRATION GRANT PROGRAM

**AUTHORIZATION TO RELEASE INFORMATION**

TO: \_\_\_\_\_

RE: \_\_\_\_\_  
Name of Customer Account or Other Identifying Number

I have applied for or obtained a loan or grant from MaineHousing and \_\_\_\_\_ (CAA).

As part of this process and/or in considering me for interest credit, payment assistance, or other servicing assistance on such loan, MaineHousing and/or the CAA may verify information contained in my request for assistance and in other documents required in connection with the request.

I authorize you to provide to MaineHousing and the CAA, for verification purposes, the following applicable information:

1. Past and present employment or income records.
2. Bank account, stock holdings, and any other asset balances.
3. Past and present landlord references
4. Other consumer credit references

If the request is for a new loan or grant, I further authorize MaineHousing and/or the CAA to order a credit consumer report and verify other credit information.

I understand that under the Right to Financial Privacy Act of 1978, 12 U.S.C. 3401, et seq., MaineHousing and the CAA is authorized to access my financial records held by financial institutions in connection with the consideration or administration of assistance to me. I also understand that financial records involving my loan/grant and loan application will be available to MaineHousing and the CAA without further notice or authorization, but will not be disclosed or released by MaineHousing and the CAA to another government agency or department or used for another purpose without my consent except as required or permitted by law.

This authorization is valid for the life of the loan/grant.

The recipient of this form may rely on the Government's representation that the loan/grant is still in existence.

The information MaineHousing and the CAA obtains is only to be used to process my request for a loan/grant, interest credit, payment assistance, or other servicing assistance. I acknowledge that I have received a copy of the notice to Applicant Regarding Privacy act Information. I understand that if I requested interest credit or payment assistance, this authorization to release information will cover any future requests for such assistance and that I will not be re-notified of the Privacy Act information unless the Privacy Act information has changed concerning use of such information.

**A copy of this authorization may be accepted as an original. Your prompt reply is appreciated.**

\_\_\_\_\_  
Customer Signature Date

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0575-0172. The time required to complete this information collection is estimated to average 5 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed and completing and reviewing the collection of information.

*MSHA and the CAA are an Equal Opportunity Lender*

**UNIT #**

Maine State Housing Authority (MaineHousing)  
LEAD HAZARD REDUCTION DEMONSTRATION GRANT PROGRAM

**TENANT ACKNOWLEDGEMENT**

**APPLICANT (OWNER):**

\_\_\_\_\_  
Company Name (if applicable)

\_\_\_\_\_  
First Name          MI          Last Name

**PROPERTY**

\_\_\_\_\_  
Property Street

\_\_\_\_\_  
City                                  State                                  Zip

**CO-APPLICANT (CO-OWNER):**

\_\_\_\_\_  
Company Name (if applicable)

\_\_\_\_\_  
First Name          MI          Last Name

**COMMUNITY ACTION AGENCY (CAA):**

\_\_\_\_\_  
CAA Name

\_\_\_\_\_  
CAA Mailing Address

\_\_\_\_\_  
City                                  State                                  Zip

I/We the below listed Tenant(s) acknowledge and understand that the purpose of the funds being provided under the MaineHousing Lead Hazard Reduction Demonstration Grant Program (the "Program") is to reduce lead hazards in my apartment located at the above-referenced Property. I/We also understand that the funds being provided under this Program may not be sufficient to address all lead hazards in or around my apartment and that the Owner(s) will be responsible for providing any additional funds which may be necessary to address all such hazards. MaineHousing reserves the right to deny any project if completion of project can not be met under Program funding guidelines. MaineHousing will review each project on a case by case basis.

I/We acknowledge and understand that the lead hazards to be addressed through Program funds will be those specifically identified in a Program Construction Contract between the property owner(s) and a licensed lead abatement contractor and such identified lead hazards will be mitigated in accordance with lead hazard control guidelines established by the Maine Department of Environmental Protection and the United States Department of Housing and Urban Development.

I/We, acknowledge that I/we have received a copy of the United States Environmental Protection Agency pamphlet entitled *Protect Your Family From Lead in Your Home* in connection with our apartment unit.

\_\_\_\_\_  
Signature of Tenant

\_\_\_\_\_  
Apartment #

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name of Tenant

\_\_\_\_\_  
Signature of Co-Tenant

\_\_\_\_\_  
Apartment #

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name of Co-Tenant

UNIT # \_\_\_\_\_

Maine State Housing Authority (MaineHousing)  
LEAD HAZARD REDUCTION DEMONSTRATION GRANT PROGRAM

**RELOCATION ASSISTANCE ACKNOWLEDGEMENT**

**APPLICANT (OWNER):**

**CO-APPLICANT (CO-OWNER):**

\_\_\_\_\_  
Company Name (if applicable)

\_\_\_\_\_  
Company Name (if applicable)

\_\_\_\_\_  
First Name          MI          Last Name

\_\_\_\_\_  
First Name          MI          Last Name

**PROPERTY**

**COMMUNITY ACTION AGENCY (CAA):**

\_\_\_\_\_  
Property Street

\_\_\_\_\_  
CAA Name

\_\_\_\_\_  
City                          State                          Zip

\_\_\_\_\_  
CAA Mailing Address

\_\_\_\_\_  
City                          State                          Zip

I/We, the undersigned, understand that I/we may receive financial assistance to help cover the costs of temporary relocation expenses associated with lead paint hazard control work in our/my home located at the above referenced Property. I/We understand that in order to receive reimbursement, we must provide receipts to the above-referenced Community Action Agency ("Administrator"), and/or other documents which may be required by the Administrator, to verify expenses incurred as a result of temporary relocation. I/We also understand that in the event I/we receive such relocation assistance, that I/we have a responsibility to cooperate with the Administrator and the above referenced Contractor to prepare the Property for lead hazard reduction work, including moving furniture out of critical work areas and packing or otherwise securing other belongings to expedite the work.

Reimbursable relocation expenses include, but are not limited to, the following: (i) moving expenses; (ii) hotel/motel costs; (iii) security deposits and monthly rent for apartment units; (iv) laundry; (v) extra gasoline/transportation costs due to the temporary relocation to another dwelling; and (vi) rental fees for other alternative housing arrangements. If the relocation assistance I/we receive is spent on items other than relocation, I/we understand that this does not entitle me/us to request additional money for actual relocation expenses. Furthermore, I/We understand that the Administrator is under no obligation to reimburse for unverified expenses or for expenses not directly associated with temporary relocation.

By signing this agreement, I/We acknowledge the conditions of receiving relocation reimbursements and that \$1,250 is the maximum amount of money to be received for temporary relocation expenses.

**Signature of occupant of home or rental unit where lead hazard control work is being carried out. If you do not understand this agreement, do not sign it.**

\_\_\_\_\_  
Signature of Occupant

\_\_\_\_\_  
Apartment/Unit #

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name of Occupant

\_\_\_\_\_  
Signature of Co-Occupant

\_\_\_\_\_  
Apartment/Unit #

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name of Co-Occupant

**By signing below, the Administrator acknowledges receipt of this document signed by the above homeowner(s) or renter(s).**

\_\_\_\_\_  
Signature of CAA Representative

\_\_\_\_\_  
Date

\_\_\_\_\_  
CAA Representative Name

UNIT # \_\_\_\_\_

Maine State Housing Authority (MaineHousing)  
LEAD HAZARD REDUCTION DEMONSTRATION GRANT PROGRAM

**AUTHORIZATION TO RELEASE INFORMATION**

TO: \_\_\_\_\_

RE: \_\_\_\_\_  
Name of Customer Account or Other Identifying Number

I have applied for or obtained a loan or grant from MaineHousing and \_\_\_\_\_ (CAA).

As part of this process and/or in considering me for interest credit, payment assistance, or other servicing assistance on such loan, MaineHousing and/or the CAA may verify information contained in my request for assistance and in other documents required in connection with the request.

I authorize you to provide to MaineHousing and the CAA, for verification purposes, the following applicable information:

1. Past and present employment or income records.
2. Bank account, stock holdings, and any other asset balances.
3. Past and present landlord references
4. Other consumer credit references

If the request is for a new loan or grant, I further authorize MaineHousing and/or the CAA to order a credit consumer report and verify other credit information.

I understand that under the Right to Financial Privacy Act of 1978, 12 U.S.C. 3401, et seq., MaineHousing and the CAA is authorized to access my financial records held by financial institutions in connection with the consideration or administration of assistance to me. I also understand that financial records involving my loan/grant and loan application will be available to MaineHousing and the CAA without further notice or authorization, but will not be disclosed or released by MaineHousing and the CAA to another government agency or department or used for another purpose without my consent except as required or permitted by law.

This authorization is valid for the life of the loan/grant.

The recipient of this form may rely on the Government's representation that the loan/grant is still in existence.

The information MaineHousing and the CAA obtains is only to be used to process my request for a loan/grant, interest credit, payment assistance, or other servicing assistance. I acknowledge that I have received a copy of the notice to Applicant Regarding Privacy act Information. I understand that if I requested interest credit or payment assistance, this authorization to release information will cover any future requests for such assistance and that I will not be re-notified of the Privacy Act information unless the Privacy Act information has changed concerning use of such information.

**A copy of this authorization may be accepted as an original. Your prompt reply is appreciated.**

\_\_\_\_\_  
Customer Signature Date

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0575-0172. The time required to complete this information collection is estimated to average 5 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed and completing and reviewing the collection of information.

*MSHA and the CAA are an Equal Opportunity Lender*

**UNIT #**

Maine State Housing Authority (MaineHousing)  
LEAD HAZARD REDUCTION DEMONSTRATION GRANT PROGRAM

**TENANT ACKNOWLEDGEMENT**

**APPLICANT (OWNER):**

\_\_\_\_\_  
Company Name (if applicable)

\_\_\_\_\_  
First Name          MI          Last Name

**PROPERTY**

\_\_\_\_\_  
Property Street

\_\_\_\_\_  
City                                  State                                  Zip

**CO-APPLICANT (CO-OWNER):**

\_\_\_\_\_  
Company Name (if applicable)

\_\_\_\_\_  
First Name          MI          Last Name

**COMMUNITY ACTION AGENCY (CAA):**

\_\_\_\_\_  
CAA Name

\_\_\_\_\_  
CAA Mailing Address

\_\_\_\_\_  
City                                  State                                  Zip

I/We the below listed Tenant(s) acknowledge and understand that the purpose of the funds being provided under the MaineHousing Lead Hazard Reduction Demonstration Grant Program (the "Program") is to reduce lead hazards in my apartment located at the above-referenced Property. I/We also understand that the funds being provided under this Program may not be sufficient to address all lead hazards in or around my apartment and that the Owner(s) will be responsible for providing any additional funds which may be necessary to address all such hazards. MaineHousing reserves the right to deny any project if completion of project can not be met under Program funding guidelines. MaineHousing will review each project on a case by case basis.

I/We acknowledge and understand that the lead hazards to be addressed through Program funds will be those specifically identified in a Program Construction Contract between the property owner(s) and a licensed lead abatement contractor and such identified lead hazards will be mitigated in accordance with lead hazard control guidelines established by the Maine Department of Environmental Protection and the United States Department of Housing and Urban Development.

I/We, acknowledge that I/we have received a copy of the United States Environmental Protection Agency pamphlet entitled *Protect Your Family From Lead in Your Home* in connection with our apartment unit.

\_\_\_\_\_  
Signature of Tenant

\_\_\_\_\_  
Apartment #

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name of Tenant

\_\_\_\_\_  
Signature of Co-Tenant

\_\_\_\_\_  
Apartment #

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name of Co-Tenant



UNIT # \_\_\_\_\_

Maine State Housing Authority (MaineHousing)  
LEAD HAZARD REDUCTION DEMONSTRATION GRANT PROGRAM

**RELOCATION ASSISTANCE ACKNOWLEDGEMENT**

**APPLICANT (OWNER):**

**CO-APPLICANT (CO-OWNER):**

\_\_\_\_\_  
Company Name (if applicable)

\_\_\_\_\_  
Company Name (if applicable)

\_\_\_\_\_  
First Name      MI      Last Name

\_\_\_\_\_  
First Name      MI      Last Name

**PROPERTY**

**COMMUNITY ACTION AGENCY (CAA):**

\_\_\_\_\_  
Property Street

\_\_\_\_\_  
CAA Name

\_\_\_\_\_  
City                      State                      Zip

\_\_\_\_\_  
CAA Mailing Address

\_\_\_\_\_  
City                      State                      Zip

I/We, the undersigned, understand that I/we may receive financial assistance to help cover the costs of temporary relocation expenses associated with lead paint hazard control work in our/my home located at the above referenced Property. I/We understand that in order to receive reimbursement, we must provide receipts to the above-referenced Community Action Agency ("Administrator"), and/or other documents which may be required by the Administrator, to verify expenses incurred as a result of temporary relocation. I/We also understand that in the event I/we receive such relocation assistance, that I/we have a responsibility to cooperate with the Administrator and the above referenced Contractor to prepare the Property for lead hazard reduction work, including moving furniture out of critical work areas and packing or otherwise securing other belongings to expedite the work.

Reimbursable relocation expenses include, but are not limited to, the following: (i) moving expenses; (ii) hotel/motel costs; (iii) security deposits and monthly rent for apartment units; (iv) laundry; (v) extra gasoline/transportation costs due to the temporary relocation to another dwelling; and (vi) rental fees for other alternative housing arrangements. If the relocation assistance I/we receive is spent on items other than relocation, I/we understand that this does not entitle me/us to request additional money for actual relocation expenses. Furthermore, I/We understand that the Administrator is under no obligation to reimburse for unverified expenses or for expenses not directly associated with temporary relocation.

By signing this agreement, I/We acknowledge the conditions of receiving relocation reimbursements and that \$1,250 is the maximum amount of money to be received for temporary relocation expenses.

**Signature of occupant of home or rental unit where lead hazard control work is being carried out. If you do not understand this agreement, do not sign it.**

\_\_\_\_\_  
Signature of Occupant

\_\_\_\_\_  
Apartment/Unit #

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name of Occupant

\_\_\_\_\_  
Signature of Co-Occupant

\_\_\_\_\_  
Apartment/Unit #

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name of Co-Occupant

**By signing below, the Administrator acknowledges receipt of this document signed by the above homeowner(s) or renter(s).**

\_\_\_\_\_  
Signature of CAA Representative

\_\_\_\_\_  
Date

\_\_\_\_\_  
CAA Representative Name

UNIT # \_\_\_\_\_

Maine State Housing Authority (MaineHousing)  
LEAD HAZARD REDUCTION DEMONSTRATION GRANT PROGRAM

**AUTHORIZATION TO RELEASE INFORMATION**

TO: \_\_\_\_\_

RE: \_\_\_\_\_  
Name of Customer Account or Other Identifying Number

I have applied for or obtained a loan or grant from MaineHousing and \_\_\_\_\_ (CAA).

As part of this process and/or in considering me for interest credit, payment assistance, or other servicing assistance on such loan, MaineHousing and/or the CAA may verify information contained in my request for assistance and in other documents required in connection with the request.

I authorize you to provide to MaineHousing and the CAA, for verification purposes, the following applicable information:

1. Past and present employment or income records.
2. Bank account, stock holdings, and any other asset balances.
3. Past and present landlord references
4. Other consumer credit references

If the request is for a new loan or grant, I further authorize MaineHousing and/or the CAA to order a credit consumer report and verify other credit information.

I understand that under the Right to Financial Privacy Act of 1978, 12 U.S.C. 3401, et seq., MaineHousing and the CAA is authorized to access my financial records held by financial institutions in connection with the consideration or administration of assistance to me. I also understand that financial records involving my loan/grant and loan application will be available to MaineHousing and the CAA without further notice or authorization, but will not be disclosed or released by MaineHousing and the CAA to another government agency or department or used for another purpose without my consent except as required or permitted by law.

This authorization is valid for the life of the loan/grant.

