This presentation is for informational purposes only and is not intended as legal advice or as a statement of the law. For more information about what is required, see the Multiple Dwelling Law, Housing Maintenance Code, and the Rules of the City of New York.

Lead-based Paint Paperwork – Background for Owners

Division of Code Enforcement
Office of Enforcement and Neighborhood Services
January 2019
Table of Contents

1. General Overview: Required Paperwork
2. Identifying next steps for clearing violations: HPDOnline
3. Owners’ Requirements:
   Work Completed After August 1, 2004
   a) AF5
   b) Remediation Paperwork
   c) Dust Wipe Samples Paperwork
4. Final note on work Completed Before August 1, 2004
1. General Overview: Required Paperwork

The paperwork required to dismiss any HPD violation depends on the date the actual remediation work was done, NOT on the date of the violation.

Any lead-based paint work completed by the Landlord after the start of Local Law 1 on August 1, 2004 requires:

1. A Sworn Statement from Owner or Owner’s representative (This is the NOV if you are trying to certify correction or the AF5 form if the certification period has passed)
2. Paperwork from the EPA Certified Lead Abatement Firm
3. Post abatement Clearance Dust Samples by an EPA trained/certified professional (Lead Inspector / Risk Assessor)
2. Identifying next steps for clearing violations: HPDOnline
2. Clearing Violations: Understanding HPDONLINE

- HPDONLINE report will tell you:
  - Are there any open lead-based paint violations that are overdue in my building?
  - In order to clear these violations:
    - Is a reinspection required?
    - Is paperwork required?

- Background: to understand HPDOnline, remember that HPD requires THREE things for clearance of Lead-based Paint violations:
  - Violation must be corrected properly.
  - All necessary documents must be submitted with either the timely Certification of Correction or, if overdue, with a Dismissal Request (including fee).
  - HPD must reinspect the violation and find the condition corrected.
2. Using HPDOnline

1. Visit nyc.gov/hpd and scroll down

Search for your building
2. HPDOnline Lead Paint Report

After searching for your building, click “Overdue Lead Paint Violation Correction” on the left side of the screen.
2. What does it mean?
Reading the Building’s Lead Violation Info on HPDONLINE:

- **Lead Affidavit and Documents Req:** Will be **Yes** or **No**.

This column indicates whether HPD still needs documents from the Landlord.

If the Landlord timely certified a Lead violation by submitting all necessary documents & there’s no subsequent reinspection finding of non-compliance (from either Code Enforcement or Emergency Repair Program), then this column will be **No**. Otherwise it will read **Yes**, and the Landlord is required to submit all of the paperwork just discussed to HPD before the violation can be dismissed.

- **Common case:** If a Landlord timely certifies correction of Lead-based paint violations by submitting all correct documents, but HPD cannot access the apartment for a reinspection for final clearance of the violation, this column will read **No**. The violation cannot be cleared without the reinspection, but no new documents are required because HPD already has them.
2. What does it mean? (cont.)
Reading the Building’s Lead Violation Info on HPDONLINE:

- **Insp. Status**: Will be Inspection Required or Inspection Completed.

This column indicates whether a physical reinspection by HPD is still Required to clear the violation, or the necessary reinspection has already been Completed with a finding of Compliance.

A Completed reinspection means that an HPD Inspector or Technical Staff person has observed that the physical condition of peeling/deteriorated paint has been corrected.

Background Note: HPD will send a letter, called a Defect Letter, to an owner when the reinspection is completed but the owner must still provide paperwork before the violation can be cleared.
2. What does it mean? (cont.)

Reading the Building’s Lead Violation Info on HPDONLINE:

- **Insp. Completed Dt:** Will be either blank or contain a date.

  *If* a date appears in this column, any paperwork submitted to clear the violation must be for work that occurred BEFORE this date.

If an HPD staff person completed a reinspection and found that the physical condition was corrected, the date is displayed here. This date is important because the remediation work that HPD staff reinspects must be the same work documented in the Landlord’s paperwork. Work done after this date, even if properly done with an EPA-certified firm, has not been reinspected by HPD, and may have changed the conditions that the HPD staff previously observed. Another reinspection is now required to determine that the violation remains corrected.
2. What does it mean? (cont.)

Reading the Building’s Lead Violation Info on HPDONLINE:

- HPD sends this “Lead Defect Letter” to the Owner after a Code Reinspection finds that the condition has been corrected. This letter informs the owner of the Insp. Completed Dt.
2. What does it mean? (cont.)
Reading the Building’s Lead Violation Info on HPDONLINE:

- **Work After Dt:** Will be either **blank** or contain a **date**.

