

CAL POLY HUMBOLDT

TABLE OF CONTENTS

Gutswurrak & Student Activities Center Roof Restoration

VARIOUS PROJECTS

Bid Number:PW23-2
Bid Opening Date: Tuesday, May 16, 2023
Bid Opening Time: 3:00 p.m.

CONTENTS

Exhibit A	Notice to Contractors
Exhibit B	Bid Proposal Form
Exhibit C	Contract General Conditions
Exhibit D	Supplementary General Conditions
Exhibit E	Contract Special Conditions
Exhibit F	Permitted Drawings
Exhibit G	Project Manual
Exhibit H	Construction Laydown Area Map
Exhibit I	Sample Forms
Exhibit J	Prevailing Wage Rates
Exhibit K	Asbestos Data Report

**IFB #PW23-2, EXHIBIT A
NOTICE TO CONTRACTORS**

**Student Health and Counseling Building & Gutswurrak Student Activities Center Roof
Restoration, Various Projects
Cal Poly Humboldt
1 Harpst Street, Arcata, CA 95521-8299**

The Trustees of the California State University will receive bid proposals by email only to procure@humboldt.edu, for Invitation for Bid (IFB) # PW23-2, for the Cal Poly Humboldt. The email subject must state it is your bid proposal for IFB No. PW23-2. Bid Proposal Packages will be received by email until 3:00 p.m. on Thursday, May 4th, 2023, in accordance with the contract documents, at which time the proposals will be publicly opened and read via Zoom meeting. This Zoom meeting information will be posted at <https://procurement.humboldt.edu/bids/construction>.

In general, the work consists of providing all labor, equipment, and materials necessary to complete the Cal Poly Humboldt Student Health & Counseling (Building 042) and Gutswurrak Student Activities Center (Building 045) Roof Restoration Project including the demolition of the existing roof surface (GSAC only), removal of ballast rock (GSAC only); installation of new roof surface, installation of fluid applied roofing products, installation of roof walk pads as described within the drawings and technical documents, and other information included herein. The basis of design for this project is Garland Roofing Products, or approved equal. See specification section 07563 Fluid Applied Roofing Restoration. Any alternative products need to be approved in the form of a question to Contracts & Procurement and a corresponding response in an addendum.

An optional pre-bid meeting and walkthrough has been scheduled for Tuesday, April 25th, 2023, at 10:00 a.m. Interested bidders should assemble Cal Poly Humboldt Student Health & Counseling (Building 042) located on the Cal Poly Humboldt campus at the following street address: 280 Plaza Mall, Arcata, CA 95521. Perspective bidders will meet at the south entrance to the Student Health Center. It is strongly recommended that contractors attend this walkthrough for estimating purposes. Additional field visits will need to be scheduled with Cal Poly Humboldt Project Supervisor Scott Harris at 707-826-5904 or scott.harris@humboldt.edu.

Each bidder offering a proposal must comply with bidding provisions of Article 2.00 *et seq.* in the Contract General Conditions, and should be familiar with all the provisions of the Contract General Conditions and Supplementary General Conditions.

The Trustees require the successful bidder to achieve three percent (3%) DVBE participation in contracting construction projects as established in the bidding documents, and bidders shall identify the DVBEs to be used to satisfy this requirement in their bids. For bid evaluation purposes only, the Trustees is granting a DVBE bid incentive as described in Exhibit C, Contract General Conditions for Design-Build Minor Projects, Section 2.11.g. Bidders shall contact the Trustees' DVBE Coordinator at Addie.Dunaway@humboldt.edu.

This project is a public works project and is subject to prevailing wage rate laws (Contract General Conditions, Article 4.02). All contractors and all tiers of subcontractors who will work on this project shall register to bid and work on public works projects with the Dept. of Industrial Relations, and maintain current this registration pursuant to Labor Code section 1725.5. For more information, go to <http://www.dir.ca.gov/Public-Works/PublicWorks.html>.

It will be the responsibility of each bidder to fulfill requirements within this IFB. Bids will be accepted only from contractors licensed in the State of California with a B- General Contractor or applicable C-39 Roofing Contractor and registered with the DIR to bid public works projects.

The IFB documents are posted and can be viewed at <https://procurement.humboldt.edu/bids/construction>. Any questions should be made in writing to Pyper Daniels at Pyper.Daniels@humboldt.edu or Addie Dunaway at Addie.Dunaway@humboldt.edu before 4:00 p.m. on Thursday, April 27, 2023.

**IFB #PW23-2, EXHIBIT B
BID PROPOSAL FORM FOR DESIGN-BID-BUILD PROJECT**

**Student Health and Counseling Building & Gutswurrak Student Activities Center Roof
Restoration, Various Projects
Cal Poly Humboldt
1 Harpst Street, Arcata, CA 95521**

To the Trustees of the California State University, on behalf of the State of California (hereinafter called the Trustees):

The undersigned bidder hereby offers, in the lump sum amount stated below, to furnish all labor, materials, tools, equipment, apparatus, facilities, transportation, and permits for Gutswurrack & Student Activities Center Roof Restoration, at Cal Poly Humboldt, and hereby agrees to enter into contract for Gutswurrack & Student Activities Center Roof Restoration, various projects, if this offer is accepted by the Trustees.

TOTAL AMOUNT OF BASE BID: \$ _____ LUMP SUM
(Use figures only)

The above amount is to be stated in figures only and is the total amount bid for the entire contract work including all applicable taxes. Any alteration, erasure, or change must be clearly indicated and initialed by the bidder. The bidder agrees that if there are any discrepancies or questions in the figures, the Trustees will use the lower figure despite the bidder's intent. The Trustees reserve the right to reject any and all bids and to waive any irregularities.

BASIS OF AWARD

(CA PCC 10780.5(a)) The lowest bid for this public works contract shall be based on the Base Bid price. A responsible bidder who submitted the lowest bid as determined by this section shall be awarded the contract, if it is awarded. Refer to Specification Section 01 03 00 Bid Alternates.

SPECIFY THE NUMBER OF EACH ADDENDUM YOU HAVE RECEIVED ON THE LINE BELOW.

The bid is subject to the provisions contained in the Contract General Conditions (note especially Article 2.00 *et seq.* regarding instructions to bidders), and the bidder agrees that failure to comply with the conditions thereof shall be basis for rejection of this bid.

Five Percent Small Business Preference

The undersigned bidder is hereby requesting the five percent Small Business Preference. To receive the five percent bid advantage, Bidder must submit with its bid a completed "Small Business Preference and Certification" form 701.09, and also indicate its intent by checking the appropriate response below:

By checking the appropriate box below, Bidder is requesting the five percent Small Business Preference, as either a:

- 1) CA certified Small Business upon verification in accordance with the CA Code of Regulations, Title 2, Section 1896.2, having applied for certification no later than 5:00 p.m. on bid opening date, or Yes No
- 2) Non-small business that commits to subcontracting at least 25% of its net bid price to CA certified small businesses and/or microbusinesses. Yes No

If Proposer checks one of the boxes above, and submits the completed Small Business Preference and Certification form 701.09, the Trustees will grant a bid preference of 5% of the lowest responsive bidder's bid. Reference the Contract General Conditions and Supplementary General Conditions for Design-Bid-Build Project, Article 2.12, Small Business Five Percent Bid Advantage.

DVBE Participation / Request for DVBE Bid Incentive

The Trustees require the successful bidder to achieve three percent (3%) DVBE participation in contracting construction projects as established in the bidding documents. Bidder will list its DVBE subcontractors/suppliers with its bid. Bidders shall contact the Trustees' DVBE Program Advocate at Addie.Dunaway@humboldt.edu.

The Trustees are granting a DVBE Bid Incentive, for bid evaluation purposes only, in accordance with the Contract General Conditions (for Design-Bid-Build Major Projects, Article 2.13, and for Design-Bid-Build Minor Projects, Article 2.11). Bidder shall indicate whether or not Bidder is requesting the DVBE Bid Incentive by checking the appropriate response

below. Bidder commits to subcontract at least the percentage of DVBE participation of its net bid price as stated hereon with one or more DVBE(s).

DVBE Participation	Incentive
3.00% to 3.99%	None
4.00% to 4.99%	1%
5.00% to 5.99%	2%
6.00% or more	3%

Bidder is requesting the DVBE Bid Incentive (check one): Yes No

Bidder shall indicate its Total DVBE Participation Percentage Commitment in the spaces below:

3% Mandatory + _____% DVBE Incentive = _____% Total DVBE Participation Percentage Commitment

Bidder must submit its bid on this Bid Proposal Form, completely filled out and emailed to procure@humboldt.edu before 3:00 p.m. on Thursday, May 4, 2023, or it will be disregarded. The Trustees will only accept bids from prequalified contractors with current California State License Board-issued B- General Contractor or applicable C-39 Roofing Contractor and current California Department of Industrial Relations Public Works Registration number.

Bidder shall enclose with this Proposal Form bidder's security in the amount equal to at least ten (10) percent of the amount of bid in accordance with the Contract General Conditions (for Design-Bid-Build Major Projects, Article 2.06-c, and for Design-Bid-Build Minor Projects, Article 2.04-c). If the Trustees award a contract to the Bidder, and Bidder then fails to execute the contract, Bidder shall forfeit its bidder's security to the State.

The work on this project shall begin as soon as a contract is fully executed, and a Notice to Proceed has been issued, with Preferred Completion date of Sunday, October 1, 2023. If work is started and/or completed after May 15, 2023, daily work start times shall be after 9:00 a.m. Total Completion is required by Friday, November 3, 2023. Fee Scheduling will be made and agreed upon by both parties once the contract is issued **successful Bidder to work with the University to establish an installation schedule with a substantial completion not later than Sunday, October 1, 2023.** Liquidated damages of \$1000/day are prescribed for the project.

-End of Bid Proposal Form for Design-Bid-Build Project-

CONTRACT GENERAL CONDITIONS FOR DESIGN-BID-BUILD MINOR PROJECTS



THE CALIFORNIA STATE UNIVERSITY

Prepared by:
OFFICE OF THE CHANCELLOR
CAPITAL PLANNING, DESIGN AND CONSTRUCTION

(www.calstate.edu/cpdc)

Revised January 2023

Contract General Conditions for Design-Bid-Build Minor Projects Revisions Made Since Last Major Update:	
Article No.	Revision Description
2.10-b	Small Business. Edited 2.10-b (1) (a), Clarified basis of preference.
2.11, 2.11-i, 2.11-j	DVBE Participation Requirement and Incentive. Added language to address bill updates, as well as updates specifying on what value the % participation is based. (per enactment of AB230 and SB588).
4.03-h	Buy Clean California Act. Section includes an updated link for the EPD intake form and an edited table for materials and maximum acceptable GWP limits, and an updated link for submittals to the Trustees. (per enactment of AB137).

**CONTRACT GENERAL CONDITIONS
FOR DESIGN-BID-BUILD MINOR PROJECTS**

TABLE OF CONTENTS

1.00 DEFINITIONS..... 1

2.00 BIDDING..... 2

2.01 License and Public Works Registration..... 2

2.02 Necessity for Careful Examination of Site, Plans and Specifications 3

2.03 Clarification during Bidding 3

2.04 Bidding Documents..... 3

2.05 Bid Proposals 5

2.06 Competitive Bidding 5

2.07 Mistake in Bid 5

2.08 Failure to be a Responsible Bidder..... 6

2.09 California Company; Reciprocal Preference against Nonresident Contractors;
Certification 6

2.10 Small Business Five Percent Bid Advantage..... 6

2.11 Disabled Veteran Business Enterprise Participation Requirement and Incentive 7

3.00 AWARD AND EXECUTION OF CONTRACT 10

3.01 Award of Contract..... 10

3.02 Return of Bidder’s Security..... 10

3.03 Contract Bonds..... 10

3.04 Execution of Contract 11

3.05 Failure or Refusal to Execute Contract..... 11

4.00 CONDUCT OF THE WORK 11

4.01 Laws to be Observed--Generally..... 11

4.02 Laws to be Observed--Regarding Labor..... 12

4.03 Environmental Requirements 16

4.04 Substitution of Subcontractors..... 18

4.05 Delegation of Performance and Assignment of Money Earned..... 19

4.06 Insurance Requirements 19

4.07 Indemnification 21

4.08 Contractor’s Responsibility for the Work..... 22

4.09 Payments by Contractor 24

4.10 Responsibility to Secure and Pay for Permits, Licenses, Utility Connections, Etc 24

4.11 Patented or Copyrighted Materials 24

4.12 Property Rights in Materials and Equipment..... 25

4.13 Taxes..... 25

4.14 Contract Time 25

4.15 Schedule..... 26

4.16 Labor Force and Superintendent..... 26

4.17 Limitation of Construction Operations 26

4.18 Coordination with Other Work..... 26

4.19 Drawings Reflecting Actual Construction 27

4.20 Access for Inspection 27

4.21 Cleanup of Project and Site 27

**CONTRACT GENERAL CONDITIONS
FOR DESIGN-BID-BUILD MINOR PROJECTS**

TABLE OF CONTENTS

5.00 INTERPRETATION OF AND ADHERENCE TO CONTRACT REQUIREMENTS..... 27

5.01 Interpretation of Contract Requirements 27

5.02 Issuance of Interpretations, Clarifications, Additional Instructions 28

5.03 Product and Reference Standards 28

5.04 Shop Drawings, Samples, Alternatives or Equals, Substitutions 28

5.05 Quality of Materials, Articles and Equipment 29

5.06 Testing Materials, Articles, Equipment and Work..... 29

5.07 Rejection 30

5.08 Responsibility of Quality..... 30

6.00 CHANGES IN THE WORK..... 30

6.01 Change Orders 30

6.02 Emergency Changes..... 34

7.00 CLAIMS AND DAMAGES 34

7.01 Claims 34

7.02 Delay in Completion--Liquidated Damages 36

7.03 Failure to Meet Terms of Contract 36

7.04 Third-Party Claims..... 36

8.00 PAYMENT AND COMPLETION 37

8.01 Acceptance..... 37

8.02 Partial Payments..... 37

8.03 Stop Payment Notices 37

8.04 Payment 37

8.05 Guarantee 38

8.06 Contractor Evaluation 38

9.00 MISCELLANEOUS 38

9.01 Governing Law 38

9.02 Successors and Assigns..... 38

9.03 Rights and Remedies..... 38

9.04 Waiver..... 39

9.05 Survival..... 39

9.06 Complete Contract 39

9.07 Severability of Provisions 39

9.08 Notices 39

9.09 Counterparts..... 39

CONTRACT GENERAL CONDITIONS FOR DESIGN-BID-BUILD MINOR PROJECTS

1.00 - DEFINITIONS

Acceptance - When the Project is complete in all respects in accordance with the Plans and Specifications, and the Contract has been otherwise fully performed by the Contractor, to the full satisfaction of the Trustees, the Trustees will accept the Project as complete.

Addendum - A document issued by the University during the bidding period that modifies or supersedes portions of the Contract Documents.

Agreement - A form executed by both the Contractor and the Trustees, that provides the Work will be done in accordance with the Contract Documents, as approved and on file with the Trustees and as incorporated into the Contract Documents by reference.

Allowance - Allowances are allocations of the Contract Amount to portions of the Work that could not be specified sufficiently for competitive bidding.

Architect - The person or organization, including the authorized representatives thereof, commissioned by the University for the design of the Project. For projects on which an engineer or landscape architect is commissioned instead of an architect, the term "Architect" shall mean the design professional so commissioned for the Project.

Bid Date - The day on which bid proposals for a project are opened.

Bidder - Any individual or business entity acting directly or through an authorized representative that submits a proposal for the Work.

Business Day - Calendar Day excluding Saturdays, Sundays, national holidays or state holidays; same as Working Day.

Campus - The California State University campus on which the Project is located.

Capital Planning, Design and Construction (CPDC) - A department within Business and Finance, a division in the Office of the Chancellor of The California State University, responsible for all major capital outlay projects.

Change Order - A written agreement entered into after the award of the Contract that alters or amends the executed Contract.

Construction Administrator - The person delegated by the Trustees to manage the construction phase of the Project and authorized to approve changes to the Contract.

Construction Documents - The Contract General Conditions, Plans, Specifications, and Addenda related to the bidding and construction of the Project.

Construction Inspector - The Inspector on the Project Site who receives administrative direction from the University.

Construction Schedule - The Contractor's time use plan for completing the Work within the Contract Time.

Contract - The Contract Documents which collectively represent the entire agreement between the University and the Contractor, and which supersede any prior negotiations, representations, or agreements either written or oral.

Contract Amount - The amount of compensation stated in the Agreement for the performance of the Work, as adjusted by Change Order.

Contract Documents - The Bid Proposal Form, Notice to Contractors, Plans, Specifications, Addenda, Agreement, Bonds, Contract General Conditions, Supplementary General Conditions, Special Conditions, Change Orders, and any other documents so designated by the Trustees.