The recipient of this form may rely on the Government's representation that the loan/grant is still in existence.

The information MaineHousing and the CAA obtains is only to be used to process my request for a loan/grant, interest credit, payment assistance, or other servicing assistance. I acknowledge that I have received a copy of the notice to Applicant Regarding Privacy act Information. I understand that if I requested interest credit or payment assistance, this authorization to release information will cover any future requests for such assistance and that I will not be re-notified of the Privacy Act information unless the Privacy Act information has changed concerning use of such information.

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\_\_\_\_\_  
Customer Signature Date

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**UNIT #**

Maine State Housing Authority (MaineHousing)  
LEAD HAZARD REDUCTION DEMONSTRATION GRANT PROGRAM

**TENANT ACKNOWLEDGEMENT**

**APPLICANT (OWNER):**

\_\_\_\_\_  
Company Name (if applicable)

\_\_\_\_\_  
First Name          MI          Last Name

**PROPERTY**

\_\_\_\_\_  
Property Street

\_\_\_\_\_  
City                          State                          Zip

**CO-APPLICANT (CO-OWNER):**

\_\_\_\_\_  
Company Name (if applicable)

\_\_\_\_\_  
First Name          MI          Last Name

**COMMUNITY ACTION AGENCY (CAA):**

\_\_\_\_\_  
CAA Name

\_\_\_\_\_  
CAA Mailing Address

\_\_\_\_\_  
City                          State                          Zip

I/We the below listed Tenant(s) acknowledge and understand that the purpose of the funds being provided under the MaineHousing Lead Hazard Reduction Demonstration Grant Program (the "Program") is to reduce lead hazards in my apartment located at the above-referenced Property. I/We also understand that the funds being provided under this Program may not be sufficient to address all lead hazards in or around my apartment and that the Owner(s) will be responsible for providing any additional funds which may be necessary to address all such hazards. MaineHousing reserves the right to deny any project if completion of project can not be met under Program funding guidelines. MaineHousing will review each project on a case by case basis.

I/We acknowledge and understand that the lead hazards to be addressed through Program funds will be those specifically identified in a Program Construction Contract between the property owner(s) and a licensed lead abatement contractor and such identified lead hazards will be mitigated in accordance with lead hazard control guidelines established by the Maine Department of Environmental Protection and the United States Department of Housing and Urban Development.

I/We, acknowledge that I/we have received a copy of the United States Environmental Protection Agency pamphlet entitled *Protect Your Family From Lead in Your Home* in connection with our apartment unit.

\_\_\_\_\_  
Signature of Tenant

\_\_\_\_\_  
Apartment #

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name of Tenant

\_\_\_\_\_  
Signature of Co-Tenant

\_\_\_\_\_  
Apartment #

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name of Co-Tenant

UNIT # \_\_\_\_\_

Maine State Housing Authority (MaineHousing)  
LEAD HAZARD REDUCTION DEMONSTRATION GRANT PROGRAM

**RELOCATION ASSISTANCE ACKNOWLEDGEMENT**

**APPLICANT (OWNER):**

**CO-APPLICANT (CO-OWNER):**

\_\_\_\_\_  
Company Name (if applicable)

\_\_\_\_\_  
Company Name (if applicable)

\_\_\_\_\_  
First Name          MI          Last Name

\_\_\_\_\_  
First Name          MI          Last Name

**PROPERTY**

**COMMUNITY ACTION AGENCY (CAA):**

\_\_\_\_\_  
Property Street

\_\_\_\_\_  
CAA Name

\_\_\_\_\_  
City                          State                          Zip

\_\_\_\_\_  
CAA Mailing Address

\_\_\_\_\_  
City                          State                          Zip

I/We, the undersigned, understand that I/we may receive financial assistance to help cover the costs of temporary relocation expenses associated with lead paint hazard control work in our/my home located at the above referenced Property. I/We understand that in order to receive reimbursement, we must provide receipts to the above-referenced Community Action Agency ("Administrator"), and/or other documents which may be required by the Administrator, to verify expenses incurred as a result of temporary relocation. I/We also understand that in the event I/we receive such relocation assistance, that I/we have a responsibility to cooperate with the Administrator and the above referenced Contractor to prepare the Property for lead hazard reduction work, including moving furniture out of critical work areas and packing or otherwise securing other belongings to expedite the work.

Reimbursable relocation expenses include, but are not limited to, the following: (i) moving expenses; (ii) hotel/motel costs; (iii) security deposits and monthly rent for apartment units; (iv) laundry; (v) extra gasoline/transportation costs due to the temporary relocation to another dwelling; and (vi) rental fees for other alternative housing arrangements. If the relocation assistance I/we receive is spent on items other than relocation, I/we understand that this does not entitle me/us to request additional money for actual relocation expenses. Furthermore, I/We understand that the Administrator is under no obligation to reimburse for unverified expenses or for expenses not directly associated with temporary relocation.

By signing this agreement, I/We acknowledge the conditions of receiving relocation reimbursements and that \$1,250 is the maximum amount of money to be received for temporary relocation expenses.

**Signature of occupant of home or rental unit where lead hazard control work is being carried out. If you do not understand this agreement, do not sign it.**

\_\_\_\_\_  
Signature of Occupant

\_\_\_\_\_  
Apartment/Unit #

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name of Occupant

\_\_\_\_\_  
Signature of Co-Occupant

\_\_\_\_\_  
Apartment/Unit #

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name of Co-Occupant

**By signing below, the Administrator acknowledges receipt of this document signed by the above homeowner(s) or renter(s).**

\_\_\_\_\_  
Signature of CAA Representative

\_\_\_\_\_  
Date

\_\_\_\_\_  
CAA Representative Name



**Single-Family**

	<b>MaineHousing Deferred/ Forgivable Loan \$</b>	<b>Other (Please Specify)</b>	<b>Other Amount \$</b>	<b>Total</b>
<b>Interior</b>				
<b>Exterior</b>				
<b>Grand Total</b>				

**Multi-Family**

	<b>MaineHousing Deferred/forgivable Loan \$</b>	<b>Other (Please Specify)</b>	<b>Other Amount \$</b>	<b>Total</b>	<b>Apartment #</b>
<b>Interior</b>					Apartment 1
<b>Exterior</b>					
<b>Total</b>					

<b>Interior</b>					Apartment 2
<b>Exterior</b>					
<b>Total</b>					

<b>Interior</b>					Apartment 3
<b>Exterior</b>					
<b>Total</b>					

<b>Interior</b>					Apartment 4
<b>Exterior</b>					
<b>Total</b>					

<b>Interior</b>					Apartment 5
<b>Exterior</b>					
<b>Total</b>					

<b>Interior</b>					Apartment 6
<b>Exterior</b>					
<b>Total</b>					

<b>Interior</b>					Apartment 7
<b>Exterior</b>					
<b>Total</b>					

<b>Interior</b>					Apartment 8
<b>Exterior</b>					
<b>Total</b>					

<b>GRAND TOTAL</b>					
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The Contractor and the Owner hereby acknowledge that, because the Owner is the recipient of a Program Loan/grant, funds due the Contractor under this Contract shall be paid to the Contractor by MaineHousing through the Administrator within 30 days of the Administrator's receipt of all invoice and supporting materials received by the Administrator from the Contractor. Payments that CAA issues to the contractor depends on the size of the project. Advancing federal funds to contractors is prohibited. Contractors should request payment for work completed and submit their request to the CAA with signed authorization from the homeowner. Contractors requests for payment must include documentation that describes the scope and nature of the work for which the contractor is requesting payment. The Administrator shall act as the "Escrow Agent". Contractor and Owner agree to comply with the terms of a Construction Escrow Agreement among the Escrow Agent, the Contractor and Owner.

Prior to issuing payment to the contractor, the Contractor Payment Request form must be completed and approved/signed by the contractor and the client. CAA must obtain a Certificate and Release of Liens for each payment being requested by the contractor, prior to issuing payment.

CAA must issue payment for work performed within thirty (30) calendar days of receipt of the contractor's invoice. This requirement applies to any and all work performed under the Lead Hazard Reduction Demonstration Program. CAAs must perform required inspections of the contractor's work within this thirty day time period.

The Administrator shall act as the "Escrow Agent" and will hold the funds for the performance of this contract. Contractor and Owner agree to comply with the terms of a Construction Escrow Agreement among the Escrow Agent, the Contractor and Owner. (i) Certificate of Final Inspection and Final Payment Acknowledgment (see Appendix Q) executed by the Owner and the appropriate Lead Inspector, as determined by the Escrow Agent; (ii) Certificate and Release of Liens (see Appendix I-B) executed by Contractor; and (iii) any further documentation as may be required by the Administrator under the Program Procedural Guide.

**4. Exterior/Interior Work Commencement and Completion.**

- a. Interior Start Date: Contractor shall commence the portion of the Work involving interior portions of the Project on \_\_\_\_\_
- b. Interior End Date: Contractor shall complete the portion of the Work involving interior portions of the Project on \_\_\_\_\_
- c. Exterior Start Date: Contractor shall commence the portion of the Work involving exterior portions of the Project on \_\_\_\_\_
- d. Exterior End Date: Contractor shall complete the portion of the Work involving exterior portions of the Project on \_\_\_\_\_

**5. Hazardous Waste Expenses.** Hazardous waste expenses that are incurred by the Contractor for Work performed at the Project shall be billed at cost. In order to receive payment for hazardous waste expenses, Contractor shall submit the invoice from the hazardous waste transportation and disposal company that states the company's name, address, phone number, and cost of transportation and disposal. Failure to provide such an invoice may result in nonpayment.

**6. Access to Work; Maintenance of Records.** The Owner and Administrator or MaineHousing shall have the right to inspect the Project, including, without limitation all work done and all materials, supplies, equipment and fixtures furnished, installed or stored in, on or about the Project premises, and all books, subcontracts, and records of Contractor, at all reasonable times, which inspections Owner acknowledges are for the sole benefit of MaineHousing. NOTE: Entry into an active abatement area is strictly prohibited by any person(s) unlicensed to do so.

**7. Failure to Perform.** Failure by Contractor to perform any Work under this Contract for a period of two (2) consecutive working days at any time after commencement of the Work or failure by Contractor to complete the portion of the Work involving interior portions of the Project by the Interior End Date, without written consent of Owner, shall constitute a breach of the Contract, and Owner may, by written notice, terminate the Contract, and/or assess liquidated damages in the amount of \$50.00 per day for every working day that Contractor is not at the site without Owner approval.

**8. Liens.** The final payment due under the Contract shall not become due until the Contractor, if required,

delivers to the Owner a complete release of all liens arising out of the Contract, or receipts in full in lieu thereof and, if required in either case, an affidavit that, so far as he/she has knowledge or information, the releases and receipts include all the labor and material for which a lien could be filed. The Contractor may, however, if any subcontractor refuses to furnish a release or receipt in full, furnish a bond satisfactory to the Owner, to indemnify him against any lien. If any lien remains unsatisfied after all payments are made, the Contractor shall refund to the Owner all moneys that the latter may be compelled to pay in discharging such a lien, including all costs and attorney's fees.

- 9. Permits.** Permits and licenses necessary for completion of the Work shall be procured and paid for by the Contractor. The Contractor shall give all notices and comply with all laws, ordinances, statutes and regulations bearing on the Work.

The Contractor shall provide copies of all Work related permits and licenses to the Owner.

**10. Indemnity.**

- a. The Contractor shall indemnify and hold harmless Administrator, its agents and employees, MaineHousing its agents and employees, the Owner, his agents and employees, and the lead hazard design consultant working on the Project ("Consultant") from and against all claims, damages, losses and expenses, including attorneys' fees arising out of or resulting from the performance of the Work, provided that any such claim, damage, losses or expense (a) is attributable to bodily injury, sickness, disease or death, or injury to or destruction of tangible property (other than the Work itself) including the loss of use resulting therefrom, and (b) caused in whole or in part by any negligent act or omission of the Contractor, any Subcontractor, anyone directly or indirectly employed by any of them or anyone for whose acts any of them may be liable, regardless of whether or not it is caused in part by a party indemnified hereunder.
- b. In any and all claims against the Owner his agents or employees, or the Consultant working on the Project by any employee of the Contractor, any subcontractor, anyone directly or indirectly employed by any of them or anyone for whose acts any of them may be liable, the indemnification obligation under this Paragraph shall not be limited in any way by any limitation on the amount or type of damages, compensation or benefits payable by or for the Contractor or any subcontractor under Worker's Compensation Acts, disability benefit acts or other employee benefit acts.

**11. Insurance.**

- a. Commercial General Liability Insurance. The Contractor shall procure and maintain during the life of the Contract, at its own cost, and show evidence to the Owner of Commercial General Liability Insurance, including special broad form property damage coverage, to protect it from claims and damages which may arise from operations under the Contract, whether such operations shall be performed by Contractor or by anyone directly or indirectly employed by it in the types and minimum amounts set forth below:

Description	Coverage	Each Occurrence
Commercial General Liability		\$1,000,000
Lead-Based Paint Liability		\$1,000,000
Owners & Contractor's Protective*		\$1,000,000
P.D	Vehicle Liability, including owned, hired, or non-owned	\$1,000,000
Employer's Liability	B.I./Death	\$1,000,000

\*In the event the Contractor should employ subcontractors.

- b. Worker's Compensation Insurance. Contractor shall procure and maintain, at its own expense, and show evidence to the Owner of Worker's Compensation coverage, as well as Employer's Liability Coverage, for their employees, including employees engaged in hazardous work. All such policies which are in any way related to the Work and which are secured and maintained by the Contractor shall include clauses requiring that each underwriter shall waive all its right of recovery



under subrogation or otherwise against the Owner.

- b. **Deductible Amount.** The Contractor will reimburse the Owner and hold the Owner harmless for the cost of any losses for which it is responsible and to which a deductible amount may apply. The deductible amount in any such policy may not exceed Twenty Five Hundred Dollars (\$2,500) without the written consent of the Owner and MaineHousing or Administrator.
- c. **Certificate of Insurance.** The Contractor will provide Owner with either certificates of insurance or certified copies of the applicable policies, showing that it has complied with these provisions, and such certificates shall provide that thirty (30) days' written notice of non-renewal, material modification, or cancellation must be given to the Owner and MaineHousing or its duly authorized agent prior to the effective date of such non-renewal, material modification, or cancellation.
- d. **Owner as Additional Insured.** The Owner shall be named as an additional insured in all such policies.
- e. **Subcontractors.** All subcontractors shall provide the insurance coverage described below:

Description	Coverage	Each Occurrence
Commercial General Liability		\$500,000
P.D		\$500,000
Vehicle Liability, including owned, hired, or non-owned	B.I./Death	\$1,000,000
Worker's Compensation		Maine statutory limits

- 12. **Cleaning Up.** The Contractor shall at all times keep the Project premises free from the accumulation of waste materials or rubbish; and, at the completion of the Work, Contractor shall remove all rubbish from and about the Project and all tools, scaffolding and surplus materials and shall leave the Project "Broom Clean". In case of failure to comply by the Contractor, the Owner may perform the clean-up and deduct the cost from any monies due the Contractor.
- 13. **Relocation of Tenants.** The Administrator shall be responsible for the relocation during construction activities, including, but not limited to the provision of temporary living accommodations and in accordance with the applicable relocation requirements contained in the Program Procedural Guide. In the event that temporary housing becomes unavailable, Administrator shall provide a minimum 48 hour notice prior to the Work Start Date to the Contractor, and Owner and Contractor shall establish a new Project Start Date.
- 14. **Cooperation with Contractor.** The Owner shall cooperate with Contractor to facilitate performance of the Work, including the reasonable movement of household furnishings away from the Work area. Owner shall permit Contractor to make reasonable use of existing utilities for the performance of the Work and such use shall be at the expense of the Owner. Owner shall be responsible for obtaining permission from abutting property owners to move work people and materials onto abutting properties for the purposes of completing the Work. Owner shall also ensure that no other contractor will interfere with Contractor's work. If the Owner or an unauthorized general contractor breaches Contractor's containment or otherwise causes lead contamination of an area already cleaned by the Contractor, the re-testing and re-cleaning of the contaminated areas shall be at the expense of the Owner. Furthermore, any duly authorized agent of MaineHousing shall not be obligated to release any funds to the Owner until such time as the Owner has re-cleaned and re-tested the areas that have been re-contaminated by the Owner or his general contractor.
- 15. **Assignment.** Contractor shall not assign this Contract nor delegate its duties thereunder without the written consent of the Owner and MaineHousing.
- 16. **Project Monitoring.** Contractor and subcontractors will be monitored by the Program Administrator, the Design Consultant or MaineHousing. The Program Administrator, Consultant or MaineHousing has the authority to monitor the Work and to ensure that the project is being performed in accordance with this Contract and the Design Plan attached as Exhibit C. Consultant has the authority to direct Contractor to remedy any unsafe or illegal work practice and to ensure that the lead-based paint hazard control process is being performed in accordance with the Occupational Health and Safety Administration Lead in Construction Standards (29 CFR 1926.62), and in accordance with applicable United States Department

of Housing and Urban Development guidelines and Maine Department of Human Services regulations. In the event of a dispute between Consultant and Contractor, the Consultant shall have the authority to determine the dispute and Consultant's decision shall be final. Both the Contractor and the Consultant should describe the dispute in their daily logs and inform MaineHousing of the decision.