  *If this column contains a date, any paperwork submitted to clear the violation must be for work that occurred AFTER this date.*

This is the date of the most recent HPD reinspection that resulted in a finding that the violation has NOT been corrected. HPD’s reinspection finding of NOT corrected means that, even though the Landlord may have paid a firm to fix the violation, the work the Landlord paid for was either done improperly or subsequently disturbed. The Landlord must now arrange for new work to be done AFTER this date, and submit new paperwork to document the new work.
2. What does it mean? (cont.)
Reading the Building’s Lead Violation Info on HPDONLINE:

- **Dust Wipes After Dt**: Will be either blank or contain a date.

  *If this column contains a date, any dust wipe paperwork submitted to clear the violation must be for sampling that occurred AFTER this date*

This column exists to address a relatively rare situation: instances where HPD’s Emergency Repair Program has conducted its own in-house Dust Wipe Sampling after work has been completed, and found that the Dust Wipe Clearance requirement has not been fulfilled.

In this case, if the owner does not have Dust Wipe paperwork dated after HPD’s **Dust Wipes After** date, the owner may choose to hire a Dust Wipe Sampling firm to take new Dust Wipe Samples and, if the new samples are acceptable, provide documentation of the new Dust Wipe Samples.
Final Note:

If both **Insp. Completed Dt** & **Work After Dt** dates are displayed, then the Landlord must submit existing paperwork for work completed after the **Work After Dt** & prior to **Insp. Completed Dt** in order to dismiss the violation.

If the Landlord does not have paperwork for work that occurred in between these dates, then new paperwork will be required indicating that work was completed after the inspection completed date, and a new HPD reinspection will be required to review the new work.
3. Owners’ Requirements: Work Completed after August 1, 2004

a. AF5

b. Remediation Paperwork Requirements

c. Dust Samples Paperwork Requirements
Work Completed after August 1, 2004

3a. AF5

NOTE: During the certification period, a CIV, not an AF5, is required for clearance of Lead violations. This presentation focuses on overdue Lead violations, so we have not included images of the CIV.
3a. HPD Affidavit: AF5

AFFIDAVIT OF COMPLIANCE (AF-5)
LEAD-BASED PAINT HAZARD VIOLATIONS - WORK COMPLETED AFTER AUGUST 1, 2004

Violation Number(s): ____________________________________________
Apt #: ____________________________

State of New York
County of ________________________________________________

I, ____________________________, do solemnly swear or affirm under penalty of perjury as follows:

(type or print name)

1. That I am over twenty-one years of age and am the registered owner and/or managing agent of the subject premises,

(type or print entire building address, including borough)
Property Registration number ____________________________;

2. That I have read HPD's "Guide to Local Law 1 of 2004 Work Practices," and am aware of the work practices required to correct lead-based paint hazards safely and in accordance with all applicable laws;

3. That the work undertaken to correct the above-referenced violation(s) was performed in accordance with the required work practices;

4. That I have attached a sworn statement made by the EPA firm's authorized agent or employee who performed the work to correct the lead-based paint hazard violation(s) stating that the work was performed in accordance with §27-2056 or Article 14 of the Housing Maintenance Code and §11-06 of Title 28 of the Rules of the City of New York;

5. That I have attached a copy of the EPA certification for the firm that performed the work to correct the lead-based paint hazard violation(s);

6. That I have caused a lead-contaminated dust clearance test ("clearance test") to be performed by an independent third party on __________ (date), ________ (year), and I have attached to this form:
   a) the results of the lead-contaminated dust clearance test from a laboratory certified by the New York State Environmental Laboratory Approval Program or proof that HPD performed the test, and
   b) an affidavit from the individual who took the surface dust sample, verifying the date the sample was taken and indicating the address/apartment where the sample was taken; and
   c) a copy of the Certificate of Training for the individual who performed the lead-contaminated dust clearance test or proof that HPD performed the test.

Sworn to before me this ___________________ day of ____________, 2014

__________________________________________
Signature

Notary Public

Lead-Based Paint Affidavit: AF-5 (rev June 2014)
3a. Critical Info to Confirm on AF5.

**AFFIDAVIT OF COMPLIANCE (AF-5)**

**LEAD-BASED PAINT HAZARD VIOLATIONS - WORK COMPLETED AFTER AUGUST 1, 2004**

Violation Number(s):
Apt # ____________________________

State of New York
County of ____________

I, ____________________________, swear or affirm under penalty of perjury as follows:

1. That I am over twenty-one years of age and am the registered owner and/or managing agent of the subject premises,

2. That I have read HPD's "Guide to Local Law 1 of 2004 Work Practices" and am aware of the work practices required to correct lead-based paint hazards safely and in accordance with all applicable laws;

3. That the work undertaken to correct the above-referenced violation(s) was performed in accordance with the required work practices;

4. That I have attached a sworn statement made by the agent or employee who performed the work to correct the lead-based paint hazard violation(s) stating that the work was performed in accordance with §27-2056.11 of Article 14 of the Housing Maintenance Code and §11-06 of Title 28 of the Rules of the City of New York:

**Instructions:**
- **All Lead violations (555, 610, 611, 612, 616, 617) for the SAME apartment, with work performed after August 1, 2004**
- **Apartment #**
- **Which borough is the building in?**
- **Applicant’s Name must be in the HPDInfo Premises Building Contact List**
- **Typed/Printed: Complete Building Address, including the Borough**
- **MDR #**
3a cont.: Critical Info to Confirm on AF5.