Contract Time - The period of time, set out in calendar Days, established in the Contract Documents within which the Work must be completed. The Contract Time may be adjusted by time extensions through Change Orders.

Contractor - The individual or business entity that has entered into this Agreement with the University.

Day - Unless otherwise indicated herein, day is a calendar day.

Executive Facilities Officer - University official who oversees the capital outlay process.

Field Instruction - A written order from the University to the Contractor, signed by the Construction Administrator.

Plans - The drawings which include elevations, sections, details, material and equipment schedules, diagrams, information, notes, or reproductions or any of these, and which show the location, character, dimension, or details of the Work.

Prevailing Wages - The general prevailing rate of wages identified by the Director of the Department of Industrial Relations of the State of California pursuant to section 1770 of the Labor Code.

Progress Schedule - The periodically updated Construction Schedule that reflects the actual progress of the Work and impacts on the Work thereby maintaining a current projected date of completion. Impacts on the Work include, but are not limited to, anticipated delays, re-sequencing of tasks, and Change Orders.

Project - The total Work required by the Contract.

Sample Forms – Many of the forms referenced herein, are available on the CPDC website.

Site - The area specified in the Contract for the Project and the area made available for the Contractor’s operation.

Specifications - The instructions and requirements which complement the plans, and which describe the manner of performing the Work or the quantities, qualities and types of materials to be furnished.

State - State of California.

Subcontractor - Contractor that is under contract to the Contractor or another subcontractor for completion of a portion(s) of the Work. **Superintendent** - The representative of the Contractor at the construction Site, who is authorized to receive instructions from the University, and who is authorized to direct the performance of the Work on behalf of the Contractor.

Supplier or Vendor - Any individual or business entity that contracts with the Contractor to provide materials or equipment.

Trustees - The Board of Trustees of the California State University and their authorized representatives who act on behalf of the Trustees. Reference Executive Facilities Officer and Construction Administrator.

University - The California State University campus upon which the Project is located and the University President and other University officers and employees acting within the scope of their duties.

Work - That which is proposed to be constructed or done under the Contract, including the furnishing of all labor, materials, and equipment.

Working Day - Day excluding Saturdays, Sundays, national holidays or state holidays; same as Business Day.

2.00 - BIDDING

2.01 License and Public Works Registration.

a. License.
No Bidder may bid on Work for which it is not properly licensed. The Trustees shall disregard any bid received from a Bidder who is not properly licensed (Business and Professions Code section 7028.15). Nor will the Trustees award a Contract to a Bidder who does not possess the appropriate contractor’s license, which is that specified in the Notice to Contractors. Bidders participating in a joint venture must individually possess a current license when submitting the joint venture bid, and the joint venture must possess a joint venture license at the time of award (Public Contract Code section 3300).

b. Public Works Registration with Department of Industrial Relations
The Trustees will only issue public works bids and award public works contracts to currently registered contractors and subcontractors on the Trustees’ public works projects. All bidders and subcontractors of all tiers must register to bid public works projects with the Department of Industrial Relations (DIR) and obtain and maintain current registration numbers (Labor Code section 1725.5). Note: DIR will assess a penalty on any public works contractor who allows its registration to lapse. DIR will also assess a penalty on any contractor who subcontracts to any contractor who is not registered with the DIR for each day the subcontractor is not registered. For more information review the DIR public works registration requirements at <https://www.dir.ca.gov/Public-Works/Contractors.html>.

The following applies to this Contract:

- A contractor will not be in violation for working on a private Project that is later determined to be public work;
- Contractor shall check the public works registration for all subcontractors that it proposes to list to ensure that each subcontractor is registered to bid public works projects with the DIR;
- An unregistered contractor or subcontractor can be replaced with one who is registered;
- A contract with an unregistered contractor or subcontractor is subject to cancellation but is not void as to past work.

c. Joint Ventures.
If two or more prospective Bidders desire to bid as a joint venture on a single project, they must file an affidavit of joint venture form [703.12](#) with the Trustees at least five (5) Days prior to the date and time set for opening bids on a form

obtained from the Trustees. The affidavit of joint venture is valid only for the specific project for which it is filed. Each party to the joint venture must be prequalified, as provided herein, at least one (1) Business Day before the time set for opening bids.

If the Trustees announce that the joint venture is the successful bidder, the joint venture shall, prior to the Trustees' award of the Contract:

- 1) obtain the joint venture license (Business and Professions Code sections 7029 and 7029.1), and
- 2) register the joint venture with the Department of Industrial Relations.

2.02 Necessity for Careful Examination of Site, Plans, and Specifications

The Bidder shall carefully examine the Site and the Plans and Specifications for the Project and shall investigate and be satisfied as to the conditions to be encountered, and shall also investigate:

- a. the character and quantity of surface and subsurface materials or obstacles to be encountered,
- b. rights of way and easements at or near the Site,
- c. the Work to be performed, and
- d. materials to be furnished and as to the requirements of the Proposal, Plans, and Specifications for the Project. Reference Article 4.10, Responsibility to Secure and Pay for Permits, Licenses, Utility Connections, Etc.

Bidder certifies that Bidder has complied with the requirements of this provision by the submission of its bid.

Any failure by the Bidder to acquaint itself with information that is available or with reasonable investigation may be available will not relieve it from responsibility to estimate properly the difficulty or cost to perform the Work. Such examination does not require independent underground soils borings unless required elsewhere.

2.03 Clarification during Bidding

The Bidder shall examine the Plans and Specifications in preparing the bid and shall report to the University any omissions, discrepancies, or errors found in the Plans and Specifications. Before the date of bid opening, the Bidder shall submit a written request for clarification to the University who may give such clarification in the form of an addendum to all Bidders if time permits. Otherwise, in estimating the cost of the Project, the Bidder shall consider that any conflicts shall be governed by Article 5.01, Interpretation of Contract Requirements.

Bidders are advised that the time for submitting a proposed product as "an equal" is no later than 35 Days after the award of contract, unless otherwise specified in the Supplementary General Conditions (Public Contract Code section 3400). Reference Article 5.04-c, Alternatives or Equals.

Only the Architect or the University Official, as identified in the Notice to Contractors, is authorized to answer questions or prepare addenda relative to the Project. Information obtained verbally from any source has no contractual authority, may not be relied upon, and shall have no standing in any event that may occur.

The Bidder is required to acknowledge each addendum on the Bid Proposal Form. Therefore, Bidder is responsible for assuring receipt of all addenda. Bidder shall confirm all addenda with designated University official one (1) Business Day prior to bid opening.

2.04 Bidding Documents

The University will identify in the Project advertisement and in the Notice to Contractors if the project is a paper submittal bid, an electronic submittal bid, or an online submittal bid. Following are forms that Bidder shall tender with its bid in either case:

- a. Bid Proposal Package.

Upon request from a Bidder, the University will furnish a bid proposal package, which when completely filled out and executed by Bidder, may be submitted as a bid. Bids not presented using the furnished bid proposal package shall be disregarded (Public Contract Code section 10764). The bid proposal package is not transferable to another Bidder and must be submitted in the same name as is used on the Bidder's license. The bid shall be irrevocable for a period of 60 Days after the date of the bid opening.

The University's bid proposal package contains a standard bid proposal form that shall be used for Bidder's proposal. Each proposal shall give the prices proposed in the manner required by the proposal and shall be signed by the Bidder or by the Bidder's duly authorized representative, with its address and telephone number. The University shall reject any proposal submitted that is not signed by the Bidder or by the Bidder's duly authorized representative.

- (1) If an individual makes the proposal, the individual's name, postal address, and telephone number must be shown.
- (2) If made by a partnership, a limited partnership, or other type of legally recognized partnership, the proposal shall have the signature of all partners, or an affidavit signed by all partners empowering one partner as an agent to act in their behalf and shall include the address and telephone number of the partnership.
- (3) A proposal submitted by a corporation, or a limited liability company (LLC), or other type of legally recognized firm shall show the name of the state in which the firm is chartered, the name of the firm, its address and telephone

number, and the title of the person who signs on behalf of the firm. The firm shall also submit a certified copy of firm's board action that identifies and authorizes the person who may sign and submit bids for the firm. The Trustees shall reject any proposal submitted that is not signed by the Bidder or by the Bidder's duly authorized representative.

b. Listing of Proposed Subcontractors.

For each proposed subcontractor that will perform Work, labor, or render services for the Bidder in excess of one-half of one percent of the Bidder's total bid, Bidder shall list on its bid proposal the following:

- subcontractor's name,
- California Contractors State License Board-issued contractor license number,
- California Department of Industrial Relations Public Works Registration number,
- the location of the place of business, and
- Bidder shall also state on its proposal the portion of Work or labor or rendition of services that each such subcontractor will do.

For each alternative, Bidder shall list any subcontractor not included in the base contract subcontractor listing.

Within 24 hours after the deadline established for the receipt of bids, or within the timeframe specified in the Supplementary General Conditions, the Bidder must submit a completed List of Subcontractors—Additional Information form, which contains more detailed information, such as complete subcontractor names, addresses, telephone numbers, license and registration numbers, etc. (Public Contract Code sections 4104, 4105 and 4106). Bidder's submittal of a correction to a listed subcontractor's contractor license number, provided that number corresponds to the listed subcontractor's name and location, is not grounds for filing a bid protest or considering the bid nonresponsive (Public Contract Code section 4104).

(1) Non-small Business Bidders Claiming the Small Business Preference.

If a Non-small Business Bidder claims the small business preference, the proposal shall list all subcontractors certified as California small businesses, and the total of these subcontracts shall be at least 25% of the total bid price, including awarded alternatives.

(2) Disabled Veteran Business Enterprises (DVBE) Participation Requirement.

Bidder is required to achieve three percent DVBE participation on this Contract and may qualify for the DVBE bid incentive if Bidder proposes sufficient additional DVBE participation in this Contract. The University will calculate the Bidder's DVBE participation on the total Project bid price, including awarded alternatives. Bidder is required to achieve at least its proposed level of participation at Contract Completion.

Bidder shall list in its bid proposal, on the List of Proposed Subcontractors form, the DVBEs participating in the bid and the dollar amount of participation by each DVBE. The total of the DVBE participation amounts that Bidder provides on the List of Proposed Subcontractors shall equal at least Bidder's proposed percentage of DVBE participation. For each alternative Bidder shall list any DVBE participating in work to be performed on the alternative. If the Trustees grant the DVBE Bid Incentive, if the total amount of DVBE participation equals at least the incentive percentage of the total bid price, including awarded alternatives.

At Contract completion, University shall compare Bidder's actual DVBE participation percentages to the percentages proposed at bid. Bidder's failure to achieve the proposed percentages may subject Bidder to penalties (as described in Article 2.13), and/or may cause the Trustees to question the bidders responsibility in future Trustees' bids.

(3) List of Subcontractors—Additional Information Form.

Bidders shall indicate on this form the dollar amount of each small business (if the Bidder claimed the non-small business bid preference) and each DVBE participating in its bid. Bidder's submittal of a correction to a listed subcontractor's contractor license number, provided that number corresponds to the listed subcontractor's name and location, is not grounds for filing a bid protest or grounds for considering the bid nonresponsive (Public Contract Code section 4104).

(4) Subcontractor Directory.

The successful Bidder shall provide and maintain current information requested on the Subcontractor Directory for all tiers of subcontractors working on the Project and shall submit the Subcontractor Directory with its signed Contract and with all payment requests. All tiers of subcontractors working on the Project shall register with the DIR in accordance with Article 2.01-b, Public Works Registration with the Department of Industrial Relations.

c. Bidder's Security.

All Bidders shall present bids under sealed cover and have enclosed an amount equal to at least 10 percent of the total amount bid, including alternatives (if additive), as bid security. Bidders may submit the bid security in one of the following forms: cashier's check, or certified check made payable to the University, or a bidder's bond. The University

shall not consider any bid unless Bidder encloses one of these forms of bid security therewith (Public Contract Code section 10765). If the bid security is a bond, a corporation authorized as an admitted surety to issue surety bonds in California, shall execute that bond, and it shall be executed on the form prescribed by the Trustees.

For bids submitted electronically or online, Bidders shall present their bidder's security in electronic form when tendering their bids, and then shall submit original bidder's security within 24 hours of bid opening, or the University will deem their bids nonresponsive.

The Trustees will not accept riders or modifications of any kind on bidder's bonds, and, if presented by Bidder, may result in Bidder's disqualification as nonresponsive. Bidder must use bond document forms approved by the Trustees without alteration.

2.05 Bid Proposals

a. Submission of Proposals.

Bidders shall submit bid proposals as instructed on the bid proposal. It is the Bidder's responsibility to see that its bid is received in the proper time and location. Delays in timely receipt of the bid caused by the United States or the University mail system, independent carriers, acts of God, electronic communication failures, or any other cause shall not excuse late receipt of a bid. The University shall return unopened any bid received after the time specified in the Notice to Contractors or in any addendum (Public Contract Code sections 4104.5 and 10766).

b. Withdrawal of Proposals.

Any bidder may withdraw its bid at any time prior to the time fixed in the public notice for the opening of bids but only by a written request from the Bidder or its authorized representative. The request shall be executed by the Bidder or its authorized representative and filed with the Trustees. A request to withdraw a bid proposal orally, either in person, or by use of telegram or telephone is not acceptable. The withdrawal of a bid shall not prejudice the right of a Bidder to file a new bid. This paragraph does not authorize the withdrawal of any bid after the time fixed in the public notice for the opening of bids (Public Contract Code section 10767).

c. Public Opening of Proposals.

Proposals will be publicly opened and read at the time and place stated in the Notice to Contractors. Bidders or their agents are invited to be present (Public Contract Code section 10780).

d. Rejection of Irregular Proposals.

The University may reject any proposal if it shows any alterations of forms, additions not called for, conditional bids, incomplete bids, erasures, or irregularities of any kind. If Bidder changes the bid amount after the amount has been once inserted, Bidder shall initial the change.

e. Power of Attorney or Agent.

When an agent signs the proposal, a power of attorney shall either be on file with the University before the opening of bids or be submitted with the proposal. Failure to submit a power of attorney may result in the rejection of the proposal as irregular and unauthorized. A power of attorney is not necessary in the case of a general partner of a partnership.

f. Waiver of Irregularities.

The University reserves the right to waive minor irregularities in proposals submitted.

2.06 Competitive Bidding

If more than one bid proposal is offered by an individual or business entity or combination thereof, under the same or different names, all such bid proposals may be rejected, or the University may accept the lowest proposal. A party who has quoted prices on materials or Work to a Bidder is not thereby disqualified from quoting prices to other Bidders, or from submitting a bid directly for the materials or Work.

All Bidders are hereby notified that any collusive agreement fixing the prices to be bid in order to control or affect the awarding of this Contract may render void any Contract awarded under such circumstances. The Bidder, by act of submitting a bid, certifies that in the preparation of the bid, no bid was received by the Bidder from a bid depository, which depository, as to any portion of the Work, prohibits, or imposes sanctions for, the obtaining by the Bidder, or the submission to the Bidder by any subcontractor or vendor or supplier of goods and services, of a bid outside the bid depository. The certification shall constitute a warranty, the falsity of which shall entitle the University to pursue any remedy authorized by law and shall include the right at the option of University of declaring any Contract made as a result thereof to be void (Business & Professions Code section 16600 *et seq.*).

2.07 Mistake in Bid

As required by Public Contract Code section 5100 *et seq.*, a Bidder shall not be relieved of a bid without consent of the Trustees nor shall any change be made in a bid because of mistakes. However, a Bidder may pursue relief of its bid in accordance with section 5100 *et seq.* of the Public Contract Code.

2.08 Failure to be a Responsible Bidder

In order to be considered for award of a Contract a Bidder must be a responsible Bidder (Public Contract Code section 10780). To be responsible, the Bidder, in the judgment of the University, must be sufficiently trustworthy and possessed of the requisite quality, fitness, capacity and experience to satisfactorily perform the Work (Public Contract Code section 1103). Should the University question Bidder's responsibility the Bidder shall be given an opportunity to rebut any evidence of non-responsibility, and to present evidence of responsibility. The hearing shall be informal, and an individual appointed by the University to hear the matter may conduct it in whole or in part in writing. A decision concerning the Bidder's responsibility shall be mailed to the Bidder within ten (10) Days of the conclusion of the hearing. Refer to Article 7.03, Failure to Meet Terms of Contract.

2.09 California Company; Reciprocal Preference against Nonresident Contractors; Certification

The University shall grant a California company a reciprocal preference as against a nonresident contractor from any state that gives or requires a preference to be given contractors from that state on its public entity construction contracts. The amount of the reciprocal preference shall be equal to the amount of the preference applied by the state of the nonresident contractor with the lowest responsive bid, except where the resident contractor is eligible for a California small business preference, in which case the preference applied shall be the greater of the two, but not both.