- 17. Warranty.** The Contractor warrants to the Owner that materials and equipment furnished under the Contract will be of good quality and new, fit for the purposes for which they are intended and of merchantable quality, unless otherwise required or permitted by the Contract Documents; that the Work will be free from defects not inherent in the quality required or permitted; and that the Work will conform with the requirements of the Contract Documents. Work not conforming to these requirements, including substitutions not properly approved and authorized, may be considered defective. The Contractor's warranty excludes remedy for damage of defect caused by abuse, modifications not executed by the Contractor, improper or insufficient maintenance, improper operation, or normal wear and tear under normal usage. If required by the Owner, the Contractor shall furnish satisfactory evidence as to the kind and quality of materials and equipment.
- 18. Compliance with Environmental Laws.**
- a. The Contractor and all sub-contractors will comply in all respects with all applicable federal, state and local laws and regulation, including, without limitation, those relating to "hazardous materials", as defined herein.
  - b. The term "hazardous materials" shall mean any substance, material, or waste which is or becomes regulated by any governmental authority, including, but not limited to: (i) petroleum; (ii) friable or non-friable asbestos; (iii) polychlorinated biphenyls; (iv) those substances, materials or wastes designated as a "hazardous substance", pursuant to Section 311 of the Clean Water Act or listed pursuant to Section 307 of the Clean Water Act or any amendments or replacements to these statutes; (v) those substances, materials or wastes defined as a "hazardous waste", pursuant to Section 1004 of the Resource Conservation and Recovery Act or any amendments or replacements to that statute; (vi) those substances, materials or wastes defined as a "hazardous substance", pursuant to Section 101 of the Comprehensive Environmental Response, Compensation and Liability Act, or any amendments or replacements to that statute or any other similar statute, rule, regulation or ordinance now or hereafter in effect; or (vii) any "hazardous waste", "hazardous substance" or "chemical substance or mixture" or similarly regulated substances or material as such phrases are defined in or regulated pursuant to any applicable state or local law, regulation or ordinance governing the generation, storage, discharge, transportation or disposal of the same.
  - c. The Contractor, at his own expense, will promptly take all actions which may be necessary to abate, remove, clean up, and otherwise cure any violation of environmental laws caused by any hazardous materials used, generated, released, discharged, stored, or disposed of in connection with the Project and which were either brought onto the Project site or employed by the Contractor in connection with the Project. The Contractor shall not be responsible for hazardous materials present on the site or in the building at the time of the commencement of the Project, unless the Contract Documents impose such an obligation upon him.
  - d. Contractor will defend, indemnify and hold the Owner harmless from any cost, expense, claims or liability resulting from violations of any environmental laws hereunder by Contractor or any subcontractor.
- 19. Changes in Scope of Work.** Neither the Owner nor the Contractor shall make any changes in the plans and specifications developed by the Consultant, or changes by altering or adding to the Work contemplated, or orders for extra work which will result in a net construction cost increase, or will change the design concept, or will result in a construction cost decrease of more than 2% of the Contract amount without the prior written approval of MaineHousing.
- 20. Arbitration.** If a dispute arises concerning the provisions of this contract or the performance by the either the Owner or the Contractor, then the Owner and the Contractor agree to settle this dispute through binding arbitration as regulated by the Maine Uniform Arbitration Act, with the parties agreeing to accept as final the arbitrator's decision. MaineHousing may, at its sole discretion, decide to assume the costs for the arbitrator. The parties to the arbitration shall be responsible for attorney's fees, if any.
- 21. Role of MaineHousing and Administrator.** Notwithstanding any reference to MaineHousing and/or the

Administrator contained herein, Owner and Contractor recognize and acknowledge that MaineHousing, its agents and employees are not parties to this Contract. Contractor and Owner shall have no claim against MaineHousing or any person acting on its behalf for any action taken pursuant to this Contract.

It is further understood between the parties hereto that Owner has selected all contractors, subcontractors, material men, as well as all others furnishing services or materials to the Project and MaineHousing has, and shall have, no responsibility whatsoever for them or for the quality of their materials or workmanship. MaineHousing's sole function is that of program coordinator and to distribute Lead Hazard Reduction Demonstration Program proceeds in accordance with program guidelines as may be promulgated by MaineHousing. Owner shall have no right to rely on any procedures required by MaineHousing, because such procedures are for the protection of MaineHousing.

Owner and Contractor agree, both jointly and severally, to indemnify and hold harmless MaineHousing its agents and employees from and against any and all liability, suits, actions, and claims for property damage and/or personal injury (including death) arising directly or indirectly from the execution of the Work or otherwise under this Contract.

- 22. Complete Agreement.** This Contract represents the entire and integrated agreement between Owner and Contractor. No changes, modifications, nor amendments in the terms and conditions of this Contract shall be effective, unless reduced to writing, signed by duly authorized representatives of Owner and Contractor, and approved by MaineHousing.
- 23. Governing Law; Gender.** This Contract shall be governed by the laws of the State of Maine. Any noun or pronoun, when used herein, shall mean the singular or plural and the masculine or feminine, as the context requires.
- 24. MAINE ATTORNEY GENERAL ADVISORY.** OWNERS ARE STRONGLY ADVISED TO VISIT THE MAINE ATTORNEY GENERAL'S PUBLICLY ACCESSIBLE WEBSITE TO OBTAIN CURRENT INFORMATION ON HOW TO ENFORCE THEIR RIGHTS WHEN CONSTRUCTING OR REPAIRING A HOME AT: [http://www.maine.gov/ag/consumer/housing/home\\_construction.shtml](http://www.maine.gov/ag/consumer/housing/home_construction.shtml) OR CONTACT THE ATTORNEY GENERAL'S OFFICE BY MAIL OR TELEPHONE AT: 6 STATE HOUSE STATION, AUGUSTA, MAINE 04333 (207) 626-8800 / TTY # 711

BY SIGNING BELOW, OWNER ACKNOWLEDGES HE/SHE HAS READ THE ATTACHED MAINE ATTORNEY GENERAL HOME CONSTRUCTION WARNING ADDENDUM.

IN WITNESS WHEREOF, the Owner and Contractor hereto have caused this Contract to be duly executed on the Contract Date written above.

**OWNERS**

\_\_\_\_\_  
Signature of Owner

\_\_\_\_\_  
Witness

\_\_\_\_\_  
Signature of Co-Owner

\_\_\_\_\_  
Witness

**CONTRACTOR**

\_\_\_\_\_  
Signature of Contractor Representative

\_\_\_\_\_  
Witness

\_\_\_\_\_  
Contractor Representative Name

**ACKNOWLEDGED BY ADMINISTRATOR**

\_\_\_\_\_  
Signature of CAA Representative

\_\_\_\_\_  
CAA Representative Name

## CONTRACT ADDENDUM

### MAINE ATTORNEY GENERAL HOME CONSTRUCTION WARNING STATEMENT

If you are thinking about building a new home or repairing your existing home, here are some things you should know.

#### **Contractors Are Not Licensed – Buyer Beware!**

Home contractors are not licensed or regulated by the State of Maine. The old saying “Buyer Beware” applies. While some towns and cities have adopted building codes and enforced them, others have not. We recommend that you talk to your town’s code officials before you begin construction. Although home construction contractors are not licensed, some building trades are licensed. Plumbers, electricians, oil burner technicians, and installers of mobile and modular homes are licensed in Maine. For more information on these licensed trades, go to: <http://www.maine.gov/pfr/index.shtml>

#### **Always Check Contractor References**

The Attorney General receives more complaints about home contractors than about almost any other business. We *strongly* recommend that you ask any contractor you are considering hiring for several references and that you follow up on them. It is also a good idea to check with your local building supply companies or real estate brokers. They will know the dependable contractors in your area.

#### **Written Contracts Are Required**

For all home construction and home improvement projects over \$3,000, Maine law requires a written contract with a specific provision that prohibits payment up front of more than one third of the contract price. When a contractor asks you for any money up front, make sure that the money is being used to purchase materials for your project. Ask for receipts and for a lien waiver from subcontractors. A model contract that meets State law can be found in Chapter 18 of the Maine Attorney General’s Consumer Law Guide. Go to [http://www.maine.gov/ag/consumer/law\\_guide\\_article.shtml?id=27938](http://www.maine.gov/ag/consumer/law_guide_article.shtml?id=27938)

#### **Be Careful with Construction Loans**

If a lender is financing your construction project, make sure that you know your lender and that you understand how your loan proceeds will be disbursed and how subcontractors will be paid.

#### **Home Contractor Complaints Received by the Attorney General**

For a listing of home contractors the Attorney General’s Consumer Mediation Service has received complaints against, go to: [http://www.maine.gov/ag/consumer/housing/home\\_construction.shtml](http://www.maine.gov/ag/consumer/housing/home_construction.shtml)  
You can also call the Attorney General’s Consumer Protection Division at 1-800-436-2131. The Better Business Bureau also provides information on companies. Go to [www.bosbbb.org](http://www.bosbbb.org) or call (207) 878-2715.

#### **Home Contractors the State Has Sued**

In the recent past the State has successfully sued the following home contractors for poor workmanship or failure to complete jobs: *State of Maine v. CBS Enterprises (Kimberly Mark Smith and David J. Blais), Default Judgment in CBS Enterprises, State of Maine v. Frederic Weinschenk d/b/a Ric Weinschenk Builders Inc., State of Maine v. Stephen Lunt d/b/a Lakeview Builders, Inc., State of Maine v. Bob Burns d/b/a Better Homes, State of Maine v. Albert H. Giandrea d/b/a AG’s Home Quality Improvements, Inc., State of Maine v. Al Verdone, State of Maine v. Mikal W. Tuttle, d/b/a MT Construction, DMI Industries, and MT Construction, Inc.* The Androscoggin County District Attorney has obtained a theft conviction against home contractor *Harold Soper. State of Maine v. Harold Soper.* Even when our law suits have been successful, we have been unable to collect a significant portion of the judgments because the builders are bankrupt, judgment proof, or have left the state. We strongly recommend that you research a contractor’s record before you begin any construction project.

#### **Your Home Construction Rights**

Chapter 17 of the Maine Attorney General’s Consumer Law Guide explains your rights when constructing or repairing your home. Chapter 18 of the Consumer Law Guide is a model home construction contract that meets the statutory requirements for any home construction contract over \$3,000. Go to [http://www.maine.gov/ag/consumer/law\\_guide\\_article.shtml?id=27938](http://www.maine.gov/ag/consumer/law_guide_article.shtml?id=27938)

**As of September 1, 2006, this entire statement must be an addendum to any home construction contract for more than \$3,000, as required by 10 M.R.S.A. Chapter 219-A.**

**SPECIAL SPECIFICATIONS FOR LEAD-BASED PAINT HAZARD CONTROL CONTRACTS**

**1.01 GENERAL REQUIREMENTS**

All work funded through the Maine State Housing Authority Lead-Based Paint Hazard Reduction Demonstration Program (the "Program") as administered by a duly authorized Program administrator (the "Program Administrator") shall include these requirements. The execution of all de-leading contracts shall incorporate all Contract Documents and all existing local, State and federal laws and regulations.

The contractor shall perform all work according to the following:

**1.02 LEAD-BASED PAINT HAZARD CONTROL WORK**

**A. Surfaces with Lead-Based Paint.**

The contract shall include, but is not limited to, the following activities:

- (i) The removal, encapsulation, enclosure, replacement, cleaning and disposal of items determined to contain harmful amounts of lead-based paint, according to Maine Laws and Regulations.
- (ii) Lead-based paint hazard reduction as indicated or included in the attached specifications and/or Contract Documents.
- (iii) Work outside the Project Site as called for in the Contract Documents and as required for the performance of the Work.
- (iv) Providing and restoring, where appropriate, all temporary facilities.

**B. Related Services and Equipment.**

The CONTRACTOR shall furnish all labor, materials, tools, services, insurance and equipment necessary to perform the demolition, removal, and proper disposal of all lead-based materials as identified by the inspection reports, and as indicated in these technical specifications.

**C. Compliance.**

The CONTRACTOR shall assume full responsibility and liability for the compliance with all applicable federal, State and local regulations pertaining to notifications, work practices, hauling, disposal, and protection of workers, visitors and residents. The CONTRACTOR shall hold the OWNER and the MAINE STATE HOUSING AUTHORITY, including the duly authorized agents of the Maine State Housing Authority, harmless for the failure of the CONTRACTOR to comply with any applicable regulations.

**D. Methods.**

- (i) Detailed requirements for the lead-based paint hazard reduction work are included in Appendix C of this Document. The detailed work plan contains an area by area breakdown of each housing unit and the methods of lead-based paint hazard control that must be utilized. The CONTRACTOR will identify the location and layout of decontamination areas, the sequencing of work, the interface of other trades involved (if any) in the performance of work, methods to be used to assure the safety of building occupants and visitors to the site, disposal plan including location of approved disposal site, and a detailed description of the methods to be employed to control pollution.
- (ii) Priming and repairing of all woodwork or damaged areas associated with lead-based paint hazard reduction. Prior to priming surfaces, the surface shall be cleaned to remove dust, paint chips, and surface contaminants that may prevent proper adhesion of coatings (including de-glossing).
- (iii) Clean-up of all visible paint chips on the ground surrounding lead-based paint hazard control work areas and where indicated by the work specifications.
- (iv) Meeting post lead-based paint hazard control dust wipe clearance sampling criteria as required by the HUD Guidelines for the Evaluation and Control of Lead-Based Paint Hazards in Housing and the Maine Department of Environmental Protection (DEP) Lead Management Regulations. The lead concentrations in dust samples shall be below the following levels:

Hard Floors/Carpet: 10 micrograms/sq ft (ug/ft<sup>2</sup>)

Window Sills: 100 ug/ft<sup>2</sup>

Window Wells: 100 ug/ft<sup>2</sup>

- (v) Meeting post lead-based paint hazard control soil sampling criteria as specified by the Maine DEP if soil lead-based paint hazard control is undertaken as part of the work specifications. The concentrations in the soil shall be below the following levels:

Play Areas 375 parts per million

Foundation Drip-line & Other 1,000 ppm

Refer to Section 6F of Maine DEP Lead Management Regulations.

- (vi) All lead-based paint hazard control activities shall be performed in accordance with these specifications, and all applicable federal, State and local government regulations. In the occurrence of conflict or overlap between governing regulations and these specifications, the more stringent shall be applied.
- (vii) Cooperate fully with the OWNER, PROGRAM ADMINISTRATOR, CONSULTANT, and tenants during construction operations to minimize conflicts.