4. That I have attached a sworn statement made by the agent or employee who performed the work to correct the lead-based paint hazard violation(s) stating that the work was performed in accordance with §27-2056.11 of Article 14 of the Housing Maintenance Code and §11-06 of Title 28 of the Rules of the City of New York;

5. That I have attached a copy of the EPA certification for the firm that performed the work to correct the lead-based paint hazard violation(s);

6. That I have attached a copy of the lead-contaminated dust clearance test from a laboratory certified by the New York State Environmental Laboratory Approval Program or proof that HPD performed the test; and

7. That I have attached a copy of the current Certificate of Training for the individual who performed the lead-contaminated dust clearance test or proof that HPD performed the test.

*Sworn to before me this_________day of__________day of__________.

*Signature*

**Notary’s Signature & Stamp**
- Notary MUST be different from the Applicant
- The Stamp must be valid (not expired), with no missing year mandate

**Day & Year Must be filled**

**Applicant’s Signature**

*Printed on paper containing 30% post-consumer material.*
Work Completed after August 1, 2004

3b. Remediation Paperwork
Note on Lead Work and Dust Wipe Samples Paperwork

- You must hire an EPA Certified Lead-Based Paint Firm to do any lead-based paint hazard work and to successfully clear Lead-based Paint Violations in NYC.

- The EPA Firm is responsible for monitoring & performing the work with EPA Certified individuals (Lead Supervisors and Abatement Workers), and for completing an EPA notification form that provides specific information to EPA, prior to the work start date.

- A Lead-Based Paint remediation firm should supply you with the proper documents relating to the work they do in order for you to maintain proper records and remove violations. Companies who do work in NYC will know what paperwork is required by HPD to either certify correction of lead-based paint violations timely and/or to submit with a post-certification request for dismissal.

- However, YOU are ultimately responsible for submitting the appropriate documents to HPD and ensuring lead-based paint hazards are properly remediated.
The EPA Abatement Firm must use approved work methods in order to remediate lead-based paint hazards.

Depending on the component and its function the EPA firm may perform work using “Interim Controls” (on large surface components like Walls and Ceilings, using the wet scrape, prime and paint method of paint remediation), may perform a full “Abatement,” or may perform a combination of Interim Controls and Abatement. (See other handout for brief discussion of Interim Controls and Abatement)

Note: Interim Control work is not appropriate on friction surfaces, on protruding wood trim classified as a ‘chewing surface’ (like a window sill) and on high impact surfaces. In addition, all surfaces remediated by encapsulation must conform with the manufacturer’s application of the product.
3b. Remediation PaperWork
Required Paperwork for work after August 1, 2004

3b(i). Affidavit for the abatement Firm.

3b(ii). IF the Firm’s affidavit is signed by the EPA Lead Abatement Supervisor, a copy of the Supervisor’s Lead Abatement Supervisor License.

3b(iii). A copy of the EPA certification for the Firm that performed the work.

3b(iv). If the work method ‘encapsulation’ is used: (1) the Encapsulation Worker’s affidavit and (2) an EPA Lead Abatement Worker license.
Under Local Law 1 of 2004, the EPA Firm’s work report affidavit may be signed either by the Firm’s principal, or by the EPA Certified Lead Supervisor or Project Designer (both certified under 40 CFR Part 745.226 and who are the only EPA professionals in charge of monitoring the Firm’s Lead-based Paint work activities).
This or the interim certification must be submitted only if the firm’s affidavit is signed by the Lead Abatement Supervisor: Lead Supervisor EPA Certification.

[NAME]
3b(ii) EPA Lead Abatement Supervisor Certification cont.

- This or the full certification must be submitted only if the firm’s affidavit is signed by the Lead Abatement Supervisor - Lead Supervisor’s Interim Certificate
3b(iii). Firm’s Certification

4b(iii). Copy of the EPA certification for the firm that performed the work to correct the lead-based paint hazard violation(s) if the work was done after August 1, 2004.