Each Bidder shall certify at the time of bid that the Bidder qualifies as a "California company," which means a business entity licensed in California on the date of bid opening and which is one of the following:

- a. a business entity with its prime place of business in California,
- b. an out-of-state contractor whose state does not provide a local contractor preference, or
- c. an out-of-state contractor that has paid at least \$5,000 in sales or use taxes in the immediately preceding five years.

If the Bidder does not qualify as a California company, then it shall indicate the name of the state in which its principal place of business is, and the amount of the local contractor preference in that state (Public Contract Code section 6107).

2.10 Small Business Five Percent Bid Advantage

The Trustees calculate the five percent small business preference as a percentage of the lowest responsive bidder's bid. For bid evaluation purposes only, if the lowest responsive bidder is a California certified small business, the Trustees will not calculate the five percent bid advantage for any bidders. The only bidders eligible for the DVBE incentive will be California certified small businesses.

- a. Preference for Small Businesses.

The Trustees shall give a small business bid advantage of five percent up to a maximum of \$50,000 to contracting firms that have been certified as a "Small Business" by the Office of Small Business & DVBE Services, in the Procurement Division of the Department of General Services. Reference Government Code section 14835 *et seq.*, and California Code of Regulations, Title 2, section 1896 *et seq.* To receive the five percent advantage, certified small businesses shall:

- (1) Submit with the bid proposal a completed "Request for Small Business Five Percent Preference Certification" form 701.09,
- (2) Be certified Small Business upon verification in accordance with California Code of Regulations, Title 2, section 1896.2, having applied for certification no later than 5:00 PM on bid date,
- (3) Submit a timely and responsive bid,
- (4) Be determined to be a responsible Bidder.

- b. Preference for Non-small Businesses.

The application of the five percent small business bidding preference is also extended to any non-small business that commits to subcontracting at least 25% of its net bid price to California certified small businesses and/or microbusinesses. To receive this preference the non-small business must satisfy the following criteria:

- (1) Preference.
 - (a) Indicate in its bid proposal its commitment to subcontract at least 25% of its total initial contract value with one or more small businesses [submit the Request for Small Business Bidding Preference form 701.09],
 - (b) Submit a timely and responsive bid,
 - (c) Be determined to be a responsible Bidder,
 - (d) Submit the California certified small businesses on the List of Proposed Subcontractors form 701.04, that is provided in the bid documents, and
 - (e) Submit a List of Subcontractors – Additional Information form 701.04A within 24 hours after the deadline for receipt of bids, and specify the dollar amount of each small business subcontractor's bid thereon.

- (2) Failure to Subcontract with Listed Small Businesses.

Failure of the non-small business contractor to subcontract with the small businesses listed on its bid, or follow the substitution provisions identified in Article 4.04-b, may be grounds for the Department of General Services to impose sanctions pursuant to Government Code section 14842.5 and California Code of Regulations

section 1896.16. In the event such sanctions are to be imposed, the contractor shall be notified in writing and entitled to a hearing pursuant to California Code of Regulations, sections 1896.18 and 1896.20.

c. Trustees' Reporting of Small Business Participation.

Responsive to direction from the State Legislature, the Trustees are seeking to report increased statewide participation of certified small businesses in contract awards. To this end, the successful Bidder shall inform the University of any contractual arrangements with subcontractors, consultants or suppliers that are certified small businesses.

2.11 Disabled Veteran Business Enterprise Participation Requirement and Incentive

California state law requires that its state agencies achieve three (3) percent participation for disabled veteran business enterprises (DVBE) in state contracts. Failure of Contractor to achieve three (3) percent DVBE participation on this Project will cause the Trustees to assess a penalty in accordance with the Contract Documents. The Contractor shall comply with rules, regulations, ordinances, and statutes that apply to the California Disabled Veteran Business Enterprise Program as defined in Section 999 of the Military and Veterans Code, including, but not limited to, the requirements of subdivision (d) of Section 999.5 of the Military and Veterans Code.

The successful Proposer understands and agrees that the DVBEs identified on the list of subcontractors may only be replaced by another DVBE, and that the Trustees and the Department of General Services (DGS) must approve the substitution. DVBE subcontractors may only be awarded work if they are the lowest responsive bidder. The Contractor may not assign points or use "bid leveling" to award trade packages to DVBEs that are not the lowest responsible bidder. Trustees will document changes to the scope of Work that impact the DVBEs identified in the GMP by Contract Change Order, and will provide their decision on DVBE substitutions in writing via the subcontractor substitution process per Public Contract Code section 4100. DVBE suppliers, manufacturers, service providers, and other DVBEs that are not licensed contractors will also be listed on the expanded list of subcontractors so that the full DVBE participation is accounted for.

Failure of Contractor to seek substitution and adhere to the DVBE participation level identified in its Proposal may be cause for Contract termination, recovery of damages under rights and remedies due the State, and penalties as outlined in Military and Veterans Code section 999.9, Public Contract Code section 10115.10 or section 4110, and California Code of Regulations, section 1896.73. In accordance with section 999.5 of the Military and Veterans Code, a person or entity that knowingly provides false information shall be subject to a civil penalty for each violation in the minimum amount of two thousand five hundred dollars (\$2,500) and the maximum amount of twenty-five thousand dollars (\$25,000).

a. Special Definitions

- (1) "Disabled veteran" as used herein, means a veteran of the military, naval or air service of the United States, including, but not limited to, the Philippine Commonwealth Army, the Regular Scouts, "New Scouts," and who has at least a ten (10) percent service-connected disability and who is domiciled in the State of California.
- (2) "Disabled veteran business enterprise contractor, subcontractor, or supplier" means a person or entity that has been certified by the Office of Small Business & DVBE Services and that performs a "commercially useful function," as defined below, in providing services or goods that contribute to the fulfillment of the contract requirements.
 - (a) A person or an entity is deemed to perform a "commercially useful function" if a person or entity does all of the following:
 - (i) is responsible for the execution of a distinct element of the Work of the contract;
 - (ii) carries out the obligation by actually performing, managing, or supervising the Work involved;
 - (iii) performs Work that is normal for its business services and functions.
 - (iv) is responsible, with respect to products, inventories, materials, and supplies required for the Contract, for negotiating price, determining quality and quantity, ordering, installing, if applicable, and making payment; and
 - (v) is not further subcontracting a portion of the Work that is greater than that expected to be subcontracted by normal industry practices.
 - (b) A contractor, subcontractor, or supplier will not be considered to perform a "commercially useful function" if the contractor's, subcontractor's, or supplier's role is limited to that of an extra participant in a transaction, contract, or Project through which funds are passed in order to obtain the appearance of disabled veteran business enterprise participation.
 - (c) Equipment Brokers
 - (i) A DVBE that rents equipment to the Trustees shall be deemed an equipment broker, unless one or more disabled veterans have 51-percent ownership of the quantity and the value of each piece of equipment. If the equipment is owned by one or more disabled veterans, each disabled veteran owner shall, prior to performance under any contract, submit to the Trustees a declaration signed by the disabled veteran owner stating that the owner is a disabled veteran and providing the name, address, telephone number, and tax identification number of the disabled veteran owner.

- (ii) A DVBE that rents equipment to the Trustees shall, prior to performing the contract, submit to the Trustees a declaration signed by each disabled veteran owner and manager of the enterprise stating that the enterprise obtained the contract by representing that the enterprise was a DVBE meeting and maintaining all of the requirements of a DVBE. The declaration shall include the name, address, telephone number, and tax identification number of the owner of each piece of equipment identified in the contract.
 - (iii) State funds expended for equipment rented from equipment brokers pursuant to contracts awarded under this section shall not be credited toward the DVBE participation requirement.
 - (iv) A DVBE that is a broker or agent and that obtains a contract pursuant to these provisions shall, prior to performing the contract, disclose to the Trustees that the business is a broker or agent. The disclosure shall be made in a declaration signed and executed by each disabled veteran owner and manager of the enterprise, declaring that the enterprise is a broker or agent, and identifying the name, address, and telephone number of the principal for whom the enterprise is acting as a broker or agent.
- (3) (a) DVBE as used herein, means a business concern certified by the Office of Small Business & DVBE Services as meeting all of the following:
- (i) The business is:
 - at least 51 percent owned by one or more disabled veterans or, in the case of a publicly owned business, at least 51 percent of its stock is unconditionally owned by one or more disabled veterans;
 - a subsidiary that is wholly owned by a parent corporation, but only if at least 51 percent of the voting stock of the parent corporation is unconditionally owned by one or more disabled veterans; or
 - a joint venture in which at least 51 percent of the joint venture's management, control, and earnings are held by one or more disabled veterans.
 - (ii) The business is one or more disabled veterans who manage and control the daily business operations. The disabled veterans who exercise management and control are not required to be the same disabled veterans as the owners of the business.
 - (iii) The business is a sole proprietorship, corporation, or partnership with its home office located in the United States, which is not a branch or subsidiary of a foreign corporation, foreign firm or other foreign-based business.
- (b) Notwithstanding subdivision (3)(a), after the death or the certification of a permanent medical disability of a disabled veteran who is a majority owner of a business that qualified as a DVBE prior to that death or certification of a permanent disability, that business shall be deemed to be a DVBE for a period not to exceed three years after the date of that death or certification of a permanent medical disability, if the business is inherited or controlled by the spouse or child of that majority owner, or by both of those persons. A business is a DVBE pursuant to this subdivision under either of the following circumstances:
- (i) for the duration of any contract entered into prior to the death or certification of permanent medical disability for the sole purpose of fulfilling the requirements of that contract;
 - (ii) after the date of the majority owner's death or certification of permanent medical disability established by this subdivision for the sole purpose of providing sufficient time to make orderly and equitable arrangements for the disposition of the business, except that the business shall not enter into any new contract as a DVBE for purposes of the program if the contract would not be completed within the three-year period.
- b. Participation Requirement.
In order to satisfy and be responsive to this requirement, the Bidder must meet the three (3) percent DVBE Participation requirement, which is attained when:
- (1) the Bidder is not a DVBE and is committed to use DVBE subcontractors/suppliers for not less than three (3) percent of the Contract dollar amount (including alternatives); or
 - (2) the Bidder is a DVBE and is committed to performing not less than three (3) percent of the Contract dollar amount (including alternatives) with its own forces or in combination with those of other DVBEs.
- c. Documentation Requirements.
The Bidder must document its satisfaction of the DVBE participation requirement. Final determination of DVBE Participation by the Bidder shall be at the Trustees' sole discretion.
- (1) Required Documentation.
In addition to documentation submitted with the bid proposal on the List of Proposed Subcontractors form (reference Article 2.04-b (2)), the Bidder must complete the following DVBE documentation forms. Instructions for completing the required forms correctly are included to assist the Bidder.
 - (a) DVBE Transmittal Form.
Bidders must fill out the DVBE transmittal form as a cover sheet to the required documents, attach and

submit it and the additional required documentation. Bidders must complete all requested DVBE documentation on the forms provided and submit with the DVBE Transmittal Form.

- (b) Summary of Disabled Veteran Owned Business Participation (Attachment 1).
Summary of Disabled Veteran Owned Business Participation, Attachment 1, must be completed showing the type of Work and company proposed for DVBE participation, their subcontractors (if any), and other related information. Complete the form providing the information as follows:
 - (i) Company Name: List the name of the company proposed for DVBE participation. If the prime contractor is a DVBE, list its name in order to receive participation credit.
 - (ii) Nature of Work: Identify the proposed Work or service to be provided by the listed company.
 - (iii) Contracting With: List the name of the party with which the company listed is contracting.
 - (iv) Tier: Identify the contracting tier using the following level designations:
 - 0=Prime contractor;
 - 1=First tier subcontractor/supplier;
 - 2=Second tier subcontractor/supplier of first tier subcontractor/supplier;
 - 3=Third tier subcontractor/supplier of second tier subcontractor/supplier; etc.
 - (v) Claimed DVBE Value: State the total dollar amount of the DVBE's bid.
 - (vi) Percentage of Bid: State the percentage (%) of the claimed DVBE's bid as it relates to the Bidder's total Project bid.
 - (vii) DVBE Certification: The Bidder must include one copy of the DVBE certification from the Office of Small Business & DVBE Services for each DVBE listed on the Summary of Disabled Veteran Owned Business Participation.
- (c) Bidder's Certification (Attachment 2).
The Bidder must sign and include the Bidder's Certification, certifying that each DVBE listed on the Summary of Disabled Veteran Owned Business Participation (Attachment 1) complies with the legal definition of DVBE.
- (d) Disabled Veteran Business Enterprise Declarations (STD. 843).
The disabled veteran owner(s) and disabled veteran manager(s) of the DVBE must complete this declaration when a DVBE contractor or subcontractor will provide materials, supplies, services or equipment.

(2) Timeframe for Submitting Documentation.

The Bidder must submit the full DVBE participation documentation within 24 hours after the deadline established for the receipt of bids, or within the timeframe specified in the Supplementary General Conditions. If Bidder fails to submit full and accurate documentation by the deadline established, the Trustees will deem the bid nonresponsive, and thus ineligible for award of the Contract.

d. Use of Proposed DVBE.

If awarded the Contract, the successful Bidder must use the DVBE suppliers and/or subcontractors proposed in its bid proposal unless it has requested substitution and has received approval of the Trustees in compliance with the Subletting and Subcontracting Fair Practices Act. Reference Article 4.04, Substitution of Subcontractors, subsection c, Substitution of a Disabled Veteran Business Enterprise.

e. Trustees' Reporting of DVBE Participation.

Responsive to direction from the State Legislature, the Trustees are seeking to report increased statewide participation of DVBE in contract awards. To this end, the successful Bidder shall inform the Trustees of any contractual arrangements with subcontractors, consultants or suppliers that are certified DVBE.

f. Additional DVBE Information Sources.

For more information regarding DVBE certification, copies of directories or for general DVBE information, contact:

Office of Small Business & DVBE Services
Department of General Services, Procurement Division
707 Third Street, West Sacramento, CA 95605
Telephone number: (916) 375-4940; E-mail: OSDSHelp@dgs.ca.gov, or,
Via Internet at <https://www.dgs.ca.gov/PD/Services>, and search on "DVBE".

g. Incentive:

In accordance with Government Code section 14838(f), and Military and Veterans Code sections 999.5(a) and 999.5(d), the Trustees are granting a bid incentive for bid evaluation purposes only to Bidders that exceed the three percent DVBE participation requirement. The level of DVBE incentive will correlate to the level of participation; that is, the more DVBE participation proposed, the higher the incentive. The bid incentives are as follows:

DVBE Participation	Incentive
--------------------	-----------

3.00% to 3.99%	None
4.00% to 4.99%	1%
5.00% to 5.99%	2%
6% or more	3%

The DVBE incentive may not exceed \$100,000. When used on combination with the Small Business Preference, the cumulative adjustment amount shall not exceed \$100,000. If the lowest responsive, responsible bid is a California certified small business, the only bidders eligible for the incentive will be California certified small businesses.

- h. Prime Contractor’s DVBE Subcontracting Activity Report (DVBE Subcontracting Report).
 - (1) Contractor shall submit the Prime Contractor’s DVBE Subcontracting Report to the Trustees within 60 days of receipt of the final (retention) payment.
 - (2) In submitting the DVBE Subcontracting Report, the Contractor certifies the following information provided in the report is true and correct:
 - (a) the total amount Contractor received from the Trustees under the Contract,
 - (b) the name, address, and DVBE number for the DVBE(s) that participated in the performance of the Contract,
 - (c) the total contracted amount for each DVBE,
 - (d) the total payment amounts made to the DVBEs, and
 - (e) the actual percentage of DVBE participation that was achieved for this Contract.

A person or entity that knowingly provides false information shall be subject to a civil penalty for each violation in accordance with Military and Veterans Code section 999.5(d).

- i. Sanction for Contractor’s Failure to Achieve the DVBE Incentive.
 The Trustees will sanction any Contractor who receives the DVBE incentive and does not contract and pay the incentive percentage dollar amount to DVBEs.

- (1) Since the final project value may change based on savings and/or change orders, the minimum contractual DVBE spend requirement for the purpose of calculating the participation obligation and corresponding penalties shall be calculated as three percent (3%) of the value of lesser value of the total initial awarded contract value including accepted alternates and the final contract value (if reduced by credit change orders). The Contractor acknowledges this requirement when they submit their proposal inclusive of any elective incentive.
- (2) If by the end of construction, the Contractor does not realize the incentive DVBE participation percentage identified in its proposal, the Trustees shall assess an amount of fifty thousand dollars (\$50,000) per one percent (1%) shortfall down to the minimum of three percent (3%), prorated, and deduct it from the Contract Amount due, up to a maximum of one hundred fifty thousand dollars (\$150,000). The amount of the maximum penalties depending on the amount of the incentive utilization proposed by the Contractor will be withheld from final payment until proof of payments are received.