#### **E. Materials, Tools and Equipment.**

- (i) All materials, tools, and equipment will be supplied by the CONTRACTOR and must comply, at a minimum, with this specification, and applicable federal, State and local codes.
- (ii) Polyethylene Sheeting and Bags. At least 6 mil for all applications.
- (iii) Wetting/Cleansing Agent. Five percent (5%) TSP (Tri-Sodium Phosphate) at one ounce per gallon of water or other specified lead-specific cleaning agent. Contractor may use an all-purpose cleaning agent in lieu of TSP according to the manufacturer's recommendations.
- (iv) Tape and Glue. Shall be capable of sealing plastic joints, and attaching plastic to finished surfaces without damage when removed. The bonding strength and resulting seal integrity must not be affected by mist or water, encapsulation agent, or any other materials to be used in the work area.
- (v) Warning Signs and Labels. Shall comply with Maine Department of Environmental Protection Chapter 424 Lead Management Regulations and all other applicable federal, State or local codes and regulations.
- (vi) Waste Containers and Transportation. Use doubled, 6 mil poly bags as specified in section 1.13, "Lead Waste Disposal Procedures" or, drums or other closed containers, suitable for loading, temporary storage, transit, and unloading of contaminated waste without rupture, or otherwise causing spillage or exposure to persons or emissions to the atmosphere. Transportation methods shall comply with applicable hazardous or special waste regulations for temporary storage, transport, and disposal if such codes are in effect in states or cities where the waste will be stored, transported and disposed of. All containers shall be labeled in accordance with OSHA and DOT regulations.
- (vii) Respiratory Protection Devices. Shall be NIOSH approved and shall comply with all provisions for 29 CFR 1926.58 as stated in section 1.07, Respiratory Protection.
- (viii) Electrical Equipment. Shall be Underwriters Laboratory Listed and approved and shall have ground fault circuit interrupt protection.
- (ix) Ladders or Scaffolds. Shall be OSHA-approved, and be of sufficient dimensions and quantities so that all work surfaces can be easily and safely accessed by the OWNER's Representative, workers and other authorized inspectors.

### **1.03 PROJECT COORDINATION**

#### **A. Personnel.**

Project Supervisor. The CONTRACTOR shall provide a full-time supervisor who will coordinate and supervise all on-site work and who is experienced in supervision of lead-based paint hazard control projects including work practices, protective measures for building and personnel, disposal procedures, etc. The Supervisor must have completed an Environmental Protection Agency certified lead-based paint

hazard control procedures and supervisor's course and have had either a minimum of one (1) year as a lead-based paint hazard control worker or two (2) years' experience in the building trades, asbestos abatement, environmental technician or related field. The Project Supervisor shall be licensed and shall be on site at all times during lead-based paint hazard control activity in accordance with Maine DEP Lead Management Regulations.

**B. Pre-Construction Conference.**

- (i) A Pre-Construction Conference may be convened prior to start of any work. At this meeting the following issues will be addressed:
  - (a) Lead-based paint hazard control Issues;
  - (b) Project Scheduling and Coordination;
  - (c) Code permitting requirements
  - (d) Use of OWNER's Facilities;
  - (e) Tenant Issues and Concerns and Relocation Procedures;
  - (f) Contract Signing and Submittals
- (ii) Upon request, Contractor shall submit copies of worker and supervisor licenses to CONSULTANT prior to commencement of work. Failure to provide license copies of on-site personnel may result in a shutdown of work until such documents are provided.

**C. Commencement of Work.**

- (i) The CONTRACTOR shall begin work as stated in the Maine State Housing Authority Lead-Based Hazard Reduction Demonstration Program Construction Contract and Notice to Proceed and shall give proper notification to the Maine DEP (as described in 1.04 D of this document), OWNER, PROGRAM ADMINISTRATOR and building occupants.
- (ii) The CONTRACTOR shall cooperate fully with OWNER and tenants and shall coordinate and schedule work to allow adequate time for the OWNER and tenants to prepare units before any lead-based paint hazard control work is started.

**D. Existing Conditions.**

- (i) Pre-existing damage must be recorded by the CONTRACTOR and given to OWNER and PROGRAM ADMINISTRATOR in a Pre-Existing Damage Report before the beginning of work. Damage uncovered during work must be brought to the attention of the OWNER and PROGRAM ADMINISTRATOR forthwith.
- (ii) Damage to property caused by the CONTRACTOR will be corrected by the CONTRACTOR and restored to the original condition, including finish work and painting. If CONTRACTOR fails to correct property damage caused by it or any of its subcontractors, OWNER will be compensated for property damages by a deduction from the base contract price in an amount sufficient to cover the repair or replacement of the damaged property.
- (iii) Improperly installed replacement components or enclosures or poorly performed finish carpentry work shall be corrected by the CONTRACTOR. If CONTRACTOR fails to correct improperly installed replacement components, enclosures, or poorly performed finish carpentry work by it or any of its subcontractors, OWNER will be compensated for these damages by a deduction from the base contract price in an amount sufficient to cover the expenses incurred by the OWNER to correct the problem(s).

**E. Completion Time and Liquidated Damages.**

- (i) The Date of Completion is stated in the Proposal Form and in the Contract. If the CONTRACTOR should find it impossible to complete the work on or before the said Date of Completion, the Administrator shall obtain a written request (Change Order) signed by the CONTRACTOR and OWNER for an Extension of Time, setting forth therein the reasons for the request, subject to MaineHousing's review and approval. If the OWNER finds that the work was delayed because of conditions beyond the control and without the fault of the CONTRACTOR, he may extend the Date of Completion which shall then be in full force and effect, the same as though it were the original Date of Completion.

- (ii) Time is an essential element of the Contract and it is important that the work be pressed vigorously to completion. The cost to the OWNER of administration of the Contract, inspection and supervision will be increased as the time occupied in the work is lengthened.
- (iii) For each calendar day that any work shall remain uncompleted after the Date of Completion specified in the Contract, an amount equal to \$50.00 per day shall be deducted from any money due the CONTRACTOR, not as a penalty, but as Liquidated Damages; provided, however, that due account shall be taken of any adjustment of the Date of Completion granted under the provisions of Paragraph (i) above.
- (iv) For every hour that the CONTRACTOR is late on a scheduled workday, a deduction of \$50.00 per hour (or \$25.00 per half hour) may be made from the base bid amount. Late shall be defined as any time after 8:30 A.M. A late fee can be waived by the OWNER for reasons of inclement weather, "an act of God", or other extenuating circumstances approved by the OWNER. In addition, if CONTRACTOR fails to notify CONSULTANT at least twelve hours in advance, which CONTRACTOR will not be on site for a particular workday, CONTRACTOR may be assessed liquidated damages in the amount of \$325.00 per day for every day that the CONTRACTOR failed to notify CONSULTANT that CONTRACTOR would not be on the project site. The \$325.00 per day liquidated damages may be deducted from the base contract price.

**F. Daily Log.**

- (i) The CONTRACTOR is to maintain a daily log documenting the dates and time of meetings (purpose, attendees, brief discussion), visitations (authorized and unauthorized), personnel (by name and DEP certification number, entering and leaving the work area), special or unusual events (i.e., barrier breaching, equipment failures, accidents), air monitoring tests, interim test results, and progress of completion.
- (ii) Copies of this log may be requested by the OWNER and/or PROGRAM ADMINISTRATOR at close-out of the project. This log must also be made immediately available to the DEP if requested. If such a request is made, CONTRACTOR shall provide the log.

**G. Site Inspections.**

All work will be periodically inspected by the ADMINISTRATOR or MaineHousing who may from time to time interrupt work for reasons of safety or to request corrections according to the specifications. In the event that a CONTRACTOR's action results in an immediate threat to health or safety of the residents, workers or the environment, the ADMINISTRATOR or MaineHousing shall have the authority to direct the CONTRACTOR to stop work.

**1.04 CODES, REGULATIONS, AND STANDARDS**

Requirements include adherence to work practices and procedures set forth in applicable codes, regulations and standards. Requirements include obtaining permits, licenses, inspections, releases and similar documentation, as well as payments, statements and similar requirements associated with codes, regulations and standards.

**A. General Applicability of Codes and Regulations and Standards.**

Except to the extent that more explicit or more stringent requirements are written directly into the Contract Documents, all applicable codes, regulations, and standards have the same force and effect (and are made a part of the Contract Documents by reference) as if copied directly into the Contract Documents or as if published copies are bound herewith.

**B. Contractor Responsibility.**

The CONTRACTOR shall assume full responsibility and liability for the compliance with all applicable federal, State and local regulations pertaining to work practices, hauling, disposal, and protection of workers, visitors to the site, and persons occupying areas adjacent to the site. The CONTRACTOR is responsible for providing medical examinations and maintaining medical records of personnel as required by all applicable regulations.

**C. Requirements.**

Requirements which govern lead-based paint hazard control work or hauling and disposal of lead waste materials include, but are not limited to, the following:



- (i) 29 CFR 1910, sections 1925 and 1926, Occupational Safety and Health Administration as follows:
  - 1910.139 Respiratory Protection (effective 4/8/98)
  - 1910.1020 Access to Employee Exposure and Medical Records (effective 6/20/96)
  - 1926.62 Construction Industry Standard (2/13/96)
  - 1926.59 Hazard Communication (effective 6/20/96)
  - 1926.200 Accident Prevention Signs and Tags
  - 1926.20 General Safety and Health Provisions
  - 1926.21 Safety Training
  - 1926.28 Personal Protection
  - 1926.51 Sanitation
  - 1926.55 Gases, Vapors, Fumes, Dusts and Mists
  - 1926.57 Ventilation
  - 1926.103 Respiratory Protection
  - 1926.251 Rigging, Scaffolding and Staging.
- (ii) 58 CFR 26590 Occupational Safety and Health Administration.
- (iii) DOT - U.S. Department of Transportation, including, but not limited to: 29CFR parts 171 and 172 Hazardous Substances.
- (iv) 49 USC 6901, et seq. Resource Conservation Recovery Act (RCRA).
- (v) Maine Department of Environmental Protection Hazardous Waste Regulations.
- (vi) Maine Department of Human Services Childhood Lead Poisoning Prevention Regulations.
- (vii) Maine Lead Poisoning Control Act, Title 22, Chapter 252.
- (viii) Maine Department of Environmental Protection Chapter 424 Lead Management Regulations.

In addition, lead-based paint hazard control work shall be performed in accordance with HUD Guidelines for the Evaluation and Control of Lead-Based Point Hazards in Housing.

**D. Notifications - State and Local Agencies, and Tenants.**

Send written notification as required by State regulations prior to beginning any work on lead-containing materials, including the following:

Maine Department of Environmental Protection  
 Lead Licensing & Enforcement Program  
 State House Station #17  
 Augusta, ME 04333  
 PROGRAM ADMINISTRATOR:

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

- (i) Written notification must be submitted to the Maine DEP (on its approved form) at least five (5) working days prior to commencement of the lead-based paint hazard control activity, including set-up or on-site preparation activities.

Written revisions to the original notification must be submitted to the Maine DEP if the start and/or end date changes. Timelines for submission of revisions are outlined in Section 3 of the Maine DEP Lead Management Regulations. Compliance with all notification requirements is the responsibility of the CONTRACTOR. Copies of all notifications and revisions must be submitted to the OWNER and ADMINISTRATOR.

- (ii) Notification of Occupants. The CONTRACTOR shall provide written notification to the occupants at least five (5) days in advance of the proposed lead-based paint hazard control activities. The notice must include scheduled dates and work hours for lead-based paint hazard control activities, identification of work sites, and information on any alternative entrance or exit to be used during lead-based paint hazard control activities. Note: A Department of Human Services warning sign does not meet this requirement.

#### **E. Abbreviations and Acronyms.**

Abbreviations and acronyms as referenced in Contract Documents are defined to mean the associated names. Names and addresses are subject to change, and are believed to be, but are not assured to be, accurate and up-to-date as of the date of Contract Documents.

AIHA	American Industrial Hygiene Association
AIA	American Institute of Architects
ANSI	American National Standards Institute
ASTM	American Society for Testing and Materials
CFR	Code of Federal Regulations
DEP	Maine Department of Environmental Protection
DHS	Maine Department of Human Services
DOT	Department of Transportation
EPA	Environmental Protection Agency
NBS	National Bureau of Standards
NFPA	National Fire Protection Association
NLLAP	National Lead Laboratory Accreditation Program
OSHA	Occupational Safety and Health Administration
UL	Underwriters Laboratories

#### **1.05 SUBMITTALS**

##### **A. General.**

The CONTRACTOR shall prepare and upon request, submit the submittals to the OWNER and ADMINISTRATOR at the time the Contract is executed.

##### **B. Review.**

The CONTRACTOR shall allow sufficient review time so that installation will not be delayed as a result of the time required to process submittals, including time for re-submittals. No extension of Contract Time will be authorized because of failure to transmit submittals to OWNER sufficiently in advance of the work to permit processing.

##### **C. Submittals Required Upon Request Prior to the Commencement of Work.**

- (i) List of proposed subcontractors with their specialty and qualifications.
- (ii) Names and copies of certifications of the proposed Project Supervisors.
- (iii) Copies of certifications for each lead-based paint hazard control worker.
- (iv) Copies of notifications (required with or without request).
- (v) A current copy of CONTRACTOR's Maine Lead Abatement CONTRACTOR License.
- (vi) Insurance certificates.
- (vii) List of citations/violations with corrective measures taken.

**D. Required Submittals During the Course of Work.**

- (i) Changes to original submissions. This includes new employees of the CONTRACTOR who are scheduled to work on this particular job site. CONTRACTOR must provide copies of all appropriate licenses to the OWNER and PROGRAM ADMINISTRATOR for these new employees.
- (ii) Written requests for change orders when additional work is required. Payments will not be made for additional work performed without an authorized written change order submitted on a form acceptable to the OWNER, MaineHousing, and PROGRAM ADMINISTRATOR and shall include a detailed breakdown of all additional costs.
- (iii) The CONTRACTOR must maintain all documents indicated in Section 6H(2) of the Maine DEP Lead Management Regulations at the lead-based paint hazard control worksite throughout the duration of such activity. The CONTRACTOR must make these documents immediately available to the DEP and/or to the CONSULTANT monitoring the project.

**E. Final Submittals.**

- (i) Lead-Based Paint Hazard Control Report & Report Cover Sheet. The CONTRACTOR shall prepare and submit copies of the lead-based paint hazard control report cover sheet in the format attached to these general specifications to the OWNER and the PROGRAM ADMINISTRATOR WITHIN 30 DAYS OF PROJECT COMPLETION. The CONTRACTOR shall submit the complete lead-based paint hazard control report upon request of the DEP, OWNER, MaineHousing, or the PROGRAM ADMINISTRATOR.
- (ii) Occupant Protection Plan. CONTRACTOR shall submit the Occupant Protection Plan to the ADMINISTRATOR prior to commencement of the work.
- (iii) Project Visitors Log. Upon request, CONTRACTOR shall submit a record of when visitors enter and leave the job site.
- (iv) Daily Construction Report/Supervisor's Daily Log. Upon request, CONTRACTOR shall submit a report showing daily crew size and work activities.
- (v) Log of Dates of Specific Lead-Based Paint Hazard Reduction Demonstration Grant Program Activities. Upon request, the CONTRACTOR shall submit at the end of the project, a copy of the specifications which has been dated as to when specific lead-based paint hazard control activities took place.
- (vi) Upon request, CONTRACTOR Personnel Air Monitoring Results, if applicable.
- (vii) Citations/Violations/Incident Reports. Upon request, CONTRACTOR is to submit all agency related violations with corrective actions taken.
- (viii) Accident/First Aid Reports. Upon request, CONTRACTOR is to submit these reports, if any.
- (ix) Waste Disposal Manifests. Upon request CONTRACTOR shall submit written disposal certificates and copies of all waste manifests, trip tickets, and receipts.