*All Lead Abatement/Paint Remediation work performed after August 1, 2004 must be done using safe-work practices, by an EPA Firm, certified under 40 CFR Part 745.226.*

- Note: An EPA Certified Renovator Firm (Certified under 40 CFR 745.89) is NOT authorized perform work for the LL1-2004 violations, nor any work deemed as abatement under any local, state & federal jurisdictions.
3b(iii) cont. EPA certification for the firm

The EPA certification for the firm engaging in work to correct the lead-based paint hazard is issued by either the EPA’s Lead, Heavy Metals, and Inorganic Branch or Pesticides and Toxic Substances Branch.

![EPA Certification Image]
3b(iii) cont. EPA certification for the Abatement Firm:

Critical Info to Check For in the Lead Abatement Firm EPA Certification:

United States Environmental Protection Agency

This is to certify that

[NAME]

has fulfilled the requirements of the Toxic Substances Control Act (TSCA), section 112, and has received certification to conduct lead-based paint activities pursuant to 40 CFR Part 745.226.

In the Jurisdiction of:

New York

This certification is valid from the date of issuance and expires February 08, 2018.

NY-119995-2 Certification #

August 05, 2014 Issued On

Valid Between

Michelle Price, Chief
Lead, Heavy Metals, and Inorganics Branch

ALL FIRMS MUST BE CERTIFIED UNDER 40 CFR 745.226
3b(iii) cont. HPD WILL NOT ACCEPT - EPA Renovator Firm Certification

EPA Renovator Firm, Oval Seal (Lead-Safe Certified Firm) & Certification (40 CFR 745.89)
3b(iv). Special Requirements: Encapsulation

- **Encapsulation** is an approved method of lead-based paint remediation with special requirements. If encapsulation is one of the abatement methods used, the firm must provide two additional documents:
  - Encapsulation Worker’s Affidavit
  - EPA ‘Abatement Worker’ Certificate For the Worker Who Applied the Encapsulant
3b(iv). EPA Lead Supervisor / Abatement Worker affidavit – REQUIRED only for the application of Encapsulants

**AFFIDAVIT BY CERTIFIED INDIVIDUAL WHO APPLIED ENCAPSULANT**

I ___________________________ (print name) applied encapsulants at the premises located at ____________ (address) on ____________ (date).

I am certified to perform abatement pursuant to Part 745 of Title 40 of the Code of Federal Regulations. I read and followed the instructions provided for the Application for Exemption from Administrative Code § 27-2056.5(a). I have applied, in accordance with the manufacturer’s instructions, ________________ (name/brand) encapsulant, which is approved by the New York State Department of Health or another federal or state agency or jurisdiction which the department has designated as acceptable.

I have attached a copy of my certificate of training to this affidavit.

State of New York

County of ________________

(Signature)

Sworn to before me this

_________day of __________
3b(iv). EPA Lead Abatement Worker Certification

- Abatement Worker EPA Certificate – **REQUIRED ONLY for application of Encapsulants:**

![EPA Lead Abatement Worker Certification](image)
3c. Dust Wipe Samples Paperwork

(All violations – Work Performed after August 1, 2004)
3c. Clearance Dust Wipe Sampling paperwork, Overview:

i. A copy of the State-certified laboratory report with the analysis of all surface dust samples taken.

For evaluation purposes, the lab’s credentials may be verified from the NYS DOH website. Click on link below to go to NYS DOH.
http://www.wadsworth.org/regulatory/elap/certified-labs

ii. A copy of the Certificate of Training of the Dust Wipe Sampler. The Certificate of Training must be valid for the period when the test was taken. Acceptable Certifications:
- EPA Lead Inspector Certification, or its Interim Certification.
- Risk Assessor Certification, or its Interim Certification.

iii. The affidavit of the Dust Wipe Sampler.
3c. Clearance Dust Wipe Sampling Paperwork
Detailed Paperwork Requirements

- All post-abatement clearance Dust Wipe Sampling for HPD violations, must be performed by:
  - An EPA Certified Lead Inspector (certified under 40 CFR Part 745.226)
  - An EPA Certified Risk Assessor (certified under 40 CFR Part 745.226)
  - A 40 CFR 745.225 EPA Accredited Training School, 6 month Initial Interim Certificate

- The Dust Sampler must be Independent from the EPA Abatement Firm.
- The Dust Sampler’s affidavit must be provided.

- All Dust Samples must be analyzed by an National Lead Laboratory Accreditation Program (NLLAP), NYS DOH ELAP lab
  - Follow the link below for a list of NYS approved ELAP Labs, or check for a specific Lab: [http://www.wadsworth.org/regulatory/elap/certified-labs](http://www.wadsworth.org/regulatory/elap/certified-labs)

- Each Lead violation in each room must be accompanied by clearance Dust Wipe Samples. Each room with a window requires 3 clearance dust samples (for Floor, Window Sill & Window Well – see Federal Dust Clearance levels below). For an accurate number of dust samples in each room, please print the HPDInfo, SYS-scanned apartment diagram/sketch.