- j. Closeout Documentation

In accordance with sections 999.5 and 999.7 of the Military and Veterans Code, upon completion of an awarded contract, the Contractor shall certify to the Trustees all the following in a final DVBE participation summary:

- (1) The total amount of the original agreement.
- (2) The name and address of the disabled veteran business enterprise that participated in the performance of the contract and the contract number.
- (3) The amount and percentage of work the Contractor committed to provide to one or more disabled veteran business enterprises under the requirements of the contracts and the amount each disabled veteran business enterprise received from the Contractor.
- (4) The actual DVBE participation dollar amount and percentage of the total initial contract amount.
- (5) Contractor shall submit proof that all payments under the contract have been made to DVBEs. Proof shall be via the State approved “unconditional waivers and release on final payment” forms collected from each DVBE. The waivers shall indicate the amount of total payment each DVBE received on the project and shall include a notarized signature from the owner or delegated officer of the DVBE.
- (6) Pursuant to Military and Veterans Code section 999.7, ten thousand dollars (\$10,000) must be withheld from final payment until the final participation summary and proofs of payment have been transmitted to the Trustees. If the Contractor fails to comply with the payment certification requirement, after notice, shall be allowed to cure the defect. If after thirty (30) calendar days from the date of notice, the Contractor does not comply with the certification requirements, the Trustees shall permanently deduct ten thousand dollars (\$10,000) from the final payment. The ten thousand dollar (\$10,000) “late document submission” penalty is in addition to the incentive sanction and may be levied regardless of if the Contractor ultimately provides documentation indicating they have met their minimum participation obligations. This penalty is related to the timeliness of the submission of the proof of payment and is independent of the participation sanction.

3.00 - AWARD AND EXECUTION OF CONTRACT

3.01 Award of Contract

If the University deems the acceptance of the lowest responsible bid or bids is not in the best interests of the State, the University may reject all bids (Public Contract Code section 10785). If the University accepts the bid and award the Contract, the University's award shall be made to the lowest responsible Bidder whose proposal complies with all the requirements prescribed (Public Contract Code section 10780). Such award shall be made within sixty (60) Days after the opening of the proposals.

If the lowest responsible Bidder refuses or fails to execute the Contract, the University may award the Contract to the second lowest responsible Bidder. Such award shall be made within seventy-five (75) Days after the opening of proposals. If the second lowest responsible Bidder refuses or fails to execute the Contract, the University may award the Contract to the third lowest responsible Bidder. Such award shall be made within ninety (90) Days after the opening of the proposals. The above time periods within which the award of Contract may be made are subject to such no-cost extensions as may be agreed upon in writing between the University and the Bidder concerned (Public Contract Code section 10782).

3.02 Return of Bidder's Security

The University may withhold Bidder's security of the second and third lowest responsible Bidders until the Contract has been finally executed. The University shall return to all other unsuccessful Bidders the cashier's checks and certified checks submitted by them within ten (10) Days after the Contract is awarded, and their Bidder's bonds shall be of no further effect (Public Contract Code section 10784).

3.03 Contract Bonds

The successful Bidder shall furnish, for each Contract counterpart signed, two surety bonds in the form prescribed by the University. Each shall be in an amount equal to 100 percent of the awarded Contract price and executed by an admitted surety insurer licensed in the State of California and listed in the latest published United States Treasury Department list of "Companies Holding Certificates of Authority as Acceptable Sureties on Federal Bonds and as Acceptable Reinsuring Companies." Reference the following websites:

- State of California Dept. of Insurance at: <https://interactive.web.insurance.ca.gov/companyprofile/companyprofile>, and
- US Treasury listing at: <https://www.fiscal.treasury.gov/surety-bonds/circular-570.html>.

One of the surety bonds shall guarantee faithful performance of the Contract by the Contractor, and the other shall secure payment of laborers, mechanics, or materialmen employed on the Project. Such bonds are subject to the approval of the University. Contract bonds shall remain in full force and effect during the term of the Contract including the one-year guarantee period, and through the ten-year limit on latent defects (Public Contract Code sections 10821-10824, Code of Civil Procedure section 337.15).

The University will not accept Riders or modifications of any kind on original performance bonds and payment bonds provided at award. Bidder must use bond document forms approved by the Trustees without alteration.

The University shall make all alterations, extensions of time, extra and additional Work, and other changes authorized by the University for any part of the Contract, including determinations made under Article 7.01, Claims, without securing the consent of the surety or sureties on the Contract bonds.

Whenever the University has cause to believe that the surety has become insufficient, the University may demand in writing that the Contractor provide such further bonds or additional surety, as in the University's opinion is necessary, considering the extent of the Work added or remaining to be done. Thereafter the University shall make no payment to the Contractor or any assignee of the Contractor until the further bonds or additional surety has been furnished (Public Contract Code section 10825).

Riders or modifications of any kind on Bidders bonds, performance bonds and payment bonds are not acceptable and may result in Bidder's disqualification as nonresponsive. Bond document forms approved by the Trustees must be used without alteration. To address the insufficiency of the surety, the Trustees will accept a Rider to both bonds that will increase the Contract Amount, but such Rider shall not change any other Contract terms and conditions.

3.04 Execution of Contract

The successful Bidder shall sign each Contract counterpart and return the Contract counterparts to the University, together with the Contract bonds and certification, along with other requisite documentation such as the Subcontractor Directory and certificates evidencing the required insurance coverage (reference Article 4.06, Contractor's Insurance) within ten (10) Business Days of receipt from the University. Reference the following Article 3.05 for failure of successful Bidder to execute the Contract timely. If the successful Bidder is a joint venture, then the joint venture shall submit with the Contract certification form a formal resolution designating the person authorized to sign on behalf of the joint venture. The Contractor and the University shall each sign two sets of Plans, Specifications, and Addenda (usually at the pre-construction conference), one set for each party to be filed with the Contract. No contract shall be binding upon the University until it has been executed by the Contractor and the University and approved by the Trustees' attorney (in the Office of General Counsel) appointed according to law and authorized

to represent the Trustees (Public Contract Code section 10820).

After the Trustees' attorney has fully executed the Contract, Contractor can expect to start Work within 30 Days. The University will issue to the Contractor a written Notice to Proceed. The Contractor may not begin Work before receiving the University's written Notice to Proceed. Any Work performed by the Contractor before the project start date as specified on the written Notice to Proceed shall be considered as having been done at the Contractor's own risk.

3.05 Failure or Refusal to Execute Contract

Failure or refusal by the Bidder to execute the Contract within the time set in Article 3.04, Execution of Contract, shall be just cause for the University's rescission of the award and the forfeiture of the Bidder's security. Failure or refusal by the Bidder to file acceptable bonds within the time set in Article 3.04 constitutes a failure or refusal to execute the Contract. If the successful Bidder fails or refuses to execute the Contract, the University may award the Contract as set forth in Article 3.01, Award of Contract. On the failure or refusal of the first, second or third lowest responsible Bidder to execute the Contract, Bidder's security in each case shall be forfeited (Public Contract Code sections 10781-10783).

4.00 - CONDUCT OF THE WORK

4.01 Laws to be Observed--Generally

- a. **State and Federal Laws.**
The Contractor shall observe all state and federal laws that affect the Work under this Contract. The Contractor shall hold harmless, defend and indemnify the University against any claim arising from the violation of any law, whether by itself or its agents, employees or subcontractors. If a conflict arises between the provisions of this Contract and a law, the Contractor shall immediately notify the University in writing. "Law" as used in this paragraph includes statutes and regulations adopted pursuant to statute, as well as executive orders, authoritative interpretations, and other rules and directives issued by legally constituted authority.
- b. **National Labor Relations Board-Compliance with Order.**
In executing this Contract, the Contractor swears, under penalty of perjury, that no more than one final, unappealable finding of contempt of court by a federal court has been issued against the Contractor within the immediately preceding two-year period because of the Contractor's failure to comply with an order of a federal court which directs the Contractor to comply with an order of the National Labor Relations Board. The University may rescind this Contract if Contractor falsely swears to this statement (Public Contract Code section 10296).
- c. **Child and Family Support Obligations.**
The Contractor acknowledges the state of California policy regarding the importance of child and family support obligations expressed in Public Contract Code section 7110(a). The Contractor acknowledges that to the best of its knowledge, it is fully complying with the earnings assignment orders of all employees and is providing all new employee names to the New Hire Registry maintained by the State's Employment Development Department.
- d. **Audit Provisions.**
The contracting parties shall be subject to examination and audit by both the Trustees (or designee) of the California State University and the State Auditor of the State of California at any time during construction and for a period of three (3) years after final payment of the Contract. Such examination and audit shall include access to the Contractor and the subcontractor records as delineated in the following:

The Contractor's records which shall include but not be limited to accounting records (hard copy, as well as computer readable data if it can be made available), written policies and procedures; subcontract files (including proposals of successful and unsuccessful Bidders, bid recaps, etc.); original estimates; estimating work sheets; correspondence; change order files (including documentation covering negotiated settlements); back charge logs and supporting documentation; general ledger entries detailing cash and trade discounts earned, insurance rebates and dividends; and any other supporting evidence deemed necessary by the Trustees/Auditor General to substantiate charges related to this Contract (all foregoing hereinafter referred to as "records") and shall be open to inspection and subject to audit and/or reproduction to adequately permit evaluation and verification of (a) the Contractor's compliance with Contract requirements and (b) compliance with provisions for pricing change orders, payments or claims submitted by the Contractor or any of his payees. The Contractor is required to have as part of the records the following reports: a detailed cost ledger reflecting total charges against the Project which present an itemization by invoice and labor costs by cost codes; a summary report identifying total Project costs by cost codes; and a subcontractor history report including each subcontract amount and change orders issued thereto.
- e. **Building Codes.**
The Contractor's Work under this Contract shall comply with the building codes identified in the Contract Documents.

- f. Personal Responsibility and Work Opportunity Reconciliation Act of 1996.
If the Contractor is a natural person, the Contractor certifies in accepting this Contract that she/he is a citizen or national of the United States or otherwise qualified to receive public benefits under the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (P.L. 104-193; 110 STAT. 2105, 2268-69).
- g. Declaration of Eligibility to Contract with the State.
If the Contractor is a corporation, the Contractor certifies and declares by signing the Agreement that it is eligible to contract with the state of California pursuant to the California Taxpayer and Shareholder Protection Act of 2003 (Public Contract Code section 10286 *et seq.*).

4.02 Laws to be Observed--Regarding Labor

- a. Prevailing Wage.
The Work under this Contract is a public works project (reference definition of public works, Labor Code section 1720 *et seq.*) and must be performed in accordance with the requirements of Labor Code sections 1720 to 1815 and Title 8 California Code of Regulations sections 16000 to 17270, which govern the payment of prevailing wage rates on public works projects. This Project is subject to compliance monitoring and enforcement by the Department of Industrial Relations (DIR). Contractor and all subcontractors must comply with all applicable laws and regulations, and perform all obligations required by the DIR pursuant to such authority.

The prevailing wage rates set forth are the minimum that must be paid by the Contractor on a public works contract. Nothing herein contained shall be construed as preventing the Contractor from paying more than the minimum rates set forth. If a worker employed by a subcontractor on a public works project is not paid the general prevailing per diem wages by the subcontractor, the Contractor is liable for any penalties under section 1775(a), if the Contractor fails to comply with the requirements of section 1775(b). Contractor shall periodically review and monitor all subcontractors' certified payroll records. If Contractor learns that any subcontractor has failed to comply with the prevailing wage requirements herein, Contractor shall take corrective action.

Contractor represents and warrants that the Contract Amount includes sufficient funds to allow Contractor and all subcontractors to comply with all applicable laws and contractual agreements. Contractor shall defend, indemnify and hold the Trustees of the California State University, the University, its officers, employees and agents harmless from and against any and all claims, demands, losses, liabilities, and damages arising out of or relating to the failure of Contractor or any subcontractor to comply with any applicable law in this regard, including, but not limited to, Labor Code section 2810. Contractor agrees to pay any and all assessments, including wages, penalties and liquidated damages (those liquidated damages pursuant to Labor Code section 1742.1) made against the Trustees in relation to such failure.

- (1) Hours of Labor.
Eight (8) hours of labor constitutes a legal day's work. The Contractor or any subcontractor shall forfeit, as a penalty to State, \$25.00 for each worker employed in the execution of the Contract by the Contractor or any subcontractor, for each Day during which the worker is required or permitted to work more than eight hours in any one Day and forty hours in any one calendar week, in violation of the provisions of the Labor Code sections 1810 to 1814, thereof, inclusive. Notwithstanding the provisions of Labor Code sections 1810 to 1814, Work performed by employees of the Contractor or any subcontractor in the execution of the Contract in excess of eight hours per Day, and forty hours during any one week, shall be permitted upon compensation for all hours worked in excess of eight hours per Day at not less than one and one-half times the basic rate of pay as provided in Labor Code section 1815.
- (2) If it becomes necessary to employ crafts other than those listed, the Contractor shall notify the Trustees immediately, and the Trustees will ascertain additional prevailing rates and the rates thus determined shall be applicable as minimum from time of initial employment.
- (3) Pursuant to Labor Code section 1770, the Director of the DIR has ascertained the general prevailing rate of per diem wages and the general prevailing rate for legal holiday and overtime Work for each craft needed in execution of the Contract as set forth in the Notice to Contractors. Contractor shall post a schedule showing all applicable prevailing wage rates at appropriate and conspicuous locations on the Project Site in accordance with Labor Code section 1773.2. The Trustees shall maintain copies of the prevailing rate of per diem wages, and shall make them available to any interested party upon request. Contractor shall also post jobsite notices as required by the DIR pursuant to Labor Code section 1771.4 (a) (2) and applicable regulations.
- (4) The Contractor and any subcontractor under subcontract to the Contractor on the Project shall comply with Labor Code section 1775, and the Contractor shall include provisions in its Contract with its subcontractors that will require compliance with Labor Code section 1775. As required by section 1775(b) the Contractor shall include a copy of the provisions of sections 1771, 1775, 1776, 1777.5, 1813, and 1815 in the Contract between the Contractor and the subcontractor. The Contractor shall monitor its subcontractors' compliance with the prevailing wage law as required by section 1775(b). In accordance with section 1775, the Contractor and any subcontractor under the

Contractor shall forfeit as a penalty to the State not more than \$200 for each Day or portion thereof, for each worker paid less than the prevailing wage rates for the work or craft in which the worker is employed for any public work done under the Contract by it or, except as provided in section 1775(b), by any subcontractor under it. In addition to this penalty, the Contractor or subcontractor shall pay each worker the difference between the prevailing wage rates and the amount paid to each worker for each Day or portion thereof for which each worker was paid less than the prevailing wage rate.

- (5) In accordance with Labor Code section 1776, the Contractor and subcontractors shall keep an accurate payroll record on forms provided by the Division of Labor Standards Enforcement (or shall contain the same information as the forms provided by the division). The payroll records may consist of printouts of payroll data that are maintained as computer records, if the printouts contain the same information as the forms provided by the division, and the printouts are verified in the manner specified herein.

Payroll records shall show the name, address, social security number, work classification, straight time and overtime hours worked each day and week, and actual per diem wages paid to each journeyman, apprentice or worker employed in connection with the public work. Each payroll record shall contain verification by written declaration under penalty of perjury that the information contained in the payroll record is true and correct and that the Contractor and subcontractors have complied with the requirements of Labor Code sections 1771, 1776, 1777.5, 1811 and 1815 for any work performed by its employees on the Project.

- (a) The Contractor and all subcontractors must furnish payroll records to the Labor Commissioner at least monthly and in a format prescribed by the Labor Commissioner, as required by Labor Code section 1776.
- (b) The Contractor and subcontractors' certified payroll records shall be available for inspection at all reasonable hours, or certified copies furnished upon request to the following parties:
- (i) the employee or his or her authorized representative,
 - (ii) the Trustees, the Division of Labor Standards Enforcement (DLSE), the Division of Apprenticeship Standards (DAS),
 - (iii) the public; however, a request by the public shall be made through the Trustees or the DLSE or DAS. If the requested payroll records have not been provided pursuant to paragraph (ii) above, the Contractor shall collect from the requesting party the costs of preparation by the contractor, subcontractors, and the Trustees. The public may not be given access to the records at the principal office of the Contractor.
- (c) Records made available for inspection as copies and furnished upon request to the public or any public agency by the Trustees or the DLSE or the DAS shall be marked or obliterated to prevent disclosure of an individual's name, address, and social security number. The name and address of the Contractor or subcontractor awarded the contract or subcontractor performing the contract shall not be marked or obliterated.
- (d) Any copy of records made available for inspection by, or furnished to, a multiemployer Taft-Hartley trust fund (29 U.S.C. Sec. 186(c)(5)) that requests the records for the purposes of allocating contributions to participants shall be marked or obliterated only to prevent disclosure of an individual's full social security number, but shall provide the last four digits of the social security number.
- (e) Any copy of records made available for inspection by, or furnished to, a joint labor-management committee established pursuant to the federal Labor Management Cooperation Act of 1978 (29 U.S.C Sec. 75a) shall be marked or obliterated only to prevent disclosure of an individual's social security number.
- (f) Any copy of records made available for inspection by, or furnished to, agencies that are included in the Joint Enforcement Strike Force on the Underground Economy established pursuant to section 329 of the Unemployment Insurance Code, and other law enforcement agencies investigating violations of law shall, upon request, be provided nonredacted copies of certified payroll records.