The CONTRACTOR is responsible for maintaining documents listed in Section 6H(1) of the DEP Lead Management Regulations for a minimum of ten years, in a place and form approved by the DEP.

**1.06 PERSONNEL PROTECTION**

**A. Proper Training - Certification of Workers.**

All workers are to be certified as Lead Abatement Workers as required by the Maine DEP Lead Management Regulations. Lead abatement worker training will include OSHA Standard for Lead in Construction (29 CFR 1926.62 effective 5/4/93), personal protective equipment and hygiene practices, State of Maine statutes and regulations, background information on lead and its adverse health effects, waste handling and disposal, air and dust sampling, and clearance standards. Project supervisors must be further trained in occupant protection planning, supervisor responsibilities, contractor liability, and report preparation.

**B. Medical Examinations.**

Provide medical examinations for all workers. Medical examinations, at a minimum, shall include a blood test and pulmonary function test as required by OSHA regulations.

**C. Protective Clothing.**

Workers must be issued protective clothing:

- (i) Provide disposable full-body coveralls and disposable head covers, and require that they be worn by all workers in the Work Area. Provide a sufficient number for all required changes and the number of workers in the Work Area.
- (ii) Provide eye protection (goggles) as required by OSHA for all workers involved in wet scraping, spraying or any other activity which may potentially cause eye injury. Thoroughly clean, decontaminate and bag goggles before removing them from Work Area.
- (iii) Provide work gloves to all workers and require that they be worn at all times in the Work Area. Do not remove gloves from Work Area and dispose of as lead-contaminated waste at the end of the work.

**D. Decontamination Procedure.**

Require all workers to adhere to at a minimum, the following personal decontamination procedures whenever they enter and leave the Work Area:

- (i) Entering containment. Change from street clothes into new and clean protective clothing and don respirator, while in a "clean room".
- (ii) Exiting Containment. When leaving the work area employees are to remove visible dust from disposable clothing before entering the airlock. When in the airlock, protective clothing is to be HEPA vacuumed and then removed and discarded back into the work area. The worker may then remove the respirator and place it into a plastic bag, dress in street clothes and exit the airlock.
- (iii) Respiratory Equipment Maintenance. The CONTRACTOR shall instruct all employees and workers in the proper care of their personally issued respiratory equipment, including daily maintenance, sanitizing procedures, etc.
- (iv) Personal Hygiene. Employees shall, at a minimum, wash face and hands immediately upon exiting the work area and before leaving the "change room". The CONTRACTOR shall provide clean towels daily for this purpose.

**E. Prohibitions.**

Require that workers NOT eat, drink, smoke, chew tobacco or gum, or apply cosmetics in the work area. To eat, chew, drink or smoke, workers shall follow proper decontamination procedures prior to entering non-work areas of the site.

**1.07 RESPIRATORY PROTECTION**

**A. Training.**

The CONTRACTOR shall instruct and train each worker involved in lead-based paint hazard control in proper respiratory use.

**B. Fit Testing.**

- (i) Initial fitting. Provide initial fitting of respiratory protection during a respiratory protection course of training set up and administered by an Industrial Hygienist. Fit types of respirator to be actually worn by each individual. Allow an individual to use only those respirators for which training and fit testing have been provided.
- (ii) Respirator use. Require that each time an air-purifying respirator is put on it be checked for fit with a positive and negative pressure fit test in accordance with the manufacturer's instructions or ANSI Z88.2 (1980).

**C. Respirator Use.**

The CONTRACTOR shall require each worker to wear a respirator, for which s/he has been properly fit tested, whenever the worker enters the Work Area. The minimum level of respiratory protection to be used will be full-face air-purifying respirators with high efficiency filters. Contractors are encouraged to choose respiratory types that provide greater protection factors than those required. Air monitoring results for both the type of respirator used and the type of work being done, must meet proper respiratory protection criteria.

**D. Respiratory Protection.**

Provide respiratory protection according to the standards as indicated by the Chart provided below in accordance with the OSHA standard 29 CFR 1910.134(b), (d), (e) and (f) and the OSHA lead standard 29 CFR 1910.1025, whichever are stricter and offer greater protection.

PROPER RESPIRATORY PROTECTION - CRITERIA FOR SELECTION		
Respirator Type	Factor	Exposure Protection
Air purifying: <ul style="list-style-type: none"> <li>• Negative pressure respirator</li> <li>• High efficiency filter</li> <li>• Half facepiece</li> </ul>	10	0 to 0.5 mg/m3
Air purifying: <ul style="list-style-type: none"> <li>• Negative pressure respirator</li> <li>• High efficiency filter;</li> <li>• Full facepiece</li> </ul>	50	0 to 2.5 mg/m3
Powered air purifying (PAPR): <ul style="list-style-type: none"> <li>• Positive pressure respirator</li> <li>• High efficiency filter</li> <li>• Full facepiece</li> </ul>	1,000	0 to 50.0 mg/m3
Type C supplied air: <ul style="list-style-type: none"> <li>• Positive pressure respirator</li> <li>• Pressure demand or</li> <li>• Other positive pressure mode;</li> <li>• Half facepiece</li> </ul>	2,000	0 to 100 mg/m3
Type C supplied air: <ul style="list-style-type: none"> <li>• Positive pressure respirator</li> <li>• Pressure demand or other</li> <li>• positive pressure mode;</li> <li>• Full facepiece</li> </ul>	>2,000	>100 mg/m3

**E. Respirators.**

All individuals engaged in lead-based paint hazard control activities or individuals who enter into work areas where lead-based paint hazard control activities are occurring, must wear appropriate respiratory (including personal and other) protective equipment in accordance with the requirements of OSHA 29 CFR 1926.62 (effective date of February 13, 1996) (Refer to Section 6A in the DEP Lead Management Regulations).

**F. Filter Cartridges.**

Provide, at a minimum, HEPA type filters labeled with NIOSH and OSHA Certification for "Radionuclides, Radon Daughters, Dust, Fumes, Mists, including Lead-Containing Dusts and Mists" and color coded in accordance with ANSI Z228.2 (1980). In addition, a chemical cartridge section may be added, if required, for solvents, etc., in use. In this case, provide cartridges that have each section of the combination canister labeled with the appropriate color code and NIOSH/MSHA Certification.

## **1.08 ENVIRONMENTAL AND AIR MONITORING**

- A.** The CONTRACTOR is responsible for conducting air monitoring of his/her employees according to OSHA regulations during all lead-based paint hazard control work. The results of such sampling shall be posted and provided to workers.
- B.** Samples will be used to determine 8-hour TWA and personal protective equipment requirements (results shall be made available on-site for DEP review). Personal sampling shall be as outlined in OSHA Standard 29 CFR 1926.55. Air samples shall be analyzed via Atomic Absorption Spectrometry for the presence of lead at the CONTRACTOR's expense.

## **1.09 EMERGENCY PRECAUTIONS**

### **A. Emergency Procedures.**

The CONTRACTOR shall establish emergency procedures for fire, medical, electrical, etc.

### **B. Fire Precautions.**

The CONTRACTOR shall establish emergency and fire exits from all work areas for the workers and building occupants (Refer also to Occupant Protection Plan written by CONSULTANT). All emergency exits must be demarcated and properly sealed, yet operable, from inside containment. Fire extinguishers shall be maintained at each site.

### **C. Medical Emergency.**

The CONTRACTOR shall identify the local medical emergency facility and post the location and telephone number at each site. The Project Supervisor will be responsible for transportation to the emergency medical facility in the event an emergency occurs.

### **D. First Aid.**

The CONTRACTOR shall be prepared and equipped to administer first aid to injured personnel at the site of decontamination. The CONTRACTOR shall also be prepared to respond to serious injuries incurred inside the contained area. For these purposes, the CONTRACTOR shall have on site a written contingency plan specifying when and how to initiate protocol for notification of emergency response professionals. When an injury occurs, the CONTRACTOR shall stop all work and implement dust reduction techniques until the injured person has been removed from the work area. The CONTRACTOR shall also furnish a portable eye wash station.

### **E. Electrical Safety.**

Safe practices for use of electricity and electrical machinery and equipment will be observed at all times:

- (i) All electrical circuits used inside the lead-based paint hazard control area shall be ground fault protected.
- (ii) All extension cords shall be the 3-wire type. Splices shall have soldered wire connections with insulation equal to the cable. Worn or frayed cords shall not be permitted on the work site.
- (iii) Circuits supplying the work area shall be properly designed, fused, and demarcated.
- (iv) The Removal CONTRACTOR shall coordinate all power requirements including Ground Fault Interrupted (GFI) panel design and extension cord requirements, with the OWNER.

## **1.10 PREPARATION OF LEAD LEAD-BASED PAINT HAZARD REDUCTION DEMONSTRATION WORK AREAS**

### **A. Isolation Work Areas.**

The CONTRACTOR must isolate the location where lead-based paint hazard control work occurs to prevent unauthorized or accidental entry and to contain all dust and debris resulting from the work. The "Work Area" will depend on the specific work indicated within the Contract Documents. It may be a portion of a room, a single room, or a complex of rooms. A "Work Area" is considered contaminated during lead-based paint hazard control related work, and must be isolated from the balance of the

building, and decontaminated at the completion of the lead-based paint hazard control related work.

Prior to isolation of the work area, all vents, openings, electrical outlets, heaters, drains, furniture, fixtures, wall hangings, appliances, curtains, drapes, blinds, rugs and personal belongings must be removed or covered with 6-mil polyethylene sheeting in an airtight manner. If furniture is left behind, then it shall be pre-cleaned via a HEPA vacuum and sealed with a single layer of 6-mil poly and left in the work area. Wiring that is attached to a component that is being abated must be HEPA vacuumed. The CONTRACTOR will be responsible for the balance of the moving to create the most efficient work space.

The pre-cleaning of floors and other areas to be isolated shall be HEPA vacuumed to avoid holes in poly sheeting from debris and shall be performed prior to installation of poly on the floor. The CONTRACTOR shall clean floors again after containment is removed and before clearance dust wipes are taken to ensure wipe samples pass clearance, and to avoid re-cleaning by the CONTRACTOR. Note: If dust wipe samples fail clearance, re-cleaning and retesting will be performed until dust wipe samples pass clearance at the CONTRACTOR'S expense.

Preparation of Work area. Isolation shall include the sealing of all openings, doorways and corridors to the area. HEPA vacuum floors, window sills, window wells and other areas where dust may have been allowed to accumulate. Isolation additionally includes:

- (i) The CONTRACTOR shall provide written notification to the occupants at least five (5) days in advance of the proposed lead-based paint hazard control activities. This notice shall be accomplished either by posting 8.5 inch by 11 inch signs at all entrances into the residential dwelling or child occupied facility and adjacent common areas, or by individual letters or flyers delivered to all occupants or units. This notice must include the scheduled dates and work hours for lead-based paint hazard control activities, identification of work site(s), and information on any alternative entrances or exists to be used during lead-based paint hazard control activities. Note: The lead hazard warning signs posted by the DHS does not constitute fulfillment of this requirement.
- (ii) The CONTRACTOR shall post lead-based paint hazard control project warning signs at all entrances to the residential dwelling or child-occupied facility at least five (5) days prior to the start date of lead-based paint hazard control activities. This sign must be at least 8.5 by 11 inches and shall state the start and end dates of the lead-based paint hazard control project. These signs must not be removed until visual examinations have been performed and all clearance criteria has been met. Warning signs shall also comply with OSHA 29 CFR 1926 requirements.
- (iii) Erect barriers and seal all openings into the work area; protect and cover all fixed items; and erect Decontamination Facilities. Note: Nonporous impermeable vertical surfaces need not be covered with polyethylene sheeting (see clean-up section). HEPA vacuum and cover all porous wall surfaces that are not part of the work schedule, with 6 mil. polyethylene.
- (iv) Inform OWNER and PROGRAM ADMINISTRATOR that containment set-up is finished before starting any removal of lead paint contaminated materials.

**B. Emergency and fire exits shall be maintained on the exterior of the containment.**

**C. Decontamination Air Lock.**

Construct a solid frame airlock consisting of a dirty area, wash area, and clean area. The frame will be rectangular and covered on all sides with 6 mil. polyethylene sheeting. All seams in the polyethylene covering will be sealed with duct tape. Construct a standard triple layer polyethylene sheeting egress with narrow opening slits cut into the polyethylene at two ends with flaps to prevent any lead dust migration. The system must allow air to enter the workspace from the clean side of the airlock, and prevent air moving from within the work zone to escape containment.

**D. Entering and Exiting the Work Area.**

When entering the airlock, all employees and visitors will wear a set of protective clothing and a respirator. Only one person is to pass through the airlock at a time making sure that flaps are securely in place.

When exiting the work area, decontamination shall consist of: 1) cleaning all tools (at end of shift); 2) HEPA vacuum all protective clothing by rolling inward (do not remove respirator yet); remove work shoes and put in plastic bag; 4) enter shower or wash area; 5) remove respirator after washing hands; 6) take a shower if available, using plenty of soap and water; wash hair, hands, fingernails, and face thoroughly; and 7) enter clean room and don street clothing.

## 1.11 ERECTION OF SCAFFOLDING

- A. All scaffolding and ladder equipment must be inspected to see that it is in good condition and is serviceable. Damaged equipment will not be permitted on the job site.
- B. Scaffolding must be designed to comply with all local, State and Federal safety requirements.
- C. Guard rails and toe rails must be used on all open sides and ends of scaffold platforms. Both top and mid-rails are required.

## 1.12 LEAD REMOVAL UNDER CONTAINMENT

### A. Security.

Security procedures will be observed as follows:

- (i) All lead-based paint hazard control activities and areas shall be properly secured. Security includes proper containment barriers, proper demarcation, and restricted access to disposal containers.
- (ii) Secure against non-authorized entry during regular work hours and non-work hours. All doors and windows must be locked after work hours and doors secured with padlocks. CONTRACTOR is responsible for occupant's belongings that are left within the work area.

### B. Interior Lead-Based Paint Hazard Control.

Interior lead-based paint hazard control activities will be performed according to all rules and regulations including, but not limited to the following:

- (i) Isolate the Work Area. Two layers of 6-mil poly or its equivalent shall be used on the entire floor. If the entire unit is being treated, cleaned, and cleared, individual room doorways need not be sealed. If only a few rooms are being treated, seal all doorways with two layers of 6-mil poly or its equivalent with airlock flap on all doorways. Doors secured from inside the work area need not be sealed. Doors to occupied units located in hallways must be sealed with two layers of 6-mil poly or its equivalent during work, cleaning, and clearance.
- (ii) Ventilation. Building ventilation system shall be turned off, all vents in room sealed with one layer of 6-mil poly or its equivalent. Negative pressure zones (with "negative air" machines) are not required, unless large supplies of fresh air must be admitted into the work area to control exposure to other hazardous substances (e.g. solvent vapors).
- (iii) Window Preparation (from inside). Two layers of 6-mil poly or its equivalent shall be taped to the exterior wall. The tape or other anchoring system shall be secured so that there are no gaps between the 6-mil poly (or its equivalent) and the building.
- (iv) Lead-Based Paint Hazard Control Method. Lead-based paint hazard control shall permanently eliminate, enclose, or encapsulate any lead-based paint and lead hazards in accordance with this specification and the DEP's Lead Management Regulations.
- (v) Window Cleaning (from inside). HEPA vacuum, wet clean, HEPA vacuum entire window area, including poly (floor included with overall cleaning). If the containment (poly) is breached, then cleaning shall be performed on both the interior and exterior immediately.
- (vi) Debris Removal from Work Area. All debris shall be wrapped in a protective covering with all seams taped or placed in closed durable containers resistant to puncture. The debris shall then be removed from the proposed work area and stored in a secure location until removal.
- (vii) Daily Clean-up. Daily cleanup shall occur at the end of each workday after all lead-based paint hazard control activities have ceased in units (common areas, exterior) where occupants return daily. Daily cleanup is not required in vacant units or if all lead-based paint hazard control activities are completed by the end of the first workday.
- (viii) Interim Clean-up. Interim cleanup shall be performed whenever another contractor will perform a non-lead-based paint hazard control activity in a work area where lead-based paint hazard control activities have been conducted but before the final cleanup, visual evaluation, and final clearances have been conducted. Interim cleanup shall begin no sooner than one hour after active lead-based paint hazard control activities have ceased.