- All Dust Samples Lab results must be below the Federal standards for Lead Dust Clearance (below):
  - Floors: 40 µg/ft² (ug)
  - Window Sills: 250 µg/ft² (ug)
  - Window Wells (Troughs): 400 µg/ft²(ug)
3c. Clearance Dust Wipe Sampling Paperwork
Detailed Paperwork Requirements

- Each Sample must record the room sampled & the sampling surface (Floor, Window Sill, Window Well).

- Each missing sampled surface in a room with a window must be noted on the lab report: e.g.: ‘*No Window in the Room’ for missing Window Sill & Well missing samples; or ‘**Window painted shut’, to indicate a missing Window Well sample.

- The lab report must affirmatively state why a sample surface is missing. If the owner cannot provide this info, the package will be rejected as "insufficient samples"

- Each sampled Surface Area must be measured in inches, with an accuracy of 1/8 of an inch.

- Floor sample sizes must be 12 inches by 12 inches, window well and window sill samples must be at least 16 inches² (square inches)

- The Lab report must include:
  - The Name of the NYS Approved Lab (with their NYS DOH ELAP #), with the complete address & contact info.
  - The project location with the complete address where the sampling was performed (House Number, Street Name, Apartment Number).
  - The sampling date & time, the date the sample was received, the date it was analyzed & the report date. Sampling time is extremely critical because there must be at least one hour between the abatement work completion time and the clearance dust sampling time.
  - If the name of the sampling EPA professional is not on the Lab report, a HUD model Chain of Custody, or the sampler’s affidavit is acceptable.
3c(i). Clearance Dust Wipe Sampling Paperwork
State-certified Lab Sample

<table>
<thead>
<tr>
<th>Lab Sample ID</th>
<th>Client Code</th>
<th>Sample Description</th>
<th>Length (in)</th>
<th>Width (in)</th>
<th>Area (sq ft)</th>
<th>Total µg</th>
<th>Results Lead µg/ft²</th>
</tr>
</thead>
<tbody>
<tr>
<td>2659906</td>
<td>1</td>
<td>1ST ROOM FROM NORTH W/BELL</td>
<td>3</td>
<td>28</td>
<td>0.58</td>
<td>2.23</td>
<td>&lt;17.14</td>
</tr>
<tr>
<td>2659917</td>
<td>2</td>
<td>1ST ROOM FROM NORTH W/BELL</td>
<td>3.5</td>
<td>30</td>
<td>0.73</td>
<td>1.76</td>
<td>&lt;13.71</td>
</tr>
<tr>
<td>2659918</td>
<td>3</td>
<td>1ST ROOM FROM NORTH W/BELL</td>
<td>12</td>
<td>12</td>
<td>1.00</td>
<td>0.81</td>
<td>&lt;19.00</td>
</tr>
<tr>
<td>2659920</td>
<td>4</td>
<td>2ND ROOM FROM NORTH W/BELL</td>
<td>12</td>
<td>12</td>
<td>1.00</td>
<td>0.73</td>
<td>&lt;19.00</td>
</tr>
<tr>
<td>2659922</td>
<td>5</td>
<td>2ND ROOM FROM NORTH W/BELL</td>
<td>3.5</td>
<td>30</td>
<td>0.73</td>
<td>1.76</td>
<td>&lt;13.71</td>
</tr>
<tr>
<td>3869922</td>
<td>2</td>
<td>KITCHEN W/BELL</td>
<td>3</td>
<td>28</td>
<td>0.58</td>
<td>1.00</td>
<td>&lt;10.00</td>
</tr>
<tr>
<td>3869923</td>
<td>3</td>
<td>KITCHEN W/BELL</td>
<td>3.5</td>
<td>20</td>
<td>0.73</td>
<td>0.73</td>
<td>&lt;13.71</td>
</tr>
<tr>
<td>3869925</td>
<td>5</td>
<td>KITCHEN W/BELL</td>
<td>12</td>
<td>12</td>
<td>1.00</td>
<td>0.73</td>
<td>&lt;10.00</td>
</tr>
<tr>
<td>2659985</td>
<td>11</td>
<td>PRIVATE HALLWAY W/BELL</td>
<td>12</td>
<td>12</td>
<td>1.00</td>
<td>2.80</td>
<td>&lt;10.60</td>
</tr>
<tr>
<td>2659967</td>
<td>12</td>
<td>BATHROOM W/BELL</td>
<td>3</td>
<td>17</td>
<td>0.55</td>
<td>1.62</td>
<td>&lt;28.34</td>
</tr>
<tr>
<td>2659968</td>
<td>13</td>
<td>BATHROOM W/BELL</td>
<td>3</td>
<td>18</td>
<td>0.58</td>
<td>3.19</td>
<td>&lt;29.67</td>
</tr>
<tr>
<td>2659969</td>
<td>14</td>
<td>BATHROOM W/BELL</td>
<td>12</td>
<td>12</td>
<td>1.00</td>
<td>1.21</td>
<td>&lt;10.00</td>
</tr>
<tr>
<td>2659970</td>
<td>15</td>
<td>6TH ROOM FROM NORTH W/BELL</td>
<td>3</td>
<td>28</td>
<td>0.58</td>
<td>1.83</td>
<td>&lt;15.48</td>
</tr>
<tr>
<td>2659971</td>
<td>16</td>
<td>6TH ROOM FROM NORTH W/BELL</td>
<td>2</td>
<td>26</td>
<td>0.36</td>
<td>0.66</td>
<td>&lt;27.69</td>
</tr>
<tr>
<td>2659972</td>
<td>17</td>
<td>6TH ROOM FROM NORTH W/BELL</td>
<td>12</td>
<td>12</td>
<td>1.00</td>
<td>1.36</td>
<td>&lt;19.00</td>
</tr>
<tr>
<td>2669973</td>
<td>18</td>
<td>ADJACENT SAMPLE PUBLIC HALLWAY W/BELL</td>
<td>12</td>
<td>12</td>
<td>1.00</td>
<td>0.20</td>
<td>&lt;10.00</td>
</tr>
<tr>
<td>2659974</td>
<td>19</td>
<td>BLANK SAMPLE</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
<td>&lt;0.20</td>
<td>N/D</td>
</tr>
</tbody>
</table>