Any copies of records or certified payroll made available for inspection and furnished upon request to the public by an agency included in the Joint Enforcement Strike Force on the Underground Economy or to a law enforcement agency investigating a violation of law shall be marked or redacted to prevent disclosure of an individual's name, address, and social security number.

- (g) The Contractor or subcontractor shall file a certified copy of the payroll records with the requesting entity within 10 Days after receipt of a written request. In the event the Contractor or subcontractor fails to comply within the 10-Day period, the Contractor or subcontractor shall, as penalty to the state or Trustees, forfeit one hundred dollars (\$100) for each Day, or portion thereof, for each worker, until strict compliance is effectuated. Upon the request of the DLSE or the DAS, these penalties shall be withheld from progress payments then due. The Contractor is not subject to a penalty assessment pursuant to this section due to the

failure of a subcontractor to comply with this section. A contractor or subcontractor may be subject to debarment by the Labor Commissioner for failure to submit certified payrolls timely.

- (6) The Contractor is required to submit to the Trustees a minimum of the first two weeks of certified payroll and the Hourly Labor Rate Worksheet for its workers and all subcontractors included in change orders. Additional weeks of certified payroll records may be required at the discretion of the Trustees.
- (7) Consistent with Public Contract Code section 6109, the Contractor is prohibited from performing a portion of Work with a subcontractor who is debarred pursuant to Labor Code section 1777.1 or 1777.7.
- (8) Apprentices.
If the Contractor or any subcontractor employs workers on the Project in any apprenticeable craft, it may apply to any apprenticeship program in the craft in the area of the Work for a certificate approving the Contractor or subcontractor for the employment and training of apprentices. The Contractor or subcontractor shall employ the number of apprentices or the ratio of apprentices to journeymen specified in the certificate unless the conditions set out in Labor Code section 1777.5 excuse it from this requirement.

Every apprentice shall be paid the standard wage paid to apprentices under the regulations of the craft or trade in which they are employed and shall be employed only in the Work of the craft or trade to which they are indentured. The employment and training of each apprentice shall be in accordance with the provisions of the apprenticeship agreements under which a person is training.

The Contractor or subcontractor employing journeymen or apprentices in any apprenticeable craft or trade shall contribute to the fund or funds set up in the area of Work to administer the apprenticeship program in each trade in which it employs such journeymen or apprentices in the same amount and manner as the contributing contractors.

Special attention is directed to Labor Code sections 1777.5, 1777.6 and 1777.7, and California Code of Regulations, Title 8, section 200 *et seq.* Each Contractor and subcontractor must, before commencement of Work under this Contract, contact the Division of Apprenticeship Standards, 455 Golden Gate, 8th Floor, San Francisco, California, 94102, or one of its branch offices to ensure compliance and understanding of the law regarding apprentices and specifically the required ratio thereunder. Reference the following Division of Apprenticeship Standards website for contacts and other pertinent apprenticeship information, https://www.dir.ca.gov/das/das_contactUS.html. Responsibility for compliance with this section lies with the prime Contractor.

Contractor or subcontractor's failure to comply with Labor Code section 1777.5 may result in penalties or debarment pursuant to Labor Code section 1777.7.

b. Nondiscrimination.

- (1) During the performance of this Contract, the recipient, Contractor, and its subcontractors shall not deny the Contract's benefits to any person on the basis of race, religious creed, color, national origin, ancestry, physical disability, mental disability, medical condition, genetic information, marital status, sex, gender, gender identity, gender expression, age, sexual orientation, or military and veteran status, nor shall they discriminate unlawfully against any employee or applicant for employment because of race, religious creed, color, national origin, ancestry, physical disability, mental disability, medical condition, genetic information, marital status, sex, gender, gender identity, gender expression, age, sexual orientation, or military and veteran status. Contractor shall insure that the evaluation and treatment of employees and applicants for employment are free of such discrimination.
"Recipient" means any contractor, local agency, or person, who regularly employs five or more persons, and who receives State support, as defined in this Section, in an amount in excess of \$10,000 in the aggregate per State fiscal year or in an amount in excess of \$1,000 per transaction. For more information, reference California Code of Regulations, Title 2, section 11150.
- (2) Contractor shall comply with the following:
 - the provisions of the Fair Employment and Housing Act (Government Code, section [12900 et seq.](#)),
 - the regulations promulgated thereunder (California Code of Regulations, Title 2, section [11000 et seq.](#)),
 - the provisions of Article 9.5, Chapter 1, Part 1, Division 3, Title 2 of the Government Code, [sections 11135-11139.8](#)), and
 - the regulations or standards adopted by the Trustees to implement such article.
- (3) Contractor or Recipient shall permit access by representatives of the Department of Fair Employment and Housing and the Trustees upon reasonable notice at any time during the normal business hours, but in no case less than 24 hours' notice, to such of its books, records, accounts, and all other sources of information and its facilities as said Department or Trustees shall require to ascertain compliance with this clause.
- (4) Recipient, Contractor and its subcontractors shall give written notice of their obligations under this clause to labor

organizations with which they have a collective bargaining or other agreement.

- (5) The Contractor shall include the nondiscrimination and compliance provisions of this clause in all subcontracts to perform work under the contract.

c. Workers' Compensation.

The Contractor shall be required to secure payment of Workers' Compensation to its employees in accordance with Labor Code section 3700, and shall file the certification required in Labor Code section 1861 with the University prior to performing the Work (reference Article 4.06-a, Policies and Coverage).

d. Education, Counseling, and Training Programs.

All educational, counseling and vocational guidance programs and all apprenticeship and on-the-job training programs, under this Contract, shall be open to all qualified persons, without regard to race, sex, color, religion, national origin or ancestry. Such programs shall be conducted to encourage the fullest development of the interests, skills, aptitudes, and capacities of all students and trainees, with special attention to the problems of culturally deprived, educationally handicapped, or economically disadvantaged persons. Expansion of training opportunities under these programs shall also be encouraged with a view toward involving larger numbers of participants from these segments of the labor force where the need for upgrading levels of skills is the greatest.

e. Occupational Safety and Health.

The Contractor shall comply with all the provisions of the Federal Occupational Safety and Health Act of 1970 (29 U.S.C. section 651 *et seq.*) and all rules, regulations, and orders adopted pursuant thereto. The Contractor shall comply with all the provisions of the California Occupational Safety and Health Act of 1973 (Labor Code section 6300 *et seq.*) and all rules, regulations and orders adopted pursuant thereto. These laws provide for job safety and health protection for Workers.

The Contractor shall obtain copies of such safety orders as are applicable to the type of Work to be performed and shall be governed by their requirements in all construction operations. The Contractor shall fully inform each subcontractor and materials supplier as to the requirements of the applicable safety orders.

f. Assignment of Rights Relating to Federal and State Anti-Trust Actions.

The Contractor and all subcontractors shall be bound by the provisions of Public Contract Code section 7103.5 as follows: in entering into a public works contract or a subcontract to supply goods, services, or materials pursuant to a public works contract, the Contractor or subcontractor offers and agrees to assign to the Trustees all rights, title, and interest in and to all causes of action it may have under section 4 of the Clayton Act (15 U.S.C. section 15) or under the Cartwright Act (Chapter 2, (commencing with section 16700) of Part 2 of Division 7 of the California Business and Professions Code), arising from purchases of goods, services, or materials pursuant to the public works contract or the subcontract. This assignment shall be made and become effective at the time the Trustees tender final payment to the Contractor, without further acknowledgment by the parties.

4.03 Environmental Requirements

Mitigation Monitoring and Reporting Programs (MMRP), when included in California Environmental Quality Act (CEQA) documentation, provide a description of required mitigation measures associated with California State University capital projects. The Contractor shall implement those mitigation measures in the MMRP for which the Contractor has been designated the responsible party. In addition, the Contractor shall comply with the following environmental requirements.

a. Air Pollution Control.

The Contractor shall comply with all air pollution control rules, regulations, ordinances and statutes which apply to the Work performed under the Contract, including any air pollution control rules, regulations, ordinances and statutes adopted under the authority of section 11017 of the Government Code. Contractor must be eligible to perform work for the State and is deemed eligible if not found to be in violation of any order, resolution, or regulation relating to air or water pollution adopted in accordance with Government Code section 4477.

(1) Solvents.

In the absence of any applicable air pollution control rules, regulations, ordinances or statutes governing solvents, the Contractor shall ensure that all solvents, including but not limited to the solvent portions of paints, thinners, curing compounds, and liquid asphalt used on the Project, comply with the applicable material requirements of the Air Quality Management District (AQMD). All containers of solvent, paint, thinner, curing compound or liquid asphalt shall be labeled to indicate that the contents fully comply with these requirements.

(2) Disposal of Material.

Unless otherwise provided in the special provisions, material to be disposed of shall not be burned either inside or outside the premises.

(3) Fugitive Dust.

A regular watering program shall be initiated to adequately control the amount of fugitive dust in accordance with applicable AQMD rules. Exposed soil surfaces shall be sprayed with water at least daily and as needed to mitigate dust (reference also Article 4.08-c, Protection of Facilities).

(4) Construction Vehicles and Equipment.

Trucks hauling dirt from the Site shall be covered in accordance with applicable state and local requirements. To reduce exhaust emissions, unnecessary idling of construction vehicles and equipment shall be avoided.

Construction equipment shall be fitted with modern emission control devices and shall be kept in proper tune.

b. Water Pollution Control.

The Contractor shall have design-build responsibilities to comply with all water pollution control rules, regulations, ordinances and statutes that apply to the Work performed under the Contract, including the California General Permit (NPDES) 2009-009-DWQ for Storm Water Discharges Associated with Construction Activities issued by the California State Water Resources Control Board (SWRCB) and as modified by order 2010-0014-DWQ, also issued by the SWRCB.

(1) Storm Water Pollution Prevention Plan.

The Contractor shall develop and implement a Storm Water Pollution Prevention Plan (SWPPP) that complies with the State of California Construction General Permit for Storm Water Discharges.

The Contractor shall contract for, or have on payroll, a California Certified Qualified SWPPP Developer (QSD). The Contractor shall be responsible for hiring or contracting for the services of a California certified Qualified SWPPP Practitioner (QSP).

The Contractor shall pay all costs associated with development and implementation of the SWPPP. [See Specifications for additional requirements.]

(2) Compliance.

The Contractor shall comply with the California General Permit for Waste Discharge Requirements for Storm Water Discharges from Small Municipal Separate Storm Sewer Systems (MS4s), Order Number 2013-0001-DWQ.

The Contractor shall comply with the University's Post Construction Storm Water Management Program requirements.

Post Construction Storm Water Management Program Best Management Program Practice (BMP) details shall be designed by a competent individual licensed to practice as a Civil Engineer in California.

(3) Maintenance Manual for Post-construction BMPs.

The Contractor shall incorporate into the Project a maintenance program for post-construction BMPs that will be permanent components of the completed project. The maintenance program shall be delivered in a bound manual. The manual shall meet the requirements described in the California Stormwater Quality Association's (<https://www.casqa.org/>) New Development & Redevelopment BMP Handbook.

c. Sound Control Requirements.

The Contractor shall comply with all sound control and noise level rules, regulations and ordinances that apply to the Work. In the absence of any such rules, regulations and ordinances, the Contractor shall conduct its Work to minimize disruption to others due to sound and noise from the workers and shall be responsive to the University's requests to reduce noise levels.

The Contractor shall not cause or allow sounds to be produced in excess of 65 decibels measured at the jobsite between the hours of 7:00 p.m. and 7:00 a.m. The Contractor shall not cause or allow sounds to be produced in excess of 85 decibels measured at the jobsite between the hours of 7:00 a.m. and 7:00 p.m. without the consent of the University.

Each internal combustion engine, used for any purpose on the Project or related to the Project, shall be equipped with a muffler of a type recommended by the manufacturer. No internal combustion engine shall be operated on the Project without a muffler.

Loading and unloading of construction materials will be scheduled so as to minimize disruptions to campus activities. Construction activities will be scheduled to minimize disruption to the University and to campus users.

d. Environmental Clearances.

The Contractor shall provide to state and federal agencies all information necessary for environmental clearances and other authorizations necessary for this Project. The Contractor shall comply with the provisions, including giving notices during construction when so required. The Contractor shall not be compensated for the delays in obtaining environmental clearances and authorizations; however, an appropriate extension of time will be granted in accordance with the provisions in Article 4.14-g, Adjustment of Contract Time Due to Reasons Beyond University's Control, if the Contractor demonstrates to the satisfaction of the University that it has made every reasonable effort to obtain the requisite clearance or authorizations, and cannot obtain it in a timely manner.

- e. **Source of Aggregates.**
 The Public Contract Code section 10295.5 requires that no State agency shall purchase or utilize sand, gravel, aggregates, or other minerals unless the source is on an eligible list identifying operations that have met certain requirements of the Surface Mining and Reclamation Act of 1975 (Public Resources Code section 2710 *et seq.*). Accordingly, the Contractor shall submit to the University documentation that it is complying with the requirements of this law in purchasing these materials.
- f. **Archaeological Finds.**
 If the Contractor discovers any artifacts during excavation and/or construction, the Contractor shall stop all affected Work and notify the Trustees, who will call in a qualified archaeologist to assess the discovery and suggest further mitigation, as necessary. Reference the [California Archaeological Inventory](#).
 If the Contractor discovers human remains, the Contractor shall notify the University who will be responsible for contacting the county coroner and a qualified archaeologist. If the remains are determined to be Native American, the University shall contact the appropriate tribal representatives to oversee removal of the remains.
- g. **Integrated Waste Management.**
 Pursuant to the State Agency Integrated Waste Management Plan (Public Resources Code, Division 30, Part 3, Chapter 18.5), the California State University shall divert 50% of all solid waste generated in construction activities from landfill disposal or transformation facilities through source reduction, recycling and composting. Contractor shall report all source reduction, recycling and composting relative to this Project to the Trustees. Reference Specifications for further requirements.
- h. **Buy Clean California Act.**
 Contractor shall comply with the Buy Clean California Act.

Contractor shall not purchase any Eligible Materials on the Project until Contractor submits a [Buy Clean California CSU Eligible Material Environmental Product Declaration \(EPD\) Intake Form](#) which demonstrates that the material complies with any existing EM Standards and this Article. Contractor shall be responsible for any losses, expenses, penalties or damages of any type incurred or sustained by University, including any tear out and replacement of Defective Work, which are caused by Contractor’s failure to comply with the requirements of the BCCA or this Article.

The following materials or products are subject to Buy Clean California Act (Public Contract Code section 3500 *et seq.*):

Material or product	Maximum acceptable GWP limit (unfabricated)
Hot-rolled structural steel sections	1,010 kg CO2 eq. or 1.01E+03 kg CO2 eq. for one metric ton of structural steel.
Hollow structural sections	1,710 kg CO2 eq. or 1.71E+03 kg CO2 eq. for one metric ton of structural steel.
Steel plate	1,490 kg CO2 eq. or 1.49E+03 kg CO2 eq. for one metric ton of structural steel.
Concrete reinforcing steel	890 kg CO2 eq. or 8.90E+02 kg CO2 eq. for one metric ton of bar.
Flat glass	1,430 kg CO2 eq. or 1.43E+03 kg CO2 eq. for one metric ton of flat glass.
Light-density mineral wool board insulation	3.33 kg CO2 eq. for 1 m2 of mineral wool board insulation at RSI-1.
Heavy-density mineral wool board insulation	8.16 kg CO2 eq. for 1 m2 of mineral wool board insulation at RSI-1.

For current product category rules and more information on applicable materials or products, go to: <https://www.dgs.ca.gov/PD/Resources/Page-Content/Procurement-Division-Resources-List-Folder/Buy-Clean-California-Act>

The schedule for adoption of the Buy Clean California Act is as follows:

January 1, 2022 – DGS established the BCCA Maximum Acceptable GWP Limits.

July 1, 2022 – EPDs will be required and used to gauge GWP compliance of eligible materials.