- (ix) Final Cleanup. Final cleanup shall be performed in the work area and any surrounding areas where lead-contaminated dust or debris may be present. Final cleanup shall begin no sooner than one hour after active lead-based paint hazard control activities have ceased.

### **C. Exterior Lead-Based Paint Hazard Control.**

Exterior lead-based paint hazard control activities will be performed according to all rules and regulations including, but not limited to, the following:

- (i) Isolate work area. Isolate work area from common area using temporary fencing (utilizing barrier tape, poly sheeting, tarps, etc.). The temporary fencing and barrier tape shall be erected at a 20-foot perimeter around working surfaces (or less if distance to next building or sidewalk is less than 20 feet). If an entryway is within 10 feet of working surfaces, require use of alternative entryway. Once work commences, access to lead-based paint hazard control areas shall be strictly limited to the CONTRACTOR, PROGRAM ADMINISTRATOR, or MaineHousing, and authorized visitors.
- (ii) Groundcover. One layer of 6-mil polyethylene (plastic) sheeting or its equivalent shall be laid on ground and over bushes and must extend to at least ten (10) feet from beyond the perimeter of the working surface. Do not anchor ladder feet on top of plastic (puncture plastic to anchor ladders securely to the ground). Cover or protect plastic with boards to prevent puncture from falling debris, nails, etc, if necessary. Raise edges of plastic to create a basin to prevent contaminated run-off in the event of unexpected precipitation. Secure plastic to side of building with tape or other anchoring system (no gaps between plastic and building). Weigh all plastic sheets down.
- (iii) Seal openings. Doors and windows on the same side of the building which lead-based paint hazard control will occur shall be covered with poly sheeting and secured in an air-tight manner to the side of the building. Keep windows of an adjacent structure which are within 20 feet of working surfaces closed.
- (iv) Window Preparation (from outside). Besides the ground cover outlined above, two layers of 6-mil poly or its equivalent shall be taped to the interior wall. All other preparation and security measures outlined in this section apply.
- (v) Warning Signs. Post warning signs on the building and at a 20-foot perimeter around the building (or less if distance to next building or sidewalk is less than 20 feet).
- (vi) Playground Equipment, Toys, Sandbox. Remove all movable items to a 20-foot distance from working surfaces. Items that cannot be readily moved to a 20-foot distance shall be sealed with taped 6-mil poly or its equivalent.
- (vii) Weather conditions. The CONTRACTOR shall not conduct exterior work if wind speeds are greater than 20 miles per hour. The wind speed determination shall be pre-determined between the OWNER, PROGRAM ADMINISTRATOR, and the CONTRACTOR prior to start of exterior lead-based paint hazard control (ie Channel 13, 8, 6 weather report). Work must stop and cleanup must occur before rain begins. Take all measures necessary to ensure that paint chips and debris are prevented from migrating beyond the protective ground cover.
- (viii) Lead-Based Paint Hazard Control Method. Lead-based paint hazard control method shall permanently eliminate, enclose, or encapsulate any lead-based paint and lead hazards in accordance with this specification and the DEP's Lead Management Regulations.
- (ix) Scaffolding properly covered with poly sheeting may be erected to contain dust if the side of the building under lead-based paint hazard control is within ten (10) feet of any neighboring building or abutting property line.
- (x) Cleaning. Upon completion of lead-based paint hazard control use a HEPA vacuum and TSP solution to clean all surfaces affected by the removal of lead based paint, including areas not covered with polyethylene sheeting. Any lead contaminated debris that is found shall be either HEPA vacuumed or wrapped, secured, and stored until removal. The protective sheeting shall be HEPA vacuumed at the end of each work day, rolled inward upon itself for reuse the following day, or secured, and stored until removal. The CONTRACTOR shall start from the bottom and carefully roll up polyethylene sheeting from the edge toward the center, ensure that lead contaminated debris does not fall on the ground and that dust is not generated.
- (xi) Visual Examination and Clearance Testing. A visual examination of the work area for lead-contaminated debris as well as for work completion shall be performed before dust and soil samples (if required) are collected.

## 1.13 LEAD WASTE DISPOSAL PROCEDURES

### A. State of Maine.

The CONTRACTOR shall ensure that all lead-containing waste material shall be removed from the site not later than one (1) week after completion of cleanup and prior to final clearance. The lead-based paint hazard control CONTRACTOR and the contractor removing the lead-containing waste material shall comply with all solid and hazardous waste regulations of the Maine Department of Environmental Protection, the U.S. Department of Transportation, and HUD. All generators must retain documentation to substantiate each waste determination, waste transporter used, and final waste disposal location.

- (i) **Waste Determination.** The CONTRACTOR must comply with the requirements of the State of Maine Hazardous Waste Management Rules (06-096 CMR 850 et seq. effective March, 1994) in determining whether the different lead-contaminated waste streams generated by a lead-based paint hazard control activity are hazardous or non-hazardous (refer to DEP's Lead Management Regulations, Section 6E (4)). Note: Based on EPA studies, filtered personal wash water and mop water, disposable personal protective clothing that has been misted and cleaned before disposal, and carpeting are generally non-hazardous. Architectural components such as doors, trim, windows, railings, moldings, etc. will not pose a lead hazard if properly containerized, transported, and disposed of in a secure landfill or a State permitted construction/demolition debris landfill. Paint strippings, lead paint chips and dust, and HEPA vacuum debris and filters are likely to fail TCLP. This information may in part be used to substantiate each waste determination.
- (ii) **Handling, Storage, Transportation, and Disposal of Non-Hazardous Solid Wastes.** Prior to removing non-hazardous solid wastes from the work area, the wastes must be wrapped in 6-mil polyethylene plastic or its equivalent and all seams must be taped shut. Wastes must be stored in a designated and secure area. If the storage area is outside, 6-mil poly or its equivalent must be placed underneath and on top of the wastes to prevent soil contamination. Wastes must be transported in covered vehicles by non-hazardous waste transporters licensed in accordance with the Non-Hazardous Waste Transporters License Rule (06-096 CMR 411, effective February 13, 1991). All lead-contaminated non-hazardous solid waste must be disposed of in a licensed solid waste landfill in accordance with the requirements of the State of Maine Solid Waste Management Rules (06-096 CMR 400 et seq., effective May 24, 1989).
- (iii) **Handling, Storage, Transportation, and Disposal of Hazardous Wastes.** All hazardous wastes must be handled, stored, transported, and disposed of in accordance with the State of Maine Hazardous Waste Management Rules (06-096 CMR 850 et seq., effective March, 1994).

### B HUD.

All HUD defined Category I and Category II lead abatement wastes shall be considered as construction debris and shall be disposed in a Maine DEP licensed solid waste facility. Wastes generated and stored on the Project site from chemical stripping and or scraping of paint on large surface areas shall be tested by the CONSULTANT via TCLP analysis for waste characterization. Category I wastes include HEPA vacuumed disposable personal protective clothing, TSP washed and HEPA vacuumed plastic sheeting, carpeting, and other nonhazardous wastes. Category II wastes include doors and door trim, windows and window trim, baseboards, soffits, facia, columns, railings, moldings, radiators, walls, stone, and brick. Refer to HUD Guidelines dated June, 1995 pages 10-9 to 10-13 for more detailed descriptions. Category I and II wastes shall not be analyzed via TCLP analysis by the CONSULTANT.

The following materials must be treated as hazardous waste:

- (i) HUD defined Category III and Category IV waste that, through TCLP testing, is classified as hazardous waste according to 40 CFR Part 261, Appendix II to Part 261 - Method 1311 Toxicity Characteristic Leaching Procedure (TCLP). Category III wastes include sludge from paint stripping, lead-based paint chips and dust that have been removed from a HEPA vacuum, HEPA vacuum debris and filters that have been removed from the vacuum, unfiltered wash water and any waste included on the EPA's list of hazardous wastes. Category IV wastes are defined as material that cannot be determined; using knowledge of the waste, to be either hazardous or nonhazardous must be tested using TCLP.

**C. Identification and Handling of Waste.**

- (i) The proper and legal packaging, labeling, handling, transport, and permanent (secure) disposal of lead waste is of critical importance.
- (ii) The process must be thoroughly and carefully planned, performed, inspected, and fully documented in every instance where hazardous waste is present.
- (iii) To reduce disposal costs, CONTRACTOR should carefully separate potentially hazardous and non-hazardous waste.
- (iv) All dust and chips that have been removed from a HEPA vacuum and caustic paste residue have a high probability of qualifying as hazardous waste. If a HEPA vacuum is cleaned of its contents on the Project site and/or caustic paste residue is generated on the Project site, these wastes shall be put directly into a separate drum labeled as hazardous waste.
- (iv) The PROGRAM ADMINISTRATOR will arrange for TCLP composite sample testing to be completed by the State of Maine Health and Environmental Testing Laboratory (the "Laboratory").
- (vi) PROGRAM ADMINISTRATOR must notify the OWNER when TCLP samples are complete and must be informed of the name of the lab processing tests.
- (vii) Results generated by the Laboratory must be forwarded in writing to OWNER/PROGRAM ADMINISTRATOR as soon as they are received.

**D. Coordination of Waste Disposal.**

Time Allotment. The CONTRACTOR shall ensure that all lead-containing waste material shall be removed from the site not later than one (1) week after completion of cleanup and prior to final clearance.

- (i) The CONTRACTOR will be responsible for handling, packaging and preparing the waste that is generated by the lead-based paint hazard control operation.
- (ii) The CONTRACTOR shall pay for all waste disposal and coordinate transportation arrangements with the disposal company. Hazardous waste expenses that are incurred by the CONTRACTOR for lead-based paint hazard control work performed at the Project site shall be billed at cost. In order to receive payment for hazardous waste expenses, CONTRACTOR shall submit the invoice from the hazardous waste transportation and disposal company that states the company's name, address, phone number, and cost of transportation and disposal. Failure to provide such an invoice may result in nonpayment.
- (iii) It is the CONTRACTOR's responsibility to understand *all* current waste handling, packaging, transportation, and disposal regulations for the work site and for the waste disposal facilities and assure full compliance with all U.S. DOT, EPA and Maine DEP regulations and requirements, including the Resource Conservation and Recovery Act (RCRA).

**E. Disposal Manifests.**

- (i) The Waste Disposal Contractor must document actual disposal of the waste at the designated landfill by completing a written Disposal Certificate (U.S. EPA Waste Shipment Record if hazardous), signed by the approved landfill operator, and forwarding the original to the CONTRACTOR, who must supply it to the OWNER/PROGRAM ADMINISTRATOR.
- (ii) Copies of all hazardous waste manifest, trip tickets and receipts must be forwarded to OWNER/PROGRAM ADMINISTRATOR.
- (iii) Approval of the CONTRACTOR's payment requests may be denied until OWNER or OWNER's Representative is in receipt of Waste Disposal Certificates.

**F. Labeling.**

Waste labeling shall conform to OSHA, EPA, and DOT.

**G. Disposal of Non-Hazardous Contaminated Solid Waste.**

The CONTRACTOR shall comply with State of Maine Solid Waste Management Rules (Refer to Section 1.13 A (ii) of this specification).

## 1.14 CLEAN-UP PROCEDURES FOR LEAD LEAD-BASED PAINT HAZARD CONTROL PROJECTS

### A. Daily Clean-Up.

Applicability. Daily cleanup shall be performed at the end of each workday after all lead-based paint hazard control activities have ceased where exterior lead-based paint hazard control activities have occurred. Daily cleanup is not required in vacant units or if all lead-based paint hazard control activities are completed by the end of the first workday (see final cleanup). All surfaces in all containment areas shall be included in daily cleanup. The following shall be completed:

- (i) Debris shall be wrapped in a protective covering with all seams taped or placed in closed durable containers resistant to puncture.
- (ii) Workers shall use cleaning practices that minimize the generation of airborne dust, such as misting dust and debris with water prior to cleaning. A process of cleaning that involves HEPA vacuuming, wet cleaning with a lead-specific detergent or equivalent, and then HEPA vacuuming again shall be used to remove lead-contaminated dust.
- (iii) The containment area's protective coverings shall be examined and any defects immediately repaired.
- (iv) The protective sheeting used for exterior lead-based paint hazard control activities shall be examined daily for lead-contaminated debris which, if present, shall be either HEPA vacuumed or wrapped, secured, and stored until removal. The protective sheeting shall be HEPA vacuumed at the end of each work day, rolled inward upon itself for reuse the following day, or secured, and stored until removal.

### B. Interim Cleaning, Visual Evaluation, and Interim Clearance.

Applicability. Interim cleanup, visual evaluation, and interim clearances shall be performed whenever another contractor will perform a non-lead-based paint hazard control activity in work area(s) where lead-based paint hazard control activities have been conducted but before final cleanup, visual evaluation, and final clearances have been conducted. Interim cleanup, visual evaluation, and interim clearance sampling may be limited to the work areas, required egresses to that work area, and the decontamination facility where that non-lead-based paint hazard control activity will occur. All other rooms/areas shall be isolated from those work areas by a physical barrier or a layer of 6-mil poly. Lead-Based Paint Hazard Control Project Warning Signs shall be placed on all entries to any areas that have not met interim clearance requirements.

Interim cleanup shall begin no sooner than one hour after active lead-based paint hazard control activities have ceased.

- (i) Debris shall be wrapped in a protective covering with all seams taped or placed in closed durable containers resistant to puncture. The debris shall then be removed from the proposed work area and stored in a secure location until removal.
- (ii) Cleaning shall start at the room/area furthest from the decontamination facility and proceed to and include the decontamination facility itself. Cleaning in each room/area shall include a complete HEPA vacuuming, wet cleaning, and HEPA vacuuming of all walls, ceilings, building components, protective coverings within the barrier system, the barrier system of the work area proposed for non lead-based paint hazard control activities, and the decontamination facility. Cleaning shall start at the ceiling (and associated fixtures), proceed down the walls, and to the floor.
- (iii) Repeat cleaning steps above until there is no visible debris adhering to substrates or residue on polyethylene sheeting or other surfaces.
- (iv) After cleaning is complete, either remove the barrier system from the proposed work area(s) or limit its removal to those specific components in order to perform the non-lead work activities as applicable. The decontamination facility may be either left in place or removed from the work area for the duration of the non- lead-based paint hazard control activity. An on-site decontamination facility must be in place and used by the lead-based paint hazard control contractor during final cleanup activities (Note: the decontamination facility must remain in place until the results of interim clearance sampling have been received).
- (v) Program Administrator Notification. The CONTRACTOR shall give the PROGRAM ADMINISTRATOR a minimum forty eight (48) hour notice to perform visual inspection and dust wipe clearance testing. If CONTRACTOR does not provide a 48 hour notice to PROGRAM

ADMINISTRATOR, the PROGRAM ADMINISTRATOR will not be obligated to collect dust wipes at the time established by the CONTRACTOR. Failure of the CONTRACTOR to give the required 48 hour notice shall not be an acceptable excuse to avoid liquidated damages as specified herein.