**Note:** Not detected, N/A not available. RC-Recording (Not Analytical Recording (not in fg/sample). * For true values assume ±2 significant figures. 69% QC/Regulatory Sample, 31% Analytical Sample (inclusive of 20% QC/Regulatory Sample). 20% ±20% (not available). For the sample as requested by the Lab. AAT will not assume any liability or responsibility for the manner in which the results are used or whether the results are used.
3c(i). Clearance Dust Wipe Sampling Paperwork
State-certified Laboratory Sample

- Critical info to check:

Critical: Check the lab @: [http://www.wadsworth.org/regulatory/elap/certified-labs](http://www.wadsworth.org/regulatory/elap/certified-labs)

Lab Name

Lab Address/Phone

Certificate of Analysis: Lead in Dust Wipe by EPA Method 7000B/3050B

- Client:
- Attn:
- Phone:
- Client Project:
- Project Location:

EPA Firm Info

- Project:
- Sampling Date: 03/24/2016
- Date Received: 03/31/2016
- Date Analyzed: 03/31/2016
- Date Reported: 4/11/2016 4:42:35PM

Analyst:

<table>
<thead>
<tr>
<th>Lab Sample ID</th>
<th>Client Code</th>
<th>Sample Description</th>
<th>Length (Inch)</th>
<th>Width (Inch)</th>
<th>Area (Sq ft)</th>
<th>Total µg</th>
<th>Results Lead µg/ft²</th>
</tr>
</thead>
<tbody>
<tr>
<td>2669956</td>
<td>1</td>
<td>1ST ROOM FROM NORTH W WELL</td>
<td>3</td>
<td>28</td>
<td>0.58</td>
<td>2.23</td>
<td>&lt;17.14</td>
</tr>
<tr>
<td>2669957</td>
<td>2</td>
<td>1ST ROOM FROM NORTH W SILL</td>
<td>3.5</td>
<td>30</td>
<td>0.73</td>
<td>1.75</td>
<td>&lt;13.71</td>
</tr>
</tbody>
</table>
3c(i). Clearance Dust Wipe Sampling Paperwork
State-certified Laboratory Sample