For projects with bid opening dates after July 1, 2022, the Trustees shall collect existing environmental product

declarations (EPDs) from contractors for materials or products subject to the Buy Clean California Act.

(1) Definitions

- Environmental Product Declaration (EPD). Independently verified document created and verified in accordance with International Organization for Standardization (ISO) 14025 for Type III environmental declarations that identifies the global warming potential emissions of the facility-specific material or product through a product stage life cycle assessment.
- Product Category Rule. Program operator established rule based on the science of life cycle assessment that governs the development of the environmental product declaration for the material or product.
- Product Stage. Boundary of the environmental product declaration that includes: (1) raw material supply, (2) transportation processes, and (3) processing operations, including operations such as melting, mixing, fabrication, finishing, curing, cooling, trimming, packaging and loading for transport delivery. Commonly referenced as a "cradle-to-gate" life cycle assessment.
- Program Operator. Independent agency that supervises and confirms the full environmental product declaration development process in accordance with ISO 14025.
- Raw Material Supply. Upstream processes which can include allocations, extraction, refinement, reclamation, handling and processing of the constituents used in producing the material or product.
- Transportation Processes. Includes transportation of raw, reclaimed or recycled material constituents from the supplier to the gate of the manufacturer, producer or fabricator. Includes transport of related waste products.

(2) Submittals to the Trustees.

Contractor shall submit EPDs to University as a part of the submittal process for eligible materials. University shall compile EPDs and submit via the Department of General Services (DGS Buy Clean California Act Reporting Tool at the following website <https://pdbcca.azurewebsites.net/Identity/Account/Login>.

4.04 Substitution of Subcontractors

The Contractor shall not substitute any subcontractor in place of a subcontractor listed in its bid proposal except as authorized in the Subletting and Subcontracting Fair Practices Act (Public Contract Code section 4100 *et seq.*).

a. Bond Requirements.

It is the Trustees' interpretation of section 4108 of the Public Contract Code that the Contractor must clearly advertise the specific bond requirements for the Project, including the requirement of a bond, the kind of a bond, and the amount of the bond, in order to be eligible to substitute a subcontractor under section 4107(a) (4) of the Public Contract Code.

b. Substitution of a Small Business Subcontractor.

After award of the Contract based in part on the application of the small business preference, the Non-Small Business Contractor shall use the small business subcontractor(s) and/or suppliers listed in its bid proposal unless a substitution is requested in writing to the Trustees, and the Trustees approve the substitution in writing before the commencement of any Work. The substitution request must include at least the following:

- (1) An explanation of the reason for the substitution.
- (2) The Contractor must substitute a small business with another small business. If the small business substitution cannot occur, the Contractor must include a written justification and the steps that were taken to try to acquire a new small business subcontractor and how that portion of the Contract will be fulfilled.
- (3) A description of the Work to be performed, identified both as a task(s) and as a dollar amount or percentage of the overall Contract that the substituted business will perform. The substituted business(es), if approved, shall be required to perform a commercially useful function in the Contract pursuant to California Code of Regulations section 1896.6.

Any substitution of subcontractors shall be performed in accordance with the Subletting and Subcontracting Fair Practices Act (Public Contract Code section 4100 *et seq.*). Failure of the Contractor to subcontract with the small business listed on its bid proposal or to follow these substitution requirements may be grounds for the Trustees to notify the Department of General Services to impose sanctions pursuant to Government Code section 14842.5 or Code of Regulations section 1896.16. In the event such sanctions are to be imposed, the Contractor shall be notified in writing and entitled to a hearing pursuant to Code of Regulations sections 1896.18 and 1896.20.

c. Substitution of a Disabled Veteran Business Enterprise.

The Contractor shall use the Disabled Veteran Business Enterprise (DVBE) companies listed in its bid proposal on the List of Proposed Subcontractors form, unless a substitution is requested in writing to the Trustees, and the Trustees and the Department of General Services (DGS) approve the substitution in writing before the commencement of any work. The substitution request must include at least the following:

- (1) An explanation of the reason for the substitution.
- (2) A written description of the business enterprise to be substituted, including its business status as a sole proprietorship, partnership, corporation or other entity, and the DVBE certification status of the firm, if any.
- (3) The Contractor must substitute a DVBE with another DVBE. If the DVBE substitution cannot occur, the Contractor must include a written justification and the steps that were taken to try to acquire a new DVBE subcontractor and how that portion of the contract will be fulfilled.
- (4) A description of the work to be performed identified both as a task(s) and as a dollar amount or percentage of the overall contract that the substituted business will perform.

The request for substitution of a DVBE and the Trustees' and DGS approval or disapproval cannot be used as an excuse for noncompliance with any other provision of law, including, but not limited to, the Subletting and Subcontracting Fair Practices Act (Sections 4100 *et seq.*, Public Contract Code) or any other contract requirements relating to substitution of subcontractors.

d. Subcontractor Directory.

The Contractor shall have submitted a Subcontractor Directory with the Contract in accordance with Article 2.04-b (4). If any listed firms have been substituted without approval by the Trustees in accordance with section 4107(a) of the Public Contract Code, or if subcontractors are added and perform Work in excess of one-half of one percent of base Contract, penalties are applicable per section 4100 of the Public Contract Code.

4.05 Delegation of Performance and Assignment of Money Earned

The performance of all or any part of this Contract may not be delegated without the written consent of the University. Consent will not be given to any proposed delegation that would relieve the Contractor or its surety of their responsibilities under the Contract.

The Contractor may assign moneys due or to become due under the Contract, only upon written consent of the University. Assignments of moneys earned by the Contractor shall be subject to proper retention in favor of the University and to all deductions provided for in the Contract and such moneys shall be subject to being used by the University for the completion of the Work in the event the Contractor is in default.

4.06 Insurance Requirements

The Contractor shall not commence Work until it has obtained all the insurance required in this Article, and such insurance has been approved by the Trustees.

a. Policies and Coverage.

(1) The Contractor shall obtain and maintain the following policies and coverage:

- (a) Comprehensive or Commercial Form General Liability Insurance, on an occurrence basis, covering Work done or to be done by or on behalf of the Contractor and providing insurance for bodily injury, personal injury, property damage, and contractual liability. The aggregate limit shall apply separately to the Work.
- (b) Business Automobile Liability Insurance on an occurrence basis, covering owned, hired, and non-owned automobiles used by or on behalf of the Contractor and providing insurance for bodily injury, property damage, and contractual liability. Such insurance shall include coverage for uninsured and underinsured motorists
- (c) Worker's Compensation including Employers Liability Insurance as required by law.

(2) The Contractor also may be required to obtain and maintain the following policies and coverage:

- (a) Environmental Impairment Liability Insurance should the Work involve hazardous materials, such as asbestos, lead, fuel storage tanks, and PCBs.
- (b) Other Insurance by agreement between the Trustees and the Contractor.

b. Verification of Coverage.

The Contractor shall submit original certificates of insurance and endorsements to the policies of insurance required by the Contract to the Trustees as evidence of the insurance coverage. Contractor shall timely file renewal certifications and endorsements for all coverage until the Work is accepted as complete pursuant to Article 8.01, Acceptance. The Trustees reserve the right to require the Contractor to furnish the Trustees complete, certified copies of all required insurance policies.

c. Insurance Provisions.

Nothing in these insurance provisions shall be deemed to alter the indemnification provisions in Article 4.07. The insurance policies shall contain, or be endorsed to contain, the following provisions.

- (1) For the General and Automobile Liability Policies, the State of California, the Trustees of the California State University, the University, their officers, employees, representatives, volunteers, and agents are to be covered as additional insureds.

- (2) For any claims related to the Work, the Contractor’s insurance coverage shall be primary insurance as respects the State of California, the Trustees of the California State University, the University, their officers, employees, representatives, volunteers, and agents. Any insurance or self-insurance maintained by the State of California, the Trustees of the California State University, the University, their officers, employees, representatives, volunteers, and agents shall be in excess of the Contractor’s insurance and shall not contribute with it.
- (3) The Contractor shall immediately upon receipt of any notice of cancellation or any notice of non-renewal of any insurance required under this Article 4.06, provide written notice of any such insurance cancellation or non-renewal by certified mail to the University.
- (4) The State of California, the Trustees of the California State University, the University, their officers, employees, representatives, volunteers, and agents shall not by reason of their inclusion as additional insureds incur liability to the insurance carriers for payment of premiums for such insurance.

d. Amount of Insurance.

(1) For All Projects.

The insurance furnished by Contractor under this Article shall provide coverage in amounts not less than the following, unless a different amount is stated in the Supplementary General Conditions:

- (a) Comprehensive or Commercial Form General Liability Insurance--Limits of Liability

\$2,000,000	General Aggregate
\$1,000,000	Each Occurrence--combined single limit for bodily injury and property damage.

(b) Business Automobile Liability Insurance-Limits of Liability

Vehicle Type	Autos or Pickup Trucks (up to one-ton)	Dump Trucks or Semi-trucks (hauling materials or equipment)
Each Accident	\$2M	\$5M

- (c) Workers’ Compensation limits as required by law with Employers Liability limits of \$1,000,000.

(2) For Projects Involving Hazardous Materials.

The Contractor shall provide additional coverage in amounts not less than the following, unless a different amount is stated in the Supplementary General Conditions:

(a) Environmental Impairment (pollution) Liability Insurance-Limits of Liability

General Aggregate	\$10M
Each Occurrence – combined single limit for bodily injury and property damage, including clean-up costs.	\$5M

- (b) In addition to the coverage described in 4.06-d (1) (b), Business Automobile Liability Insurance, the Contractor shall obtain for hazardous material transporter services:

- (i) MCS-90 endorsement
- (ii) Sudden & Accidental Pollution endorsement--Limits of Liability*

\$2,000,000	Each Occurrence
\$2,000,000	General Aggregate

*A higher limit on the MCS-90 endorsement required by law must be matched by the Sudden & Accidental Pollution Insurance.

With the Trustees’ approval, the Contractor may delegate the responsibility to provide this additional coverage, as described in this Article 4.06-d (2) (b) above, to its hazardous materials subcontractor. When the Contractor returns its signed project construction phase agreement to the Trustees, the Contractor shall also provide the Trustees with a letter stating that it is requiring its hazardous materials subcontractor to provide this additional coverage, if applicable. The Contractor shall affirm in this letter that the hazardous materials subcontractor’s certificate of insurance shall also adhere to all of the requirements in Article 4.06-b, Verification of Coverage and 4.06-c, Insurance Provisions. Further, this letter will provide that the subcontractor’s certificate of insurance will be provided to the Trustees as soon as the Contractor fully executes its subcontract with the hazardous materials subcontractor, or within 30 Days of the Notice to Proceed, whichever is less.

e. Acceptability of Insurers.

Insurers shall be licensed by the State of California to transact insurance and shall hold a current A.M. Best’s rating of A:VII or shall be a carrier otherwise acceptable to the University.

f. Subcontractor’s Insurance.

Contractor shall ensure that its subcontractors are covered by insurance of the types required by this Article, and that the amount of insurance for each subcontractor is appropriate for that subcontractor’s Work. Contractor shall not allow any

subcontractor to commence Work on its subcontract until the insurance has been obtained. Only the Contractor and its hazardous materials subcontractor(s) shall have the coverage for projects involving hazardous materials as required in Article 4.06-d, Amounts of Insurance, subdivision (2).

g. Miscellaneous.

- (1) Any deductible under any policy of insurance required in this Article shall be Contractor's liability.
- (2) Acceptance of certificates of insurance by the Trustees shall not limit the Contractor's liability under the Contract.
- (3) In the event the Contractor does not comply with these insurance requirements, the Trustees may opt to provide insurance coverage to protect the Trustees. The cost of the insurance shall be paid by the Contractor and, if prompt payment is not received, may be deducted from Contract sums otherwise due the Contractor.
- (4) If the Trustees are damaged by the failure of Contractor to provide or maintain the required insurance, the Contractor shall pay the Trustees for all such damages.
- (5) The Contractor's obligations to obtain and maintain all required insurance are nondelegable duties under this Contract.
- (6) The Contractor's liability for damages proximately caused by acts of God (as defined in Public Contract Code section 7105) and not involving Contractor negligence shall be limited to five percent of the Contract Amount if the Work damaged is built in accordance with the Contract and applicable building standards.

4.07 Indemnification

Nothing in these indemnification provisions shall be deemed to alter the insurance provisions in Article 4.06.

- a. The Contractor shall hold harmless, defend, and indemnify the State of California, the Board of Trustees of the California State University, the University, and the officers, employees, representatives and agents of each of them, from and against all claims, damages and losses arising out of, resulting from, or relating to (1) the failure of the Contractor to perform its obligations under the Contract or the performance of its obligation in a willful, reckless, or negligent manner; (2) the inaccuracy of any representation or warranty by the Contractor given in accordance with or contained in the Contract Documents; and (3) any claim of damage or loss by any subcontractor, or supplier, or laborer against the Trustees arising out of any alleged act or omission of the Contractor or any other subcontractor, or anyone directly or indirectly employed by the Contractor or any subcontractor.
- b. The Contractor shall hold harmless, defend, and indemnify the State of California, the Board of Trustees of the California State University, the University, and its officers, employees, representatives and agents of each of them from and against all claims, damages and losses arising out of, resulting from, or relating to the negligent acts or omissions, recklessness, or willful misconduct of the Contractor, a subcontractor, or anyone directly or indirectly employed by either of them, or anyone for whose acts either of them may be liable. Such obligation shall not be construed to negate, abridge, or reduce other rights or obligations of indemnity which would otherwise exist as to a party or person described in Article 4.07-c, following. Such obligation shall, however, apply in proportion to and to the extent that any such losses result from the negligent acts or omissions by an employee of the Contractor, a subcontractor, or a person indirectly employed by the Contractor or a subcontractor, or anyone for whose acts may be liable.
- c. In claims against any person or entity indemnified under this Article made by an employee of the Contractor or a subcontractor, or indirectly employed by either of them, or anyone for whose acts either may be liable, the indemnification obligation under this Article shall not be limited by a limitation on amount or type of damages, compensation, or benefits payable by or for the Contractor or a subcontractor under workers compensation laws, disability benefit laws, or other laws providing employee benefits.
- d. The indemnification obligations under this Article shall not be limited by any assertion or finding that the person or entity indemnified is liable by reason of a non-delegable duty.
- e. The Contractor shall hold harmless, defend, and indemnify the State of California, the Board of Trustees of the California State University, the University, and its officers, employees, representatives and agents from and against all claims, damages and losses resulting from any claim of damage made by any separate contractor of the Trustees against the Trustees arising out of any alleged acts or omissions of the Contractor, a subcontractor, anyone directly or indirectly employed by either the Contractor or subcontractor, or anyone for whose acts either the Contractor or subcontractor may be liable.
- f. The Contractor shall hold harmless, defend, and indemnify the separate contractors of the State of California, the Board of Trustees of the California State University, the University, and its officers, employees, representatives and agents from and against all claims, damages and losses arising out of the negligent acts or omissions, recklessness, or willful misconduct of the Contractor, a subcontractor, anyone directly or indirectly employed by the Contractor or subcontractor, or anyone for whose acts the Contractor or subcontractor may be liable.

The Trustees shall cause a reciprocal indemnification provision in favor of the Contractor to be included in its contracts

with separate contractors of the Trustees. Liability for any negligent act or omission, recklessness, or willful misconduct shall be apportioned pursuant to the applicable law of the State of California.

4.08 Contractor's Responsibility for the Work

The Contractor shall be responsible for all Work performed under this Contract, and no subcontractor will be recognized as such. For purposes of assessing responsibility to the Contractor, all persons engaged in the Work shall be considered employees of the Contractor. The Contractor shall give its personal attention to the fulfillment of the Contract and keep all phases of the Work under its control.

Contractor shall create a report of construction activities occurring each day and include a listing of all subcontractors of all tiers and the numbers of workers for each that are on Site each day, briefly describing the Work the subcontractors are performing. Each subcontractor shall create report of construction activities occurring each day and include a listing of all subcontractors of all tiers and the numbers of workers for each that are on Site each day, briefly describing the Work the subcontractors are performing. Contractor and every subcontractor shall submit these reports to the Trustees daily. At the end of the Project, Contractor shall submit to the Trustees a complete listing of all subcontractors, suppliers and other businesses that performed Work on the Project. Reference Article 2.04-b (4), Subcontractor Directory.

The University will not arbitrate disputes among subcontractors nor between the Contractor and one or more subcontractors concerning responsibility for performing any part of the Project.

a. **Quality Control.**

The Contractor shall be fully responsible for the quality of materials and workers' skill in the Project. The Contractor shall not rely upon the inspection and testing provided by the University other than those special inspections and tests performed by the University's selected laboratories for which there are written reports.

