




Philadelphia Contractor Requirements Webinar

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Audits and Investigations

General Questions: AIU@phila.gov





Home Rule Charter

- Article V- Executive and Administrative Branch- Powers and Duties
 - Chapter 10- Department of L&I and its Departmental Boards
- §5-1002- Functions
 - (a) Building Safety and Sanitation, Signs and Zoning
 - (b) Issuance of Licenses
 - (c) Inspections
 - (d) Enforcement
 - (e) Revocation, Suspension, or Cancellation of Licenses
 - (f) Special Inspections on Request.



Title 4- The Technical Codes

- As you saw, there are many Technical Codes covering specific rules, regulations, and requirements around construction, maintenance, fire safety, and more
- Like their name suggests, they tend to be dense, hyper-specific, and...technical.
- You don't *need* to be a subject matter expert to use or interpret them, but they can be intimidating and challenging if you are new to the subject at hand.



Title 4- The Administrative Code

- The Administrative Code controls how L&I administers the Technical Codes
- Chapters:
 1. General
 2. Enforcement Authority
 3. Permits
 4. Inspections
 5. Violations
 6. Penalties
 7. Certificates and Approvals
 8. Appeals and Variances
 9. Fees

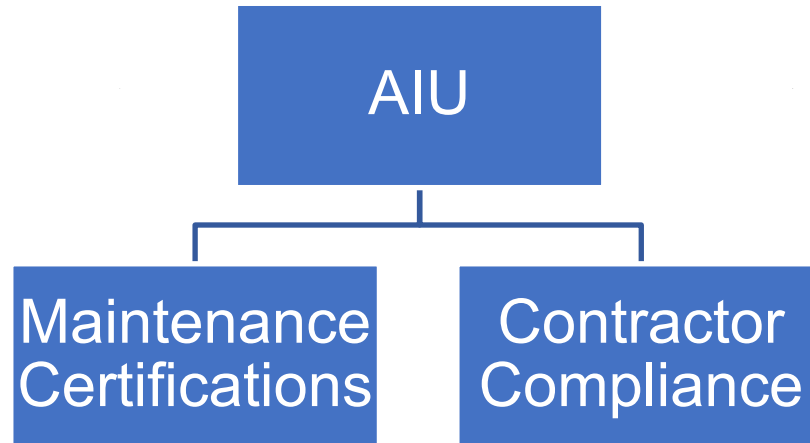




Admin Code- Highlights

A-601- Fines - Violation fines break down to three categories: basic fines, Class II fines, and Class III fines

- **Basic- \$300 per day**
 - All violations not specified as Class II or Class III
- **Class II- \$1,000 per day**
 - Uncertified/expired cert for fire alarm or sprinkler, Fire Code egress violations, violations of historic district standards
- **Class III- \$2,000 per day**
 - Unsafe or ID designation, unsafe conditions (via violation of Fire Code), zoning or use registration violations
- **A-601.5 Accrual of fines:** Each day that a violation continues after the time for correcting the violation as stated in the initial notice of violation has passed, and where no timely appeal has been filed...shall be deemed a separate offense for purposes of determining the accrual of fines.

Audits and Investigations



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- **Maintenance Certification-** The third-party certification of a structure or system that must be provided to the Department on a recurring schedule. There are two categories of Maintenance Certifications:
 - **Property Maintenance Certifications-**
 - **Facade, Fire Escape, Private Bridge, Pier-** Must be submitted every 5 years
 - **Fire Protection Certifications**
 - **Sprinkler, Standpipe, Special Hazard, Fire Alarm, Smoke Control-** Must be submitted annually
 - **Damper-** Must be submitted every 4 years (6 years for hospitals)
- 



Title 9- Regulation of Businesses, Trades and Professions

- **9-1000- Trades**
 - **Contractor Compliance-** Primarily operates out of and enforces **9-1000- Trades**, which regulates contractors and other trade licensees like plumbers, electrical contractors, demolition contractors, etc.
- **9-1300- Inspection Businesses**
 - We also work with **9-1300- Inspection Businesses**, particularly for Special Inspection Agencies and Electrical Inspection Agencies





9-1004- Contracting Requirements

9-1004(7) establishes prohibited conduct by contractors. Here are some highlights:

(7) Prohibited Conduct


(b) No Contractor shall deviate from or disregard in any material respect the plans and specifications approved by the Department, unless such change has been approved by the Department.

(d) No Contractor shall sell, transfer, or otherwise allow another person or business entity to use a permit issued to the Contractor to perform construction work.

(e) No Contractor shall provide false information on any license or permit application filed with the Department.