- Critical info to check. Check the lab with NYSDOH

<table>
<thead>
<tr>
<th>Code</th>
<th>Room Description</th>
<th>Location</th>
<th>Sampled</th>
<th>PM10</th>
<th>PM2.5</th>
<th>PM1</th>
</tr>
</thead>
<tbody>
<tr>
<td>2669968</td>
<td>BATHROOM W SILL</td>
<td>13</td>
<td>3</td>
<td>18</td>
<td>0.38</td>
<td>3.19</td>
</tr>
<tr>
<td>&lt;26.67</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2669969</td>
<td>BATHROOM FL</td>
<td>14</td>
<td>12</td>
<td>12</td>
<td>1.00</td>
<td>1.21</td>
</tr>
<tr>
<td>&lt;10.00</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2669970</td>
<td>6TH ROOM FROM NORTH W WELL</td>
<td>15</td>
<td>3</td>
<td>26</td>
<td>0.54</td>
<td>1.63</td>
</tr>
<tr>
<td>&lt;18.46</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2669971</td>
<td>6TH ROOM FROM NORTH W SILL</td>
<td>16</td>
<td>2</td>
<td>26</td>
<td>0.36</td>
<td>0.66</td>
</tr>
<tr>
<td>&lt;27.69</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2669972</td>
<td>6TH ROOM FROM NORTH FL</td>
<td>17</td>
<td>12</td>
<td>12</td>
<td>1.00</td>
<td>1.35</td>
</tr>
<tr>
<td>&lt;10.00</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2669973</td>
<td>ADJACENT SAMPLE PUBLIC HALLWAY FL</td>
<td>18</td>
<td>12</td>
<td>12</td>
<td>1.00</td>
<td>0.38</td>
</tr>
<tr>
<td>&lt;10.00</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2669974</td>
<td>BLANK SAMPLE</td>
<td>19</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
<td>&lt;0.20</td>
</tr>
<tr>
<td>N/D</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Critical: Check the lab @: [http://www.wadsworth.org/regulatory/elap/certified-labs](http://www.wadsworth.org/regulatory/elap/certified-labs)
Evaluator may check the Lab credentials by:
- Lab Name
- ELAP #
3c(i). Clearance Dust Wipe Sampling Paperwork
Checking the State-certified Laboratory

- Required info to check. If the Lab is not NYS-accredited to analyze Lead in DWS, the Lab report cannot be used for Dust Clearance.

For HPD paperwork This Lab is accredited to analyze Lead in Dust Samples & in Paint
3c(i). Clearance Dust Wipe Sampling Paperwork
State-certified Laboratory Sample

- Critical info to check:

<table>
<thead>
<tr>
<th>Lab Sample ID</th>
<th>Client Code</th>
<th>Sample Description</th>
<th>Length (Inch)</th>
<th>Width (Inch)</th>
<th>Area (Sq ft)</th>
<th>Total µg</th>
<th>Results Lead µg/t2</th>
</tr>
</thead>
<tbody>
<tr>
<td>2669956</td>
<td>1</td>
<td>1ST ROOM FROM NORTH W WELL</td>
<td>3</td>
<td>28</td>
<td>0.56</td>
<td>2.23</td>
<td>&lt;17.14</td>
</tr>
<tr>
<td>2669957</td>
<td>2</td>
<td>1ST ROOM FROM NORTH W SILL</td>
<td>3.5</td>
<td>30</td>
<td>0.73</td>
<td>1.75</td>
<td>&lt;13.71</td>
</tr>
<tr>
<td>2669958</td>
<td>3</td>
<td>1ST ROOM FROM NORTH FL</td>
<td>12</td>
<td>12</td>
<td>1.00</td>
<td>0.81</td>
<td>&lt;10.00</td>
</tr>
<tr>
<td>2669959</td>
<td>4</td>
<td>2ND ROOM FROM NORTH FL</td>
<td>12</td>
<td>12</td>
<td>1.00</td>
<td>1.08</td>
<td>&lt;10.00</td>
</tr>
<tr>
<td>2669960</td>
<td>5</td>
<td>3RD ROOM FROM NORTH W WELL</td>
<td>3</td>
<td>31</td>
<td>0.65</td>
<td>1.17</td>
<td>&lt;15.48</td>
</tr>
<tr>
<td>2669963</td>
<td>8</td>
<td>KITCHEN W WELL</td>
<td>3</td>
<td>28</td>
<td>0.56</td>
<td>1.91</td>
<td>&lt;17.14</td>
</tr>
<tr>
<td>2669964</td>
<td>9</td>
<td>KITCHEN W SILL</td>
<td>3.5</td>
<td>30</td>
<td>0.73</td>
<td>0.37</td>
<td>&lt;13.71</td>
</tr>
<tr>
<td>2669965</td>
<td>10</td>
<td>KITCHEN FL</td>
<td>12</td>
<td>12</td>
<td>1.00</td>
<td>0.93</td>
<td>&lt;10.00</td>
</tr>
<tr>
<td>2669966</td>
<td>11</td>
<td>PRIVATE HALLWAY FL</td>
<td>12</td>
<td>12</td>
<td>1.00</td>
<td>2.80</td>
<td>&lt;10.00</td>
</tr>
<tr>
<td>2669967</td>
<td>12</td>
<td>BATHROOM W WELL</td>
<td>3</td>
<td>17</td>
<td>0.35</td>
<td>1.62</td>
<td>&lt;28.24</td>
</tr>
<tr>
<td>2669968</td>
<td>13</td>
<td>BATHROOM W SILL</td>
<td>3</td>
<td>18</td>
<td>0.38</td>
<td>3.19</td>
<td>&lt;26.67</td>
</tr>
<tr>
<td>2669969</td>
<td>14</td>
<td>BATHROOM FL</td>
<td>12</td>
<td>12</td>
<td>1.00</td>
<td>1.21</td>
<td>&lt;10.00</td>
</tr>
<tr>
<td>2669970</td>
<td>15</td>
<td>6TH ROOM FROM NORTH W WELL</td>
<td>3</td>
<td>28</td>
<td>0.54</td>
<td>1.63</td>
<td>&lt;18.46</td>
</tr>
</tbody>
</table>