On projects with new foundations (for buildings, Site improvements, bridges, light poles, others), the Contractor shall prepare a certified survey illustrating dimensions, locations, angles and elevations of the construction associated with the new foundation and shall show the as-built location of the construction on the Project Site Boundary drawing provided by the Trustees. The Contractor shall specify the horizontal location using California Coordinate System, NAD 83 Coordinates. An appropriately licensed Professional Land Surveyor shall stamp the certified survey, after which the Contractor shall submit it promptly to the Architect and the Trustees.

b. **Burden for Damage.**

From the issuance of the official notice to proceed until the formal acceptance of the Project by the University, the Contractor shall have the charge and care of and shall bear the risk of damage to the Project and materials and equipment for the Project.

The Contractor, at its own expense, shall promptly rebuild, repair, restore, and make good all such damage to any portion or to all of the Project and materials therefor before the acceptance of the Project by the University except for such damage as is proximately caused by acts of the federal government or public enemy. In case of suspension of Work from any cause whatever, the Contractor shall be responsible for all materials, and shall properly store them, if necessary, and shall provide suitable drainage and erect temporary structures where necessary.

If the Contractor damages any property belonging to the University, the University, in addition to other remedies available to the University, may retain from the money due to the Contractor an amount sufficient to ensure repair of the damage or an amount to contribute toward repair of the damage.

Neither the State of California, the Trustees of the California State University, the University, nor the officers, employees, representatives, nor agents of each of them shall be responsible for any damage to the Project, and to materials and equipment for the Project.

c. **Protection of Facilities.**

From the University's issuance of the official Notice to Proceed to the Contractor, until the formal acceptance of the Project by the University, the Contractor shall protect the Site and Work from theft, acts of malicious mischief, vandalism and unauthorized entry. During all hours that Contractor is not prosecuting Work, Contractor shall furnish such security services as necessary to safeguard materials and equipment in storage on the Project Site, including Work in place or in process of fabrication, against theft, acts of malicious mischief, vandalism and other losses or damages. The Contractor shall be liable for any loss or damage that result from its failure to protect the Site and the Work.

Contractor shall protect adjoining property and nearby buildings, roads, and other facilities and improvements from dust, dirt, debris and other nuisances arising out of Contractor's operations or storing practices. Dust shall be controlled by sprinkling or other effective methods acceptable to University. Contractor shall initiate an erosion and sedimentation control program, which includes measures addressing erosion caused by wind and water and sediment in runoff from Site. Also, Contractor shall initiate a regular watering program to adequately control the amount of fugitive dust in accordance with applicable Air Quality Management District (AQMD) rules (reference Article 4.03, subsections: a-Air Pollution Control and b-Water Pollution Control).

d. Safety.

The Contractor shall exercise precaution at all times for the protection of persons and their property.

- (1) Contractor shall install adequate safety guards and protective devices for all equipment and machinery, whether used in the Work or permanently installed as part of the Project.
- (2) Contractor shall also provide and adequately maintain all proper temporary walks, roads, guards, railings, lights, and warning signs.
- (3) Contractor shall comply with all applicable laws relating to safety precautions, including the safety regulations of the California Division of Industrial Safety. Unless the Contractor designates other employees, its superintendent shall have the duty of prevention of accidents. The Contractor shall institute a safety program that includes all trades on the Site.
- (4) Renovation, expansion, or remodel Work of any existing building may expose workers to lead-containing materials such as paint, flashings, and pipe joints. Contractor shall comply with all applicable laws addressing such exposure, including the Cal/OSHA Lead in Construction Standards (Title 8, California Code of Regulations, section 1532.1).
- (5) The University may bring to the attention of the Contractor a possible hazardous situation in the field regarding the safety of personnel on the Site. The Contractor shall be responsible for verifying the observance of all local, state, and federal workplace safety guidelines. In no case shall this right to notify the Contractor absolve the Contractor of its responsibility for monitoring safety conditions. Such notification shall not imply that anyone other than the Contractor has assumed any responsibility for field safety operations.
- (6) Contractor shall not use explosives without first obtaining written permission from the University and then shall use them only with the utmost care and within the limitations set in the written permission and in accordance with prudence and safety standards required by law. The Trustees prohibit storage of explosives on the Project Site or University. Powder activated tools are not explosive for purposes of this Article; however, such tools shall only be used in conformance with State safety regulations.

In the event of an accident, the Contractor shall make available to the University copies of its accident report to its insurance carrier. The Contractor shall determine the cause of the accident and immediately correct any equipment, procedure, or condition contributing to the accident.

e. Utilities

- (1) If the Contractor discovers utility facilities not identified in the Contract Documents, the Contractor shall immediately notify the University and the utility involved, in writing, of such discovery. When the Contractor is required by the Plans and Specifications to locate, remove or relocate utility facilities not identified in the Contract Documents with reasonable accuracy, it shall be compensated for any reasonable actual added cost incurred. The University shall also compensate the Contractor for the cost of repairing any damage resulting from the discovery of such unidentified utility facility when such damage does not result from the failure of the Contractor to exercise reasonable care. The University shall base all such compensation to the Contractor on actual repair cost plus Contractor and subcontractor mark-up, as identified in Article 6.01-b, Allowable Costs Upon Change Orders, subdivisions (4), (5) and (6). When the damage results from the failure of the Contractor or subcontractor to exercise reasonable care, the University shall reduce both the Contractor's and subcontractor's mark-up by six (6) percent each. The University or the public utility, where it is the owner of the utility facilities, shall have the sole discretion to perform repairs or relocation Work, or permit the Contractor to do such repairs or relocation Work at a reasonable price, where such Work is required to facilitate the Project. If the University or the owner of the utility fails to provide for removal or relocation of such unidentified utility facilities, the University shall not assess liquidated damages on the Contractor for delay in the completion of the Project.
- (2) With the exception of the identification of main or trunk line utility facilities in the Contract Documents, the foregoing provisions of subdivision (1) shall not apply to the presence of existing service laterals or appurtenances. Additionally, the University shall have no obligation to indicate them whenever the presence of such utilities on the Site of the Project can be inferred from the presence of other visible facilities, such as buildings, meter and junction boxes, on or adjacent to the Site of the construction.
- (3) Except as expressly provided in subdivisions (1) and (2) above, the Contractor shall be responsible at its own cost for all Work, expense, or special precautions caused by the existence or proximity of utilities encountered at the Site or in the performance of the Project Work. This would include, without limitation, repair of any damage that may result, including any damage resulting from hand or exploratory excavation.

The University cautions the Contractor that the utilities encountered at the Site may include communication cables or electrical cables conducting high voltage. When excavating in the vicinity of the ducts enclosing such high voltage cables, the Contractor shall:

- observe special precautions at its own cost
- expose all cables and their enclosure ducts by careful hand excavation so as not to damage the ducts or cables nor cause injury to persons, and

- erect appropriate warning signs, barricades, and safety devices.

(4) The Contractor shall provide as-built drawings of all utilities encountered and constructed to the University, indicating the size, horizontal location, and vertical location based on the Project benchmark or a stable datum.

f. **Hazardous Materials**

(1) **Asbestos.**

The Contractor shall not install any asbestos-containing materials or products in any Work performed under this Contract. The Contractor shall be responsible for removal and replacement costs should it be determined this provision has been violated; this responsibility shall not be limited in duration by Project completion, the warranty period, or other provisions of this Contract.

(2) **Lead.**

The Contractor shall not install any lead-containing materials or products, including paint, in any Work performed under this Contract without the written consent of the Executive Facilities Officer and Director of Environmental Health and Safety. The Contractor shall be responsible for removal and replacement costs should it be determined this provision has been violated; this responsibility shall not be limited in duration by Project completion, the warranty period, or other provisions of this Contract.

4.09 Payments by Contractor

In accordance with Business and Professions Code section 7108.5, and unless otherwise agreed in writing by the parties, the Contractor agrees to promptly pay all subcontractors within seven (7) Days of receipt of each progress payment the respective amounts allowed Contractor on account of the Work performed by its subcontractors, to the extent of each such subcontractor's interest therein.

Under this Contract, the Contractor shall pay each employee engaged in Work on the Project and shall require its subcontractors to pay each employee engaged in Work on the Project, in full (less deductions made mandatory by law), and not less often than once each week.

4.10 Responsibility to Secure and Pay for Permits, Licenses, Utility Connections, Etc.

The Contractor shall secure all permits and licenses required for any operations required under this Contract and shall pay all costs relating thereto as well as all other fees and charges that are required by the United States, the State, the county, the city, a public utility, telephone company, special district, or quasi-governmental entity. Contractor is responsible to ascertain the necessity of such permits and licenses in preparing its bid and include in its bid the cost thereof as well as adjustments for any delays that may occur by securing permits and licenses.

4.11 Patented or Copyrighted Materials

The Contractor shall assume all costs arising from the use of patented or copyrighted materials, equipment: devices, or processes used on or incorporated in the Project. The Contractor agrees to save harmless, defend, and indemnify the State of California, the Trustees of the California State University, the University, and the officers, employees, representatives and agents of each of them from all suits, actions, or claims for, or on account of the use of any patented or copyrighted materials, equipment, devices, or processes.

4.12 Property Rights in Materials and Equipment

Nothing in the Contract shall be construed as vesting in the Contractor any property right in the materials or equipment after the Project is complete. All such materials or equipment shall become the property of University upon completion of the Project, and the Contractor warrants that all such property shall pass to University free and clear of all liens, claims, security interests, or encumbrances.

4.13 Taxes

The Contractor shall pay all levied taxes imposed by law that become payable resulting from the Contractor's performance under this Contract.

4.14 Contract Time

a. **Time of the Essence.**

All time limits specified in this Contract are of the essence of the Contract.

b. **Starting and Completion Date.**

The University shall designate in the Notice to Proceed the starting date of the Contract on which the Contractor shall immediately begin and thereafter diligently prosecute the Work to completion. The Contractor agrees to complete the Work on the date specified for completion of the Contractor's performance in the Contract unless the University adjusts such time, in writing, by change order. The Contractor may complete the Work before the completion date if it will not interfere with the University or their other contractors engaged in related or adjacent Work. The University shall regard the Work as completed on the acceptance date noted on the University's Notice of Completion and consider this acceptance date that starts the guarantee period as defined in Article 8.05, Guarantee.

c. Adjustment of Contract Time Due to Acts of God, etc.

Provided that the Contractor shall notify the University in writing of the causes of delay within 24 hours from the beginning of any such delay, the University shall not assess the Contractor with liquidated damages, nor the cost of engineering and inspection, during any delay in the completion of the Project caused by the following:

- acts of God,
- the public enemy,
- fire,
- flood,
- epidemic,
- quarantine restriction,
- strike,
- freight embargo,
- discovery of archaeological or paleontological artifacts, and
- unusual action of the elements.

The University shall determine the facts with regard to the delay and the reasonable time to extend the date of completion by reason thereof, if any. The University's findings thereon shall be final and conclusive.

The University shall not compensate the Contractor for costs associated with this kind of delay.

The term "unusual action of the elements" is limited to extraordinary, adverse weather conditions and conditions that immediately result therefrom which cause a cessation in the progress of the Work which will delay the time for completion of the Contract. Adverse weather is subject to a Contract Time adjustment if it exceeds weather normal for the locality as defined by the National Oceanic and Atmospheric Administration (NOAA).

The Contractor shall have no right to an adjustment in the time of completion due to weather conditions or industrial conditions that are normal for the locality of the Site. The University has calculated the time for completion of the Contract, with consideration given to the average climatic range and usual industrial conditions prevailing in the locality of the Site.

d. Adjustment of Contract Time Due to Acts of the University.

If the Contractor experiences a delay in completing the Contract by:

- reason of any act of the University not provided by the Contract, or by
- reason of changes made pursuant to Article 6.01, Change Orders, without reaching agreement as to any time adjustments,

the University may extend the time for completion of the Contract for a period commensurate with the delay. The Contractor shall notify the University in writing of the causes of the delay within seven Days from the beginning of the delay.

e. Contractor to Prosecute the Work Fully.

The University will grant no extension of time for any causes, unless the Contractor demonstrates to the satisfaction of the University that the Contractor has made every reasonable effort to fully prosecute the Work and complete the Work within the Contract Time. The causes of delay shall be subject to the same determinations as stated in Article 4.14-c, Adjustment of Contract Time Due to Acts of God, etc., above. Contractor shall refer to Article 4.15, Schedule.

f. University's Adjustment of Contract Time.

The Contractor has no right to an extension of time for completion, however, the University may extend the time at the Contractor's request, if they determine it to be in the best interest of the State. If the University extends the time, the University may, as they deem proper, in lieu of assessing liquidated damages, charge the Contractor and its successors, heirs, assigns, or sureties, and deduct the following from the final payment for the Work:

- all or any part of the value of the lost use of the completed Project, and
- the actual cost to the University of engineering, inspection, superintendence, and other overhead expenses which are directly chargeable to the Contract, and which accrue during the period of such extension. Such costs will not exceed liquidated damages.

g. Adjustment of Contract Time due to Reasons beyond University's Control.

Due to any litigation or other reason beyond the University's control that prevents or enjoins the University from proceeding with Work either before or after the start of construction, the Contractor shall not be entitled to make or assert any claim for damage by reason for said delay. The University will extend the time for completion of the Work to such reasonable time as the University may determine will compensate the Contractor for time lost by such delay. The University will set forth in writing any such determinations.

h. Liquidated Damages.

Reference Article 7.02, Delay in Completion – Liquidated Damages.

4.15 Schedule

- a. The Contractor shall prepare and submit to the University's Construction Administrator the Contractor's Initial Construction Schedule within fifteen (15) Days after the starting date on the Notice to Proceed. The Contractor's Initial Construction Schedule shall be a Detailed Bar Chart or format acceptable to the University.
- b. The Contractor shall show on the initial Construction Schedule the sequence, duration in Days, and interdependence of activities required for the complete performance of all Work. The Contractor's Initial Construction Schedule shall begin with the date of issuance of the Notice to Proceed and conclude with the date of final completion.

4.16 Labor Force and Superintendent

At all times the Contractor shall provide sufficient labor to properly prosecute the Work and to ensure completion of each part in accordance with the Construction Schedule and within the Contract Time (Public Contract Code section 10843). The Contractor shall employ competent workers who are skilled in the type of Work required and whose workmanship is of the best, regardless of the quality of material. If, in the judgment of the Trustees, any person is incompetent or disorderly, the Contractor shall promptly remove such person from the Project and shall not re-employ such person thereon.

The Contractor shall retain a competent, full-time, on-site superintendent to represent the Contractor and to direct the Project at all times while any Work under this Contract is underway. The Contractor shall not replace a Superintendent without advanced written approval from the Trustees. If, in the judgment of the Trustees, the Superintendent is incompetent, unqualified, poorly performing or disorderly, the Contractor shall promptly remove such person from the Project and shall not re-employ such person thereon. In this event the Trustees shall approve the replacement Superintendent.

The Superintendent shall prepare a daily report that includes worker count, Work in progress, etc., and shall provide it to the Trustees upon request.

The Contractor shall make certain that all subcontractors employed are properly licensed and are in good standing with the California Department of Industrial Relations.

4.17 Limitation of Construction Operations

The Contractor shall limit the area and nature of the construction operations to that which is authorized in the Plans and Specifications or approved by the Trustees.

4.18 Coordination with Other Work

The Trustees reserve the right to do other Work in connection with the Project or adjacent thereto by Contract or otherwise, and the Contractor shall at all times conduct the Work so as to impose no hardship on the Trustees or others engaged in the Trustees' Work nor to cause any unreasonable delay or hindrance thereto. Where two or more contractors are working on related or adjacent Work, each shall conduct its operation in such a manner as not to cause delay or additional expense to the other.

The Contractor shall be responsible to others engaged in the related or adjacent Work for all damage to Work, to persons and to property, and for loss caused by failure to complete the Work within the specified time for completion. The Contractor shall coordinate its Work with the Work of others so that no discrepancies shall result in the Project.

4.19 Drawings Reflecting Actual Construction

During the course of construction, the Contractor shall maintain drawings daily to show the Project as it is actually constructed. Contractor shall mark every sheet of the Plans and Specifications that differs from the actual construction and shall note sheets so changed on the title sheets of the Plans and Specifications. Contractor shall show all change orders by reference to drawings and include any supplementary drawings or change order drawings. The Contractor shall provide sufficient detail to the altered Contract drawings so that contractor(s) may conduct future Work on the Project or in adjacent areas with a minimum of difficulty. Before the completion of the Project, and before the University releases the final retention payment, Contractor shall transmit the "as-built" drawings and Specifications to the Construction Administrator.

4.20 Access for Inspection

The Contractor shall at all times permit the University to visit and inspect the Work and shall maintain proper facilities and provide safe access for such inspection. Contractor shall not cover up Work requiring testing, inspection or verification without such test, inspection, or approval.