(f) No Contractor shall employ an unlicensed subcontractor to perform any activity regulated under this Section.

(h) No Contractor shall employ an individual that is subject to an active suspension or revocation of a trade license or that was the partial or whole owner of an entity subject to an active suspension or revocation of a trade license at the time that the suspension or revocation was effectuated.






Contractor Compliance- Priorities

- Increased focus on subcontracting practices
- Verification of worker safety training and trade specific license/registration (Plumbing, Fire Suppression, Excavation, etc)
- Investigation and discipline of contractors who engage in unsafe work or who exhibit a pattern of repeated or willful violations




Unannounced Jobsite Inspections

- AIU inspectors perform unannounced jobsite inspections. These inspections include:
 - Ensuring that an OSHA 30 card holder is on site (when work is happening on a major building) and that every single worker on site has an OSHA 10 card (and is employed by a licensed contractor)
 - Requesting a list of subcontractors involved in the project to verify that only licensed subcontractors are involved.
 - Checking to make sure that all required insurance is up-to-date
 - More, depending on jobsite and nature of complaint
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Subcontractors

- Increase in auditing- don't be surprised if you get an email from an L&I official asking for a list naming each subcontractor on your project
 - Inspections verifying subcontractor information
 - Subcontractors are required to be listed on all permits except for 1 and 2 family dwellings
- 



Subcontractors

All Commercial Building Permits require any subcontractors to be listed on the permit by the permit holder.

§ 9-1004. Contractors

(8) *Contractor and Subcontractor Information.*

(a) A Prime Contractor performing construction work, except for work on residential buildings of two dwelling units or less, shall submit the following information in writing, either electronically or otherwise as required, to the Department within **three (3) business days after the commencement of any work** at the construction site and shall notify the Department promptly of any changes to the information submitted.


(.3) A list of all subcontractors of any tier used on the project with their respective contractor license numbers;





Subcontractors

Clarification and Intent

- If a subcontractor is working or has worked on site, they must be listed as a subcontractor on the permit
 - The Department is **not requiring** a full list of intended subcontractors after 3 days of commencement of work
 - This information is required to be maintained and updated throughout the duration of the project.
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Subcontractors

Repeated Failure to List Subcontractors

§ 9-1004. Contractors (9) *License Suspension and Revocation; Other Remedies*

(b) Where there has been a final determination that a contractor or subcontractor has violated the provisions of subsection (8)(a) of this Section on at least two (2) occasions within one (1) year, the license issued to the contractor or subcontractor under this Section shall be revoked for a period of one (1) year and the contractor or subcontractor shall be prohibited from obtaining any building permits during that one (1) year period. For purposes of this subsection (9)(b), a final determination refers to payment of the fine for a violation, a default or a final adjudication on the merits from which no timely direct appeal is available.



Contractor Lookup Website

-Can be used to verify valid active licenses

-Check for contractor violations

-Expired, Suspended, Revoked Licenses will not appear on this list

<https://li.phila.gov/Contractor-Lookup/>


City of Philadelphia An official website of the City of Philadelphia government [Here's how you know](#)

Find a Licensed Contractor

Search for contractors and tradespeople

L&I Dashboard / Contractor Lookup

All contractor types

License holder	Company name	Contractor type	License #
ANTHONY MEJIAS DBA RETRO HVAC SERVICE & INSTALLATION LLC		CONTRACTOR	056385
G.E. MECHANICAL SERVICES, LLC		CONTRACTOR	057884
COMMONWEALTH HOME RENOVATIONS		CONTRACTOR	060245
HA NGUYEN		SPECIAL INSPECTOR	052109
JOSHUA HEATHERBY		SPECIAL INSPECTOR	050807
HENRY J BANNING  Contractor licensing violation. See details.		CONTRACTOR	43934
BRIAN BOYLE	APPRENTICE	FIRE SUPPRESSION WORKER	22423
MARK NIMON		PLUMBER MASTER	15673
THE ROBERT B. BALTER COMPANY		SPECIAL INSPECTION AGENCY	056238
RONALD & SONS CONCRETE INC		CONTRACTOR	058523

Showing 1 to 10 of 10,573 records

1 2 3 4 5 >



Expired Licenses

Expired License = **Unlicensed**



Subcontractors

Adding Subcontractors to Permits

<https://www.phila.gov/departments/department-of-licenses-and-inspections/permits-and-certificates/help-using-eclipse/#/?table=Construction%2520inspections&q=How%20to%20add%20a%20subcontractor%20to%20a%20permit%20in%20eCLIPSE>



Department of
Licenses and Inspections
CITY OF PHILADELPHIA



Add a subcontractor to a permit in eCLIPSE
How-To Guide

Subcontractors

Step 1: On the *Home* page of your account, click on the 'My Activities' tab.