Question this!!!
Missing Samples?
Print Apt Sketch!
3c(i). Clearance Dust Wipe Sampling Paperwork
State-certified Laboratory Sample

Critical info to check:

<table>
<thead>
<tr>
<th>Sample ID</th>
<th>Wipe No</th>
<th>Description</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>2689971</td>
<td>16</td>
<td>Dust Wipe</td>
<td>03/31/2016</td>
</tr>
<tr>
<td>2689972</td>
<td>17</td>
<td>Dust Wipe</td>
<td>03/31/2016</td>
</tr>
<tr>
<td>2689973</td>
<td>18</td>
<td>Dust Wipe</td>
<td>03/31/2016</td>
</tr>
<tr>
<td>2689974</td>
<td>19</td>
<td>Dust Wipe</td>
<td>03/31/2016</td>
</tr>
</tbody>
</table>

Reviewed by: Quality Assurance Coordinator - Robert A. Theys

Who approved & released the report

This report is intended for use solely by the individual or entity to which it is addressed. It may contain information that is privileged, confidential and otherwise exempt by law from disclosure. If the reader of this information is not the intended recipient or an employee of its intended recipient, you are hereby notified that any dissemination, distribution or copying of this information is strictly prohibited. If you have received this information in error, please notify AAT immediately. Thank you.
3c(ii). Dust Wipe Sampler - Required Licenses &/or Certifications

- Critical Info to check in the Risk Assessor’s EPA Certification:

   [NAME]
3c(ii). Dust Wipe Sampler - Required Licenses &/or Certifications

Critical Info to check in the Risk Assessor Interim Certification:

- [NAME]
- Address
- Training Company Name/Address/Phone
- This Is To Certify That
- [NAME]
- Address
- EPA-Lead Based Paint Risk Assessor Initial
- HAS SUCCESSFULLY COMPLETED THE ENVIRONMENTAL PROTECTION AGENCY APPROVED COURSE
- Course Date: 12/17/2015 - 12/18/2015
- Course Completion Date: 12/18/2015
- Expiration Date of Interim Certification: 06/18/2016
- Certificate Number: LRAI-3975
- Examination Grade: 86%
- Training Director
- Name/Signature
- Training Director
3c(ii). Dust Wipe Sampler’s - Required Licenses &/or Certifications

- Lead Inspector’s EPA Certification & its Critical Info to check for:

United States Environmental Protection Agency
This is to certify that

[NAME]

has fulfilled the requirements of the Toxic Substances Control Act (TSCA) Section 40(b) and has received certification to conduct lead-based paint activities pursuant to 40 CFR Part 745.226 in:

New York

This certification is valid from the date of issuance and expires July 10, 2017.

NY-J-16839-3
Certification # MAY 13 2014

Issued On

Validity Dates

Dust Collector Professional

Inspector

John Gorman, Chief
Pesticides & Toxic Substances Branch
3c(ii). Dust Wipe Sampler’s - Required Licenses &/or Certifications

- Lead Inspector’s Interim Certification
AFFIDAVIT BY DUST WIPE SAMPLER

I __________________________ (print name), performed the sampling for lead based paint dust hazard clearance at the premises located at __________________________ (address), apartment number ______ on ________________ (date). I have attached a copy of EITHER: (1) my EPA Certification issued under 40 CFR 745.226, as Lead Inspector / Risk Assessor, OR (2) my 6 month Interim Certification under 40 CFR 745.225 from an EPA accredited school, to this affidavit.

________________________________________
Signature

Sworn to before me this
________ day of ______________

________________________________________
Notary Public

THE MAKING OF A FALSE CERTIFICATION IS A CRIME
PUNISHABLE BY A FINE AND/OR IMPRISONMENT
4. NOTE: Work Completed before August 1, 2004

There are different requirements for clearing violations if remediation work was completed before the start of Local Law 1 on August 1, 2004.

For more info, view the AF3/AF4 Affidavit in the Lead-Based Paint section of HPD’s website, or call the Lead Unit for assistance.