- (vi) Interim Visual Evaluations. The work area(s) shall be inspected for visual evidence of dust, debris from any sources, residue, and/or any other matter. If dust, debris from any sources, residue, and/or any other matter is found, then the work area(s) shall be determined to fail the visual and the CONTRACTOR is responsible for re-cleaning these area(s). CONTRACTOR must provide ladders, scaffolding, and lifts as required to provide access to all surfaces in the area(s) being subjected to a visual inspection.
- (vii) Interim Clearances. A minimum of two (2) dust wipe samples from every treated room shall be taken by the PROGRAM ADMINISTRATOR and submitted to the Laboratory for analysis. A field blank sample shall also be submitted with each set of samples as required by regulations for inspectors. Sample locations will be at the discretion of the PROGRAM ADMINISTRATOR but should not be directed in those areas where non-lead-based paint hazard control activity will occur. Clearance levels must be below the concentrations as outlined in Section 1.15.
- (viii) Completion of Non Lead-Based Paint Hazard Control Activities. After the completion of non-lead activities, the entire work area shall be subject to the final cleanup, visual evaluation, and clearance sampling requirements. The decontamination facility must be re-established prior to the start of final cleanup.

### **C. Final Clean-Up, Visual Examination, and Final Clearance.**

Applicability. The work area and any surrounding areas where lead contaminated dust or debris may be present, including window troughs, shall be cleaned prior to performing a visual examination and clearance sampling. All final cleaning shall be performed by the lead-based paint hazard control CONTRACTOR.

An on-site decontamination facility must be in place and used by the CONTRACTOR during final clean-up activities. The decontamination facility shall remain in place until the work area meets the final clearance standards set forth in Section 1.15 herein.

Final cleanup shall begin no sooner than one hour after active lead-based paint hazard control activities have ceased.

The required practices for final cleanup are as follows:

- (i) Debris shall be wrapped in a protective covering with all seams taped or placed in closed durable containers resistant to puncture. The debris shall then be removed from the work area and stored in a secured location until removal.
- (ii) Dust and debris shall be removed in a manner which effectively avoids contamination of the property.
- (iii) Cleaning shall start at the room/area furthest from the decontamination facility and proceed to and include the decontamination facility itself. Cleaning in each room/area shall include HEPA vacuuming, wet-cleaning (as previously described), and HEPA vacuuming of all walls, ceilings, building components, protective coverings within the barrier system, the barrier system, and the decontamination facility. Cleaning shall start at the ceiling (and associated fixtures), proceed down the walls, and to the floor.
- (iv) Protective coverings used to contain or collect dust and debris within the work area shall be removed in a manner that prevents the dispersion of lead-contaminated dust and debris.
- (v) Exterior areas affected by lead-based paint hazard control activities shall be visually examined for lead contaminated debris. All such debris shall be wrapped, secured, and stored until removal (Note: dust wipe samples for clearance will also be taken on the exterior).
- (vi) Program Administrator Notification. The CONTRACTOR shall give the PROGRAM ADMINISTRATOR a minimum forty eight (48) hour notice to perform visual inspection and dust wipe clearance testing. If Contractor fails to provide a 48 hour notice to PROGRAM ADMINISTRATOR, the PROGRAM ADMINISTRATOR will not be obligated to collect dust wipes at the time established by the CONTRACTOR. Failure of the CONTRACTOR to give the required 48 hour notice shall not be an acceptable excuse to avoid liquidated damages as specified herein.
- (vii) Visual Evaluation. The work area(s) shall be inspected for visual evidence of dust, debris from any sources, residue, and/or any other matter. If dust, debris from any sources, residue, and/or

any other matter (including storage of waste) is found, then the work area(s) shall be determined to fail the visual and the CONTRACTOR is responsible for re-cleaning these area(s). CONTRACTOR must provide ladders, scaffolding, and lifts as required to provide access to all surfaces in the area(s) being subjected to a visual inspection.

- (viii) Final Clearances. A minimum of two (2) dust wipe samples from every treated or untreated room on the interior of the building, including common areas, shall be taken by the PROGRAM ADMINISTRATOR and submitted to the Laboratory for analysis. A minimum of two (2) dust wipe samples on the exterior of the building shall be taken if exterior lead-based paint hazard control and/or soil lead-based paint hazard control was performed. A field blank sample shall also be submitted with each set of samples as required by DEP. Sample locations will alternate between floor and sill and floor and window trough as indicated in Table 4 - Minimum Number and Location of Clearance Dust Samples for All Abatement and Interim Control Work, page 33 of the DEP's Lead Management Regulations. Clearance levels must be *below* the concentrations as outlined in Section 1.15 (Note: the decontamination facility shall remain in place until all clearance samples are below the required concentrations).

Clearance soil sampling shall also be performed if soil lead-based paint hazard control activities involving mixing or replacing soil (in accordance with DEP regulations) have been performed. Results of sampling must be below concentrations outlined in Section 1.15.

Once all clearance samples have passed, the decontamination facility as well as the remaining barrier systems which separated the work area from non-work areas shall be removed, and all warning signs shall be removed.

**D. Re-Occupancy Letter.**

After the visual inspection and dust wipe sampling analytical results have indicated that the area is safe for families to return, the PROGRAM ADMINISTRATOR will issue a Re-Occupancy Letter. This will allow the occupants to return to their units.

**E. Letter of Lead-Based Paint Hazard Control Compliance.**

Upon completion of all interior and exterior lead-based paint hazard control activities the PROGRAM ADMINISTRATOR will issue a Letter of Lead-Based Paint Hazard Control Compliance that states that the exterior of the building as well as common areas leading to the apartment have been rendered safe for re-occupancy. No payment will be made until the PROGRAM ADMINISTRATOR has declared a unit to be "safe for re-occupancy".

**1.15 CLEARNACE SAMPLING AND STANDARDS**

**A. Dust Wipe Clearance Standards.**

Dust samples from residential dwellings shall be collected by the PROGRAM ADMINISTRATOR in accordance with DEP's Lead Management Regulations and HUD Guidelines.

- (i) Dust sampling shall begin no sooner than one hour after the completion of final cleanup and only after the work area passes the visual evaluation.
- (ii) Dust sampling requirements. The PROGRAM ADMINISTRATOR shall take at least the minimum number of clearance dust samples at locations in accordance with DEP's Table 4: Minimum Number and Location of Clearance Dust Samples for All Abatement and Interim Control Work. The PROGRAM ADMINISTRATOR may elect to collect and analyze more than the minimum number of samples in order to ascertain that all clearance standards are met.
- (iii) Dust sampling is also required on the exterior if lead lead-based paint hazard control activities have been performed on the components and/or the soil. The location and number of samples to be taken is included in the DEP's Table 4 referenced above.
- (iv) The lead concentrations in dust samples must fall below the following levels (expressed in micrograms of lead per square foot) to achieve clearance:

Hard Floors/Carpeted Floors	0 ug/ft <sup>2</sup>
Window Sills	100 ug/ft <sup>2</sup>
Window Wells (troughs)	100 ug/ft <sup>2</sup>

IT IS THE LEAD LEAD-BASED PAINT HAZARD CONTROL CONTRACTORS' RESPONSIBILITY TO ACHIEVE THE DUST WIPE CLEARANCE CRITERIA INDICATED ABOVE. IF LEAD LEVELS ARE FOUND TO EXCEED THESE CRITERIA, AT ONE OR MORE SAMPLING LOCATIONS, THE LEAD LEAD-BASED PAINT HAZARD CONTROL CONTRACTOR WILL BE REQUIRED TO RE-CLEAN THE AREAS AND THE PROGRAM ADMINISTRATOR WILL BE REQUIRED TO RE-TEST THESE AREAS UNTIL THEY PASS THE CLEARANCE CRITERIA. ALL DIRECT AND INDIRECT COSTS TO THE OWNER WILL BE PAID BY THE LEAD LEAD-BASED PAINT HAZARD CONTROL CONTRACTOR INCLUDING REINSPECTION AND LABORATORY FEES. THESE COSTS AND FEES MAY BE DEDUCTED FROM THE CONTRACT PRICE.

**B. Soil Clearances and Standards.**

Clearance soil samples shall be taken by the CONSULTANT if soil lead-based paint hazard control activities involving mixing or replacing soil have been performed (if covering has been performed, no clearance soil samples are necessary). Soil samples shall be collected in accordance with the DEP's Lead Management Regulations and HUD Guidelines.

- (i) Soil testing shall not begin until property passes the visual examination.
- (ii) All soil samples shall be composite samples of bare soil only.
- (iii) Soil sampling requirements. One composite sample shall be collected around the perimeter of the building (which are not play areas). If only selected faces of the building were treated, the subsamples must come from those faces. A second composite sample shall be collected from bare soil only in play areas, if any.
- (iv) Clearance standards. The test results for bare soil samples must fall below the following levels (expressed in parts per million) to achieve clearance:

Bare Soil - Play Area	375 PPM
Bare Soil - Building Perimeter	1,000 PPM
Bare Soil - Other than Play Area	1,000 PPM
- (v) If the levels of the clearance samples exceed those listed in (iv) above, the CONTRACTOR will be responsible for additional lead-based paint hazard control of the soil. The CONSULTANT shall perform visual examinations and clearance testing until the levels fall below the standards. The CONTRACTOR will be responsible for all costs associated with additional lead-based paint hazard control of the soil caused by its failure to achieve clearance. These costs will include the CONSULTANT time and travel expenses for the visual examination and clearance testing, and all samples submitted to the Laboratory for analysis.

**1.16 REPORTING REQUIREMENTS**

**A. Lead-Based Paint Hazard Control Report.**

The CONTRACTOR is responsible for providing a lead-based paint hazard control report for the unit/areas worked on at a specific location within 30 days of project completion. Upon request, the CONTRACTOR shall submit all the required information to the OWNER, the PROGRAM ADMINISTRATOR the CONSULTANT, and/or the Maine DEP. All documentation from the project shall be maintained by the CONTRACTOR for a minimum period of ten years (refer to DEP's Lead Management Regulations, 6G & 6H).

**B. Letter of Lead-Based Paint Hazard Control Compliance**

Upon completion of all interior and exterior lead-based paint hazard control activities, the PROGRAM ADMINISTRATOR will issue a Letter of Lead-Based Paint Hazard Control Compliance that states that the exterior of the building, common areas leading to the apartment(s), and the unit(s) have been worked on according to HUD Guidelines and the Maine DEP Lead Management Regulations.

EXHIBIT B

**GENERAL CONDITIONS FOR LEAD HAZARD REDUCTION DEMONSTRATION PROGRAM  
CONSTRUCTION CONTRACT**

The Maine State Housing Authority Lead-Based Paint Hazard Reduction Demonstration Program Construction Contract (the "Contract") is subject to the following special conditions.

**1. DEFINITIONS.**

Except to the extent modified or supplemented by this Contract or by the Agreement, any term defined in Title I of the Housing and Community Development Act of 1974 or the HUD Community Development Block Grant Regulations of 24 CFR Part 570, shall have the same meaning when used herein.

- a. "Agreement" means the Lead Based Hazard Reduction Demonstration Grant Agreement between the Maine State Housing Authority and the United States Department of Housing and Urban Development with any amendments or supplements thereto;
- b. "GRANTEE" means the Maine State Housing Authority;
- c. "Program" means the Maine State Housing Authority Lead-Based Paint Hazard Reduction Demonstration Program for which assistance is being provided under the Agreement; and
- d. "Department" means the United States Department of Housing and Urban Development.

**2. "SECTION 3" COMPLIANCE IN THE PROVISION OF TRAINING, EMPLOYMENT AND BUSINESS OPPORTUNITIES.**

This Contract is subject to the requirements of Section 3 of the Housing and Urban Development Act of 1968 (12 USC 1701u), as amended, the HUD regulations issued pursuant thereto at 24 CFR Part 135, and any applicable rules and orders of HUD issued thereunder prior to the HUD authorization of the Funding Approval.

**3. FLOOD DISASTER PROTECTION.**

This Contract is subject to the requirements of the Flood Disaster Protection Act of 1973 (P.L. 93-234). No portion of the assistance provided under the Agreement is approved for acquisition or construction purposes as defined under Section 3(a) of said Act, for use in an area identified by the Secretary as having special flood hazards which is located in a community not then in compliance with the requirements for participation in the national flood insurance program pursuant to Section 201(d) of said Act; and the use of any assistance provided under the Agreement for such acquisition or construction in such identified areas in communities then participating in the national flood insurance program shall be subject to the mandatory purchase of flood insurance requirements of Section 102(a) of said Act.

Any contract or agreement for the sale, lease, or other transfer of land acquired, cleared or improved with assistance provided under the Agreement shall contain, if such land is located in an area identified by the Secretary as having special flood hazards and in which the sale of flood insurance has been made available under the National Flood Insurance Act of 1968, as amended, 42 U.S.C. 4001, et seq., provisions obligating the transferee and its successors or assigns to obtain and maintain, during the ownership of such land such flood insurance as required with respect to financial assistance for acquisition or construction purposes under Section 102(a) of the Flood Disaster Protection Act of 1973. Such provisions shall be required notwithstanding the fact that the construction on such land is not itself funded with assistance provided under this Agreement.

**4. EQUAL EMPLOYMENT OPPORTUNITY.**

- (a) Activities and contracts not subject to Executive Order 11246, as amended. In carrying out the work, CONTRACTOR shall not discriminate against any employee or applicant for employment because of race, color, religion, sex or national origin. CONTRACTOR shall take affirmative action to ensure that applicants for employment are employed, and that employees are treated during employment without regard to their race, color, religion, sex, or national origin. Such action shall include, but not be limited to, the following: employment, upgrading, demotion or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. CONTRACTOR shall post in conspicuous places, available to employees and applicants for employment, notices to be provided by the Government setting forth the provisions of this nondiscrimination clause. CONTRACTOR shall state that all qualified applicants will receive consideration for employment



without regard to race, color, religion, sex, or national origin. CONTRACTOR shall incorporate the foregoing requirements of this paragraph (a) in all of its contracts for the work, except contracts governed by paragraph (b) of this section, and will require all of its contractors for such work to incorporate such requirements in all subcontracts for the work.

- (b) Contracts subject to Executive Order 11246 as amended. Such Contracts shall be subject to HUD Equal Opportunity regulations at 24 CFR Part 130 applicable to HUD assisted construction contracts.

CONTRACTOR shall cause or require to be inserted in full in any nonexempt contract and subcontract for construction work, or modification thereof, as defined in said regulations, which is paid for in whole or in part with assistance provided under the Agreement, the following equal opportunity clause.

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

- (i) The CONTRACTOR will not discriminate against any employee or applicant for employment because of race, color, religion, sex, or national origin. The CONTRACTOR will take affirmative action to ensure that applicants are employed, and that employees are treated during employment without regard to their race, color, religion, sex, or national origin. Such action shall include, but not be limited to, the following: Employment, upgrading, demotion or transfer, recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. The CONTRACTOR agrees to post in conspicuous places available to employees and applicants for employment, notices to be provided by the contracting officer setting forth the provisions of this nondiscrimination clause.
- (ii) The CONTRACTOR will, in all solicitations or advertisements for employees placed by or on behalf of the CONTRACTOR, state that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex, or national origin.
- (iii) The CONTRACTOR will send to each labor union or representative of workers with which he has a collective bargaining agreement or other contract or understanding, a notice to be provided by the Contract Compliance Officer advising the said labor union or workers' representatives of the CONTRACTOR's commitment under this section and shall post copies of the notice in conspicuous places available to employees and applicants for employment.
- (iv) The CONTRACTOR will comply with all provisions of Executive Order 11246 of September 24, 1965, and of the rules, regulations, and relevant orders of the Secretary of Labor.
- (v) The CONTRACTOR will furnish all information and reports required by Executive Order 11246 of September 24, 1965, and by the rules, regulations, and orders of the Secretary of Labor, or pursuant thereto, and will permit access to his books, records, and accounts by the Department and the Secretary of Labor for purposes of investigation to ascertain compliance with such rules, regulations, and orders.
- (vi) In the event of the CONTRACTOR's noncompliance with the non-discrimination clauses of this contract or with any of such rules, regulations, or orders, this contract may be cancelled, terminated or suspended in whole or in part and the CONTRACTOR may be declared ineligible for further Government contracts or federally assisted construction contract procedures authorized in Executive Order 11246 of September 24, 1965, or by rule, regulation or order of the Secretary of Labor, or as otherwise provided by law.
- (vii) The CONTRACTOR will include the portion of the sentence immediately preceding paragraph and the provision of paragraphs 1 through 7 in every subcontract or purchase order unless exempted by rules, regulations, or orders of the Secretary of Labor issued pursuant to section 204 of Executive Order 11246 of September 24, 1965 so that such provisions will be binding upon each subcontractor or vendor. The CONTRACTOR will take such action with respect to any subcontract or purchase order as the Department may direct as a means of enforcing such provisions, including sanctions for noncompliance; provided, however, that in the event a CONTRACTOR becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the Department, the CONTRACTOR may request the United States to enter

into such litigation to protect the interest of the United States."