Step 2: Under the 'Permits' section, click on the applicable Building permit.

The screenshot shows a user interface with a navigation bar at the top containing tabs: My Activities (highlighted with a red box), My Inspections, My Projects, My Businesses, My Activity Licenses, My Trade Licenses, My Registrations, and My Inspection Agency's Permits. Below the navigation bar are two sub-tabs: My Hearings / Appeals and Annual Certification Reports. The main content area is titled 'MY ACTIVITIES' and includes a sub-section for 'PERMITS'. A table lists various permits with columns for Type, File Number, Location, Description, Status, Created Date, and Contractor. The row for 'Commercial Building Permit' with file number CP-2020-001226 is highlighted with a red box. The description for this permit is 'Commercial - Addition and/or Alteration' and the status is 'Issued'.

Type	File Number	Location	Description	Status	Created Date	Contractor
Streets Review	SR-2020-000001		Commercial	Draft	Oct 1, 2020	No Contractor
Residential Building Permit	RP-2020-001931		Residential	Draft	Oct 1, 2020	No Contractor
Commercial Building Permit	CP-2020-001226	Schuylkill River Trail (56th-61st) City of Philadelphia Dept. of Parks and Recreation land abutting Schuylkill River between S 56th St and 60th St	Commercial - Addition and/or Alteration	Issued	Jun 24, 2020	
Commercial Building Permit	CP-2020-001293	1400 JOHN F KENNEDY BLVD RM 796, Philadelphia, PA 19107-3365	Commercial - Addition and/or Alteration	Completed	Sep 30, 2020	
Administrative Permit	AP-2020-002419		Certificate of Occupancy (CO) (may include LO)	Draft	Sep 29, 2020	No Contractor
Commercial Building Permit	CP-2020-001292	1400 JOHN F KENNEDY BLVD RM 796, Philadelphia, PA 19107-3365	Commercial - Addition and/or Alteration	Draft	Sep 25, 2020	No Contractor
Administrative Permit	AP-2020-002418		Certificate of Occupancy (CO) (may include LO)	Draft	Sep 24, 2020	No Contractor
Commercial Building Permit	CP-2020-001291		Commercial - Addition and/or Alteration	Draft	Sep 24, 2020	
Commercial Building Permit	CP-2020-001236	1400 JOHN F KENNEDY BLVD RM 796, Philadelphia, PA 19107-3365	Commercial - Addition and/or Alteration	In Review	Jul 6, 2020	No Contractor
Commercial Building Permit	CP-2020-001206	1006 CHANDLER ST, Philadelphia,	Commercial - Office - Addition	Issued	Jun 1, 2020	Request

Subcontractors

Step 3: On the *permit details* page click the 'Subcontractors' tab.

Step 4: Click on the 'Select Subcontractors' tab. **Note:** Click on the blue dot for helpful information.

Commercial Building Permit CP-2020-001226 (Issued)

Status: Issued Application Date: Jun 24, 2020
Issue Date: Oct 1, 2020
Completed Date:
Expiration Date: Apr 1, 2021

Description: Commercial - Addition and/or Alteration

Details Reviews Inspections Project Activity Contractors **Subcontractors** Manage Permit Notifications Documents

List all subcontractors **OTHER THAN** Mechanical, Electrical, Plumbing, or Fire Suppression Contractors licensed in Philadelphia retained to perform the work (or portions of the work) on this permit application. Subcontractors must also maintain a City of Philadelphia Contractor's License.

+ Select Subcontractors ? ←

Subcontractor Name

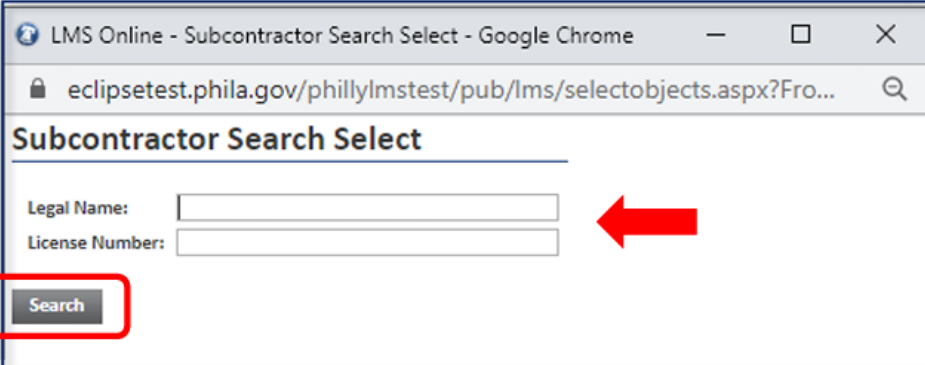
Save

Subcontractors

Step 5: In the pop-up window, enter the 'Legal Name' or 'License Number' in the appropriate boxes.