CONTRACTOR further agrees that it will be bound by the above equal opportunity clause with respect to its own employment practices when it participates in federally assisted construction work.

CONTRACTOR agrees that it will assist and cooperate actively with the Department and the Secretary of Labor in obtaining the compliance of contractors and subcontractors with the equal opportunity clause and the rules, regulations and relevant orders of the Secretary of Labor; that it will furnish the Department and the Secretary of Labor such information as they may require for the supervision of such compliance; and that it will otherwise assist in the Department in the discharge of its primary responsibility for securing compliance.

CONTRACTOR further agrees that it will refrain from entering into any contract or contract modification subject to Executive Order 11246 of September 24, 1965, with a contractor debarred from, or what has not demonstrated eligibility for, Government contracts and federally assisted construction contracts pursuant to the executive order and will carry out such sanctions and penalties for violation of the equal opportunity clause as may be imposed upon contractors and subcontractors by the Department or the Secretary of Labor pursuant to Part II, subpart D of the executive order. In addition, the GRANTEE, OWNER and CONTRACTOR agree that if any of them fail or refuse to comply with these undertakings, the Department may take any or all of the following actions: Cancel, terminate or suspend, in whole or in part, the grant or loan, refrain from extending any further assistance to the GRANTEE, OWNER and CONTRACTOR under the program with respect to which the failure or refusal occurred until satisfactory assurances of future compliance has been received from GRANTEE, OWNER or CONTRACTOR; and refer the case to the Department of Justice for appropriate legal proceedings.

#### **5. LEAD BASED PAINT HAZARDS.**

The carrying out of the lead hazard reduction work described herein is subject to:

- (a) HUD lead-based paint regulations, 24 CFR Part 35;
- (b) Residential Lead Based Reduction Act of 1992 (Pub.L. 102-550, Title X, Oct. 28, 1992);
- (c) Maine Department of Environmental Protection Lead Management Regulations (Chapter 424); and
- (d) HUD Guidelines for The Evaluation and Control of Lead-Based Paint Hazards in Housing (June 1995; 1997 Revision).

#### **6. COMPLIANCE WITH AIR AND WATER ACTS.**

The Contract is subject to the requirements of the Clean Air Act, as amended, 42 USC 1857, et seq., the Federal Water Pollution Control Act, as amended, 33 USC 1251, et seq. and the regulations of the Environmental Protection Agency with respect thereto, at 40 CFR Part 15, as amended from time to time.

In compliance with said regulations, CONTRACTOR shall cause or require to be inserted in full in all contracts and subcontracts with respect to any nonexempt transaction thereunder funded with assistance provided under the Agreement, the following requirements:

- (a) A stipulation by the CONTRACTOR or subcontractor that any facility to be utilized in the performance of any nonexempt contract or subcontract is not listed on the list of Violating Facilities issued by the Environmental Protection Agency (EPA) pursuant to 40 CFR 15.20.
- (b) Agreement by the CONTRACTOR to comply with all the requirements of section 114 of the Clean Air Act, as amended, (42 USC 1857c-8) and section 308 of the Federal Water Pollution Control Act, as amended, (33 USC 1318) relating to inspection, monitoring, entry, reports and information, as well as all other requirements specified in said section 114 and section 308, and all regulations and guidelines issued thereunder.
- (c) A stipulation that as a condition for the award of the contract prompt notice will be given of any notification received from the Director, Office of Federal Activities, EPA indicating that a facility utilized or to be utilized for the contract is under consideration to be listed on the EPA list of Violating Facilities.

- (d) Agreement by the CONTRACTOR that he will include, or cause to be included, the criteria and requirements in paragraph (i) through (iv) of this section in every nonexempt subcontractor and requiring that the CONTRACTOR will take such action as the Government may direct as a means of enforcing such provisions.

CONTRACTOR further agrees that it will be bound by the above environmental clauses.

In no event shall any amount of the assistance provided under this Agreement be utilized with respect to a facility which has given rise to a conviction under section 113(c)(1) of the Clean Air Act or section 309(c) of the Federal Water Pollution Control Act.

## **7. FEDERAL LABOR STANDARDS PROVISIONS.**

Except with respect to the rehabilitation of residential property designed for residential use for less than eight families, CONTRACTOR and all contractors engaged under contracts in excess of \$2,000 for the construction, prosecution, completion or repair of any building or work financed, in whole or in part, with assistance provided under the Agreement shall comply with HUD requirements pertaining to such contracts and the applicable requirements of the regulations of the Department of Labor under 29 CFR parts 3.5 and 5a, governing the payment of wages and the ratio of apprentices and trainees to journeymen: Provided, that if wage rates higher than those required under such regulations are imposed by state or local law, nothing hereunder is intended to relieve CONTRACTOR of its obligation, if any, to require payment of the higher rates, CONTRACTOR shall cause or require to be inserted in full, in all such contracts subject to such regulations, provisions meeting in the requirements of 29 CFR 5.5 and, for such contracts in excess of \$10,000, 29 CFR 5a.3.

No award of the contracts covered under this section of the Agreement shall be made to any contractor who is at the time ineligible under the provisions of any applicable regulations of the Department of Labor to receive an award of such contract.

## **8. NONDISCRIMINATION UNDER TITLE VI OF THE CIVIL RIGHTS ACT OF 1964.**

This Contract is subject to the requirements of Title VI of the Civil Rights Act of 1964 (P.L. 88-352) and HUD regulations with respect thereto including the regulations under 24 CFR Part I. In the sale, lease or other transfer of land acquired, cleared or land improved with assistance provided under the Agreement, the OWNER shall cause or require a covenant running with the land to be inserted in the deed or lease for such transfer, prohibiting discrimination upon the basis of race, color, religion, sex, handicap, familial status, or natural origin, in the sale, lease or rental, or in the use or occupancy of such land or any improvements erected or to be erected thereon, and providing that the GRANTEE and the United States are beneficiaries of and entitled to enforce such covenant.

## **9. OBLIGATIONS OF CONTRACTOR WITH RESPECT TO CERTAIN THIRD PARTY RELATIONSHIPS.**

CONTRACTOR shall remain fully obligated under the provisions of the Contract notwithstanding its designation of any third party or parties for the undertakings of all or any part of the work with respect to which assistance is being provided under the Agreement.

## **10. INTEREST OF CERTAIN FEDERAL OFFICIALS.**

No member of or Delegate to the Congress of the United States and no resident Commissioner, shall be admitted to any share or part of this Contract or to any benefit to arise from the same.

## **11. INTEREST OF MEMBERS, OFFICERS, OR EMPLOYEES OF GRANTEE, MEMBERS OF LOCAL GOVERNING BODY, OR OTHER PUBLIC OFFICIAL.**

No member, officer, or employee of the GRANTEE, or its designees or agents, no member of the governing body of the locality in which the program is situated, and no other public official of such locality or localities who exercise any functions or responsibilities with respect to the program during his tenure or for one year thereafter, shall have any interest, direct or indirect, in any contract or subcontract, or the proceeds thereof, for the work. CONTRACTOR shall incorporate, or cause to incorporate in all such contracts or subcontracts a provision prohibiting such interest pursuant to the purpose of this section.

**12. USE OF FUNDS FOR INFLUENCE OF PUBLIC OFFICIALS.**

To the best of its knowledge and belief:

- (a) No Federal appropriated funds have been paid or will be paid, by or on behalf of it, to any persons for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress or any employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan or cooperative agreement;
- (b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, it will complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instruction; and
- (c) It will require that the language of paragraph 12 of this certification be included in award documents for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

**13. PROHIBITION AGAINST PAYMENTS OF BONUS OR COMMISSION.**

The assistance provided under the Agreement shall not be used in the payment of any bonus or commission for the purpose of obtaining HUD approval of the application for such assistance, or HUD approval of applications for additional assistance, or any other approval of concurrence of HUD required under the Agreement, Title I of the Housing and Community Development Act of 1974 or HUD regulations with respect thereto; provided, however, that reasonable fees or bona fide technical, consultant, managerial or other such services other than actual solicitation, are not hereby prohibited if otherwise eligible as program costs.

**14. "ANTI-KICKBACK ACT".**

CONTRACTOR agrees to comply with the applicable regulations of the Secretary of Labor, United States Department of Labor, made pursuant to the so-called "Anti-Kickback Act" of June 13, 1934, (48 Stat. 948; 62 Stat. 862; Title 18 USC, Sec. 874; and Title 40 USC section 276c), and any amendments or modifications thereof; shall cause appropriate provisions to be inserted in subcontracts to insure compliance therewith by all subcontractors subject thereto; and shall be responsible for the submission of statements required of subcontractors thereunder, except as said Secretary of Labor may specifically provide for reasonable limitations, variations, tolerances, and exceptions from the requirements

Maine State Housing Authority (MaineHousing)  
LEAD HAZARD REDUCTION DEMONSTRATION GRANT PROGRAM

**CONSTRUCTION ESCROW AGREEMENT**

**APPLICANT (OWNER):**

\_\_\_\_\_  
Company Name (if applicable)

\_\_\_\_\_  
First Name MI Last Name

**PROPERTY:**

\_\_\_\_\_  
Property Street

\_\_\_\_\_  
Property City Property State Property Zip

**CONTRACTOR:**

\_\_\_\_\_  
Contractor Name

**CO-APPLICANT (CO-OWNER):**

\_\_\_\_\_  
Company Name (if applicable)

\_\_\_\_\_  
First Name MI Last Name

**COMMUNITY ACTION AGENCY (CAA):**

\_\_\_\_\_  
CAA Name

**AGREEMENT DATE:** \_\_\_\_\_

**ESCROWED FUNDS:** \_\_\_\_\_

This Agreement is entered into on the above written Agreement Date in conjunction with a Lead Hazard Reduction Demonstration Program grant/loan from the above-referenced CAA ("Escrow Agent") to the Owner in the amount of the above written Escrowed Funds.

**1. DEPOSIT.**

The Owner has deposited the above-referenced Escrowed Funds with the Escrow Agent for work described in Exhibit C to a Construction Contract of near or even date between the Owner and the Contractor as may be modified by change orders executed by the Owner, the Contractor, and the Escrow Agent (the "Work"). The Owner and the Contractor agree to comply with the terms of the Construction Contract which is incorporated herein.

**2. AUTHORIZATION.**

Contingent upon receipt of funds the Escrow Agent is authorized and directed to disburse the Escrowed Funds in accordance with this Agreement. **If owner and/or Escrow Agent does not receive financing to cover the cost of Contractor's price, this Agreement is null and void.**

**3. DISBURSEMENTS.**

The Escrow Agent shall withhold ten percent of the Escrowed Funds until all Work has been completed to the satisfaction of the Escrow Agent and the Owner. The Escrow Agent shall not make any disbursements until the Contractor has provided the Escrow Agent and Owner with copies of any required permits. The Escrow Agent shall disburse funds only for any of the Work which is (a) completed, (b) approved by the Owner, (c) inspected by the Escrow Agent, and (d) approved by the Escrow Agent. For each requisition the Contractor shall submit invoices for materials and the portion of the Work completed through the date of the requisition and lien waivers from all subcontractors who performed any of the Work through the date of the requisition. The Escrow Agent shall withhold final payment until the Escrow Agent has received a certificate of occupancy from the municipality where the Work was performed, if applicable, and has conducted a final inspection of the Work and certified that the Work is complete. Completed Work includes the achievement of lead dust clearance levels as described by the United States Department of Housing and Urban Development Lead-based Paint Poisoning Prevention in Certain Residential Structures regulations, 24 CFR Part 35.

**IT IS THE CONTRACTOR'S RESPONSIBILITY TO ACHIEVE THE LEAD DUST CLEARANCE STANDARDS REQUIRED BY 24 CFR PART 35. IF DUST WIPE TESTING INDICATES LEAD DUST LEVELS ARE HIGHER THAN ALLOWABLE, CONTRACTOR MUST RECLEAN THE AREAS THAT FAILED AT CONTRACTOR'S EXPENSE. ALL DIRECT AND INDIRECT COSTS INCURRED BY OWNER AND ESCROW AGENT TO REINSPECT AND RETEST SHALL BE DEDUCTED FROM PROCEEDS DUE CONTRACTOR.**

**4. CHECK DISBURSEMENTS.**

All disbursements shall be in the form of a check payable to the Contractor.

**5. CHANGE ORDERS.**

The Escrow Agent will not pay for any work beyond that called for in the original Construction Contract unless a written change order has been approved and signed by the Escrow Agent, the Contractor, and the Owner. The Escrow Agent may require additional funds to be deposited into the Escrowed Funds to pay for increased costs so that at all times there remain sufficient Escrowed Funds to pay for the Work.

**6. DISPUTE RESOLUTION.**

The Contractor and the Owner will notify the Escrow Agent of any disputes between them. The Escrow Agent shall, within fifteen working days from receipt of a complaint, organize an informal meeting with the Owner and the Contractor. The Maine State Housing Authority may inspect any of the Work at any time and may participate in any informal meeting. If the informal conference produces a resolution to the dispute, the Escrow Agent shall prepare and the Contractor and Owner shall sign a document that plainly states the agreed upon resolution. If the meeting does not result in a resolution, the Escrow Agent shall document the results of the meeting and how the parties disagree. If the Escrow Agent, the Contractor, and the Owner cannot come to a resolution of the matter, then the issue shall be resolved through binding arbitration as regulated by the Maine Uniform Arbitration Act. The parties shall participate in a binding arbitration as soon as possible after the informal conference. The binding arbitration shall be in accordance with the construction industry arbitration rules of the American Arbitration Association unless the Escrow Agent, Owner, and Contractor otherwise agree. The Owner and Contractor shall submit all disputes or claims regardless of the extent of the Work's progress to the arbitrator. The award rendered by the arbitrator shall be final and judgment may be entered upon it in any court having jurisdiction thereof. The Maine State Housing Authority will pay for the costs of an arbitrator. The parties will each pay their own attorneys' fees and other costs.

**7. MECHANICS LIENS.**

The Escrow Agent assumes no liability for mechanics liens filed in connection with any of the Work.

**8. REMAINING PROCEEDS.**

If there are Escrowed Funds remaining after final payment, those funds which are the proceeds of a Lead Hazard Reduction Demonstration Program Loan shall be applied as a principal reduction to the outstanding balance of the loan.

**9. MISCELLANEOUS.**

If any part of this Agreement is held to be unenforceable or void, such fact shall not affect the validity or enforceability of the remaining parts of this Agreement. The provisions of this Agreement shall be binding upon and inure to the benefit of the heirs, successors, and assigns of the parties. This Agreement shall be construed in accordance with and governed by the laws of the State of Maine.

**This Agreement is duly executed by the parties on the above written Agreement Date.**

**OWNER**

\_\_\_\_\_  
Signature of Owner

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Co-Owner

\_\_\_\_\_  
Date

**CONTRACTOR**

\_\_\_\_\_  
Signature of Contractor Representative

\_\_\_\_\_  
Date

\_\_\_\_\_  
Contractor Representative Name

**ESCROW AGENT**

\_\_\_\_\_  
Signature of Escrow Agent Representative

\_\_\_\_\_  
Date

\_\_\_\_\_  
Escrow Agent Representative Name