Note: If you cannot find the subcontractor you are looking for by searching their legal name, either reach out to them and get their license number or try searching for the owner of the company.

Step 6: Click the 'Search' button.



The screenshot shows a web browser window titled "LMS Online - Subcontractor Search Select - Google Chrome". The address bar displays the URL "eclipsetest.phila.gov/phillylmstest/pub/lms/selectobjects.aspx?Fro...". The page content includes the heading "Subcontractor Search Select" and two input fields: "Legal Name:" and "License Number:". A red arrow points to the "Legal Name" input field. Below the input fields is a "Search" button, which is highlighted with a red rectangular box.

Subcontractors

Step 7: Check the box next to the applicable subcontractor and click on 'Select'.

Note: The selected subcontractor will appear on the permit details page.

Note: Repeat the steps to add additional subcontractors on this permit.

Note: To remove a subcontractor, click on the red 'X' button.

Step 8: Once all subcontractors are listed, click on the 'Save' button.

Details Reviews Inspections Project Activity Contractors Subcontractors Manage Permit Notifications Documents

List all subcontractors **OTHER THAN** Mechanical, Electrical, Plumbing, or Fire Suppression Contractors licensed in Philadelphia retained to perform the work (or portions of the work) on this permit application. Subcontractors must also maintain a City of Philadelphia Contractor's License.

+ Select Subcontractors ?

Subcontractor Name

ABC contracting
Phone: (123)456-7890, License #12345

X

Save



Worker Safety Training

A-1001.4 Worker training requirements: ²⁷⁶

1. In order to protect public safety, all workers performing duties at a construction or demolition site, regardless of their position, shall have completed a course of OSHA 10 training, and carry the card at all times.
2. All independent contractors working at a demolition site shall be licensed in accordance with Chapter 9-1000 of The Philadelphia Code.
3. The worker training requirements of this Section shall apply only to persons performing construction or demolition activities for which a permit must be obtained, and do not apply to delivery persons, design professionals and their staff, special inspectors and similar persons performing duties at a construction or demolition site whose work is not considered construction or demolition work regulated by a permit.
4. A licensed contractor who employs any such worker shall maintain a copy of such written proof for each worker under his/her employ on file and make it available to the Department upon request.

A-1001.5 Site Safety Manager: ²⁷⁷ A Site Safety Manager with OSHA 30 training must be designated by the general contractor and present during the construction or demolition of a Major Building.






License Investigations

Insurance

§ 9-1004. Contractors. (5) *Insurance Requirements.*

- (a) All Contractors licensed under this Section shall maintain, at a minimum, the following types and amounts of insurance:
- (.1) **workers' compensation** where applicable: statutory limits;
 - (.2) comprehensive **general liability insurance**: in an amount determined by the Law Department and the Risk Manager;
 - (.3) products and completed operations, and/or errors and omissions: in an amount determined by the Law Department and the Risk Manager; and
 - (.4) **motor vehicle liability insurance**: in an amount determined by the Risk Manager.
- (b) Copies of insurance certificates shall be submitted to the Department to show proof of insurance coverage before a license will be issued.
- (c) **Failure to maintain proper insurance, and to provide proof of continued coverage by submitting renewal certificates to the Department, will result in the revocation or non-renewal of the license.**
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License Investigations

Cooperation and Response to Inquiries

§ 9-1004. Contractors


(6) Required Conduct.

(i) Contractors shall cooperate in any audit or investigation by the Department, or other city or law enforcement agency, into the activities at any job site at which the contractor has performed work, and shall provide prompt, accurate and complete responses to inquiries by the Department and other appropriate agencies





License Violations

- Every contractor violation observed by my unit results in a License of Notice Violation and a fine of at least \$1,000 per violation.
 - Those violations can be appealed to the Board of L&I Review.
 - Violations result in a bill and, eventually, Municipal Court Enforcement
 - Permit Hold – The Department has the right to hold issuance of new permits to Contractors that have unpaid fees or fines
- 



Licensing Violation Notices

- **License Violation Notice (LVN)**- The Notice issued when AIU determines that a contractor has violated the conditions of their license
 - Cites violations of Title 9, rather than Title 4 (like most other L&I violations)
 - Is issued to the responsible party's license, not to the property
 - Does not trigger reinspection
 - Does not “stay open” until an inspector has determined that it has been corrected, like a Title 4 violation.
 - Results in a fine even if the contractor corrects the behavior
 - Can be appealed to the Board of L&I Review, just like other violations
 - If no appeal is taken, we issue a bill for the fine amount 35 days later





✕ Licensing Violation Notice

L&I File Number: CF-2021-087

RESPONSIBLE PARTY [REDACTED]		V7 	DISTRICT OFFICE Audits and Investigations Unit SUITE 502 2401 Walnut St Philadelphia, PA 19103 215-686-2499 AIU@phila.gov		
CITED LICENSE: [REDACTED]		DATE OF NOTICE 09/11/2021			
PROPERTY WHERE VIOLATIONS OBSERVED: [REDACTED] PLEASANT ST, Philadelphia, PA 19119-2143					
On 09/10/2021 the Department of Licenses and Inspections determined that the responsible party named above violated the licensing requirements set forth in the Title 9 of the Philadelphia Code.					
VIOLATIONS	PHILA. CODE §	PHILA. CODE LANGUAGE	DESCRIPTION OF VIOLATION	LOCATION	FINE TO BE IMPOSED
	9-1004.6	(6) Required Conduct.	[REDACTED] for failure to obtain a ROW permit prior to commencing demolition work is an infraction of 9-1004.6(b) & 9-1004.6(f)	Pleasant	\$1,000.00
		(b) A Contractor must secure all required permits prior to commencement of any construction.			
		(f) Contractors shall comply with all provisions of The Philadelphia Code.			

! In accordance with §§ 9-105, each violation of §9-1000 or §9-1300 results in a fine of \$300, except for violations of §§ 9-1004 (excluding subsection 8) and §§ 9-1306, which each result in a fine of \$1,000, and violations of §§ 9-1004(8), which each result in a fine of \$2,000. Repeated violations of Title 9 shall result in the suspension or revocation of the cited license, in addition to further fines.

If this Notice is not appealed, the fine will be imposed in 30 days and a bill will be issued. For the violations referenced above, the fine to be imposed is:
\$1,000.00



✕ Licensing Violation Notice

L&I File Number: CF-2021-087

i You have the right to appeal this Notice of Violation within 30 days of the date of notice listed at the top of this notice. Appeals must be submitted in writing on the approved form to the Boards Administration Unit. The form may be downloaded from the L-I website and/or found at www.phila.gov/li

If you do not timely file an appeal then you waive your right to challenge any part of this notice. This includes whether the violations existed, whether you were responsible for the violations, and whether the City can impose any fines, fees, or costs against you, inclusive of the above indicated fines.

Repeated failure to meet the standards required under the Philadelphia Code may lead to a suspension or revocation of your license(s) under Philadelphia Code Sections 9-1004(9) and/or 19-2602.

Additionally, failure to timely appeal this notice will result in the immediate/automatic imposition of the fine thirty-one days after the date of this notice. Once imposed the fines may limit your ability to obtain or renew any permits and/or licenses pursuant to Philadelphia Code Section 9-101(9).

i The Philadelphia Code may be found online for free at www.phila.gov under "Open government."

ATTENTION: This is an important notice! For information in your language, call 215-686-8686
ATENCIÓN: Este es un aviso importante! Para recibir información en su idioma, llame al 215-686-8686
注意: 这是重要通知! 如果您需要以您的语言获得此信息, 请致电 215-686-8686
CHÚ Ý: Đây là thông báo quan trọng! Nếu bạn cần thư này bằng ngôn ngữ khác, vui lòng gọi 215-686-8686
주의: 중요 통지입니다! 이 서신을 귀하의 언어로 받기 위해서는 215-686-8686번으로 전화하십시오
کریں گال پر 215-686-8686 کے خدمات کی ترجمے اے نامہ اطلاع ضروری ایک یہ: فرمائی توجہ
ATTENTION: Cet avis est important! Si vous avez besoin de cet avis dans une autre langue, appelez le 215-686-8686



License Suspension

- The Code authorizes suspension/revocation for a number of reasons set forth in 9-1004(9), including:
 - fraud or deceit in obtaining or renewing a license or permit;
 - repeated failure to comply with the provisions of The Philadelphia Code;
 - failure to pay any fine imposed for a violation of any provision of 9-1004
 - willful violation of a stop work order;
 - fraud or deceit in responding to a Department audit or investigation
 - violating the Philadelphia Code in a manner that creates a significant dangerous condition or significant risk to public safety





Thank You

General Questions: AIU@phila.gov