4.21 Cleanup of Project and Site

The Contractor shall clean up its Work at frequent intervals and shall clean up its Work at other times when directed by the University. At all times while finish Work is underway, Contractor shall keep floors broom clean. Upon completion of the Work, the Contractor shall promptly remove from the premises construction equipment and any waste materials not previously disposed of, leaving the premises thoroughly clean and ready for occupancy.

When two or more contractors are engaged in Work at or near the Site, each shall be responsible for cleanup and removal of its own rubbish, equipment, and any waste materials not previously disposed.

In the event the Contractor does not maintain the Project or the Site clear of debris and rubbish in a manner acceptable to the University, the University may opt to arrange to clean the Project or Site and withhold the expense incurred therefor from payments due the Contractor.

5.00 - INTERPRETATION OF AND ADHERENCE TO CONTRACT REQUIREMENTS

5.01 Interpretation of Contract Requirements

- a. Correlation.
Contract Documents shall be interpreted as being complementary, requiring a complete Project. Any requirement occurring in any one of the Contract Documents is as binding as though occurring in all Contract Documents. Generally, the specifications address quality, types of materials and Contract conditions while the Plans show placement, sizes, and fabrication details of materials.
- b. In the event of conflict in the Contract Documents, the priorities stated below shall govern:
- (1) Addenda shall govern over all other Contract Documents, and subsequent Addenda shall govern over prior Addenda only to the extent modified.
 - (2) Supplementary General Conditions shall govern over Contract General Conditions.
 - (3) Contract General Conditions shall govern over all sections of the Specifications and any notation on the Plans. No other section of the Specifications shall modify the Contract General Conditions.
 - (4) In case of conflict between Plans and Specifications, the Specifications shall govern.
 - (5) Conflicts within the Plans:
 - (a) Material and equipment schedules, when identified as such, shall govern over all other portions of the Plans.
 - (b) Specific notes shall govern over all other notes and all other portions of the Plans except the material and equipment schedules described in Article 5.01-b (5) (a), above.
 - (c) Larger scale drawings shall govern over smaller scale drawings.
 - (d) Figured or numerical dimensions shall govern over dimensions obtained by scaling.
 - (6) In the event provisions of codes, safety orders Contract Documents, referenced manufacturers' specifications or industry standards are in conflict, the more restrictive or higher quality shall govern.
- c. In the event of omissions in the Contract Documents, the following shall apply:
- (1) If the Contract Documents are not complete as to any minor detail of a required construction system or with regard to the manner of combining or installing of parts, materials, or equipment, but there exists an accepted trade standard for good and skillful construction, Contractor shall deem such detail an implied requirement of the Contract Documents in accordance with such standard. "Minor Detail" shall include the concept of substantially identical components, where the price of each such component is small even though the aggregate cost or importance is substantial, and shall include a single component that is incidental, even though its cost or importance may be substantial.
 - (2) The quality and quantity of the parts or material so supplied shall conform to trade standards and be compatible with the type, composition, strength, size, and profile of the parts of materials otherwise set forth in the Contract Documents.

5.02 Issuance of Interpretations, Clarifications, Additional Instructions

Should the Contractor discover any conflicts, omissions, or errors in the Contract or have any question concerning interpretation or clarification of the Contract, the Contractor shall request in writing interpretation, clarification, or additional detailed instructions, before proceeding with the Work affected. Contractor shall provide the written request to the University with copies to the Inspector.

The University, shall, within a reasonable time, issue in writing the interpretation, clarification, or additional detailed instructions requested.

Should the Contractor proceed with the Work affected before receipt of the interpretation, clarification, or instructions from the University, the Contractor shall replace or adjust any Work not in conformance therewith and shall be responsible for any resultant damage or added cost.

Should any interpretation, clarification, or additional detailed instructions, in the opinion of the Contractor, constitute Work beyond the scope of the Contract, the Contractor must submit written notice thereof to the University within seven (7) Days following receipt of such interpretation, clarification, or additional detailed instructions and in any event prior to commencement of Work thereon. The Contractor shall submit an explanation of how the interpretation, clarification, or additional detailed instruction constitutes Work beyond the scope of the Contract, along with a detailed cost breakdown and an explanation of any delay impacts.

If, in the judgment of the University, the notice is justified, the interpretation, clarification or additional detailed instructions shall either be revised or the extra Work authorized by Contract change order or by field instruction with a change order to follow. If the University decides that the claim is not justified, the University shall give the Contractor a written order that the claim is not justified and direct the Contractor to perform such Work.

The Contractor must proceed with the Work upon receipt from the University of a written order to do so, in accordance with the University's interpretation of the Contract requirements. If the Contractor objects to the order, the Contractor must notify the University in writing of its objection and the reasons therefor, within seven (7) Days of receipt of the order. The Contractor shall have the right to have this claim later determined by a Claims Review Board pursuant to this Contract (see Article 7.01, Claims). When performing disputed Work, the Contractor shall prepare time and materials records for each day, and the Construction Inspector shall verify these records at the conclusion of each day. The Contractor shall have no claim for additional compensation because of such interpretation, clarification, or additional detailed instruction, unless it gives the written notices required to the University within seven (7) Days as specified above.

5.03 Product and Reference Standards

a. Product Designation.

When descriptive catalog designations, including the manufacturer's name, product brand name, or model number are referenced in the Contract, Contractor shall consider such designations as those found in industry publications of current issue as of the bid opening date specified in the Notice to Contractors.

b. Reference Standards.

When standards of the federal government, trade societies, or trade associations by specific date of issue, the Contractor shall consider these a part of this Contract. When such references do not bear a date of issue, Contractor shall consider the current and most recently published edition as of the bid opening date specified in the Notice to Contractors a part of this Contract.

5.04 Shop Drawings, Samples, Alternatives or Equals, Substitutions

a. Submittal Procedure.

"Shop drawings" include drawings, diagrams, illustrations, material and equipment schedules, performance charts, brochures and catalogs and other data prepared by the Contractor or any subcontractor, manufacturer, supplier or distributor, and which illustrate some portion of the Work. So as to cause no delay in the Work, the Contractor shall review and approve all shop drawings. Once approved, the Contractor shall: promptly review and mark the shop drawing "approved" and submit it to the University, together with submittal samples as required by the Contract, and also submit any offers of alternatives or substitutions. Contractor shall submit at least six copies of shop drawings as well as electronic copies, as may be required by University for electronic management. Contractor shall send all such submittals to the party given in the instructions to the Contractor at the job start meeting. A letter shall accompany the submitted items containing a list of all matters submitted and identifying all deviations in the shop drawings and samples from the requirements of the Contract. Failure by the Contractor to identify all deviations may render any action taken on the materials submitted to be void. Whether to void such action shall be in the discretion of the University. By submitting the approved shop drawings and samples, the Contractor represents that Contractor has verified the data contained therein with conditions as they actually exist and that the shop drawings and samples have been checked and coordinated with the Contract.

b. Samples.

"Samples" are physical examples furnished by the Contractor to illustrate materials, equipment, color, texture, or workmanship, and to establish standards for judging the Work. Physical samples shall govern in the case of a conflict between finish schedules, specifications, other submittals, and the physical sample.

The Contractor shall remove samples from the Site when directed by the University. If Contractor does not remove samples from the Site, the University may opt to claim the samples as the property of the University, or the University will remove or dispose of them at the Contractor's expense.

c. Alternatives or Equals.

For convenience in designation on the plans or in the specifications, certain materials or equipment may be designated by a brand or trade name or the name of the manufacturer together with catalog designation or other identifying information, hereinafter referred to generically as "designated by brand name." Alternative material or equipment which is of equal quality and of the required characteristics for the purpose intended may be proposed for use provided the Bidder complies with the following requirements:

- (1) The Bidder shall submit its proposal to the University for an alternative as an "equal" in writing no later than 35 Days after the award of the Contract, unless otherwise specified in the Supplementary General Conditions (Public Contract Code section 3400). In exceptional cases the University may give written consent to a submittal or re-submittal received after the expiration of the time limit designated. The Bidder is responsible for timely submittal of its proposed "or equal."

- (2) The University will consider no proposal unless accompanied by complete information necessary to permit determination of the equality of the offered materials or equipment. Provide samples when requested by the University.
- (3) The burden of proof as to the comparative quality and suitability of the offered materials or equipment shall be upon the Bidder. Where the material is specified by capacity or performance, the burden of proof shall be on the Bidder/Contractor to show that any particular equipment or materials meet the minimum capacities or the performance requirements specified. The Bidder/Contractor shall furnish at its own expense all information necessary for a determination regarding meeting the minimum capacities or performance requirements.

The University shall be the judge of such matters. If the University rejects the use of any alternative materials or equipment, then Contractor shall furnish one of the products designated by brand name.

If changes or delays are required for proper installation or fit of alternative materials, articles, or equipment, or because of deviations from Contract Documents, Contractor shall make such changes or delays at the Contractor's expense without recourse for reimbursement from the University.

d. Substitutions.

If the Contractor proposes a product that is of lesser or greater quality or performance than the specified material or equipment, it must comply with these provisions of Article 5.04, but, in addition, the Contractor must submit any cost impact. By submitting a substitute, the Contractor waives any rights to claim a delay due to the processing of this substitution. The time for submittal of a substitution of an unequal product shall be restricted to 35 Days after the effective date on the Notice to Proceed unless the University allows a longer or shorter period in writing. The University is not obligated to review or accept substitutions.

5.05 Quality of Materials, Articles and Equipment

Materials, articles and equipment furnished by the Contractor for incorporation into the Work shall be new. When the Contract requires that materials, articles or equipment be furnished, but the quality or kind thereof is not specified, the Contractor shall furnish materials, articles or equipment at least equal to the kind or quality or both of materials, articles or equipment that are specified.

5.06 Testing Materials, Articles, Equipment and Work

The University specifies in this Contract the materials, articles, equipment or other Work requiring tests. The Contractor shall deliver to the Site all materials, articles and equipment requiring tests in ample time before intended use to allow for testing.

Contractor shall not use these prior to testing and receipt of written approval. The Contractor shall be solely responsible for notifying the University where and when materials, articles, equipment and Work are ready for testing. Should Contractor cover any such materials, articles, equipment or Work without testing and approval, if required, Contractor shall uncover them at the Contractor's expense.

5.07 Rejection

Should any portion of the Work done, or any materials, articles or equipment delivered fail to comply with the requirements of the Contract, the University shall reject such Work, materials, articles or equipment in writing and the rejected Work shall immediately be made satisfactory to the University, by the Contractor, at no additional expense to the University. Contractor shall immediately remove any rejected Work from the premises at the Contractor's expense. The University may retain one and one-fourth times the cost of the rejected materials, articles, equipment, and Work from any payments due the Contractor until it is made acceptable to the University. The University may back charge the Contractor for design costs incurred in the correction of Contractor's rejected Work.

5.08 Responsibility of Quality

The testing and inspection provided by the University shall not relieve the Contractor of its responsibility for the quality of materials and workmanship provided by the Contractor, and the Contractor shall make good all defective Work discovered during or after completion of the Project.

6.00 - CHANGES IN THE WORK

6.01 Change Orders

The University reserves the right to issue written orders, or Field Instructions, to the Contractor, and the University's Construction Administrator shall sign them. Through the use of Field Instructions, the Construction Administrator may direct changes in the Work at any time prior to the acceptance of the Project without voiding the Contract, and Contractor shall promptly comply with such orders. The Contractor may request changes in the Work but shall not act on the changes until approved in writing by the University. Any change made without the University's written authorization shall be the responsibility of the Contractor; in this case, the University will not increase compensation or extend time, or a change involving greater expense to the Contractor and may reject changes. The consequent responsibility falls on the Contractor to replace at its own

expense the changed Work with that originally specified (Public Contract Code section 10827).

On the basis set forth herein, the University shall adjust the Contract price for any written order or Field Instruction requiring a different quantity or quality of labor, materials or equipment from that originally required, and the University shall adjust the partial payments to the Contractor to reflect the change, as set forth in Article 8.02, Partial Payments. Whenever the necessity for a change arises, and when so ordered by the University in writing, the Contractor shall take all necessary steps to halt such other Work in the area of the change, to prevent the change affecting the other Work. Contractor shall perform changed Work in accordance with the original Contract requirements except as modified by the change. Except as herein provided, the Contractor shall have no claim for any other compensation due to changes in the Work (Public Contract Code section 10841).

a. Proposed Change Orders.

The University shall issue to the Contractor a cost request bulletin or field instruction, for a proposed change order describing the intended change. Further, the University shall require the Contractor to respond with a proposed amount added to or subtracted from the Contract price due to the change and supported by a detailed estimate of cost (hereinafter called a change order request (COR)). Upon request by the University, the Contractor shall permit inspection of the original Contract estimate, subcontract agreements, or purchase orders relating to the change. The Contractor shall also include in its response to the cost request bulletin, with substantiating detailed explanation, any request for adjustment in time of final completion of the Project that is directly attributable to the changed Work. Contractor's failure to request adjustment of time on the COR shall waive any right to subsequently claim an adjustment of the time for final completion based on the changed Work. The Contractor shall submit the COR with detailed estimates and any time extension request thereon to the University and the Project Manager/Construction Inspector within fifteen (15) Days after issuance of the cost request bulletin or field instruction, with a copy to the Project Manager/Construction Inspector. If the Contractor does not submit the COR within the required fifteen (15) Days, and the Contractor has not obtained the University's permission for a delay in submission, the University may order the Contractor in writing to begin the Work immediately, in accordance with Article 6.01-d or Article 6.02. Then the University shall adjust the Contract price in accordance with the University's estimate of cost, unless the Contractor within fifteen (15) Days following completion of the changed Work presents proof convincing to the University that the University's estimate was in error. For any amount added to the Contract price for the changed Work, the University shall determine payment, made in one of the following three ways: a lump sum amount, time and materials with a guaranteed maximum price, or time and materials with no guaranteed maximum price. If the parties agree on either of the latter two methods, the Contractor shall keep and submit time and materials records verified daily by the Construction Inspector to substantiate its costs and to furnish such proof.

When the University and the Contractor agree on:

- the amount to be added to the Contract price or deducted from the Contract price and
- the time to be added to the Contract completion date or deducted from the Contract completion date, and
- the University and Contractor sign a Contract Change Order,

then Contractor shall proceed with the changed Work.

When the University and the Contractor agree to the adjustment in the Contractor's compensation for the performance of changed Work, but fail to agree to the time adjustment for such Work, the Contractor shall proceed with the Work at the agreed price, reserving the right to further pursue its claim for a time adjustment (reference Article 4.14-d, Adjustment of Contract Time Due to Acts of the University). The University shall not bear any costs incurred to acquire information relative to a proposed change order.

b. Allowable Costs upon Change Orders.

The only costs (estimated or actual) allowable due to changed Work, and the manner in which such costs are computed, shall be in accordance with the following eight provisions. In submitting a change order request, the Contractor affirms:

- that the cost is submitted in good faith,
- that the cost is accurate and is in accordance with the provisions of the Contract requirements, and
- that the Contractor submits the cost recognizing the significant civil penalties and treble damages which follow from making a false claim or presenting a false claim to the University (Government Code sections 12650 *et seq.*).

The definition of the term "Direct Cost" is the actual cost of Work before the application of any mark-ups for overhead and profit. In addition to items identified in the following provisions, direct cost items may include hoisting, clean up (both periodic and final), trash removal, traffic control, and dust control.

(1) Labor.

Costs are allowed for the actual payroll cost to the Contractor for labor, field supervision of changed Work, (but not field office supervision nor indirect supervision) and engineering or technical services directly required for the performance of the changed Work (but not Site management such as field office estimating, clerical, purchasing, as-builts, change order coordination, or warranty). Costs include payments, assessments, or benefits required by lawful labor union collective bargaining agreements, compensation insurance payments, contributions made to the State pursuant to the Unemployment Insurance Code, and for taxes paid to the federal government required by the Social Security Act.

The University will not recognize any labor cost at a rate in excess of the wages that the Contractor paid for similar Work on the Project at the time Contractor performed the Work. Nor will the University permit the use of a classification that would increase the cost of labor, unless the Contractor established to the satisfaction of the University the necessity for use of such higher classifications of workers. On a proposed change, the Contractors and subcontractors shall submit a fully detailed breakdown of the cost of every labor classification to be utilized in the Work on the Hourly Labor Rate Worksheet. The University may verify wage and burden per Article 4.02-a, Prevailing Wage, subdivision (6). The Contractor shall ensure that the unit cost of labor shall be an accurate accounting of actual costs paid in accordance with the allowances herein, and it shall be submitted under penalty of perjury.

(2) Materials.

The University allows Contractor's costs for the cost of the materials directly required for the performance of the changed Work. Such cost of materials may include the costs of transportation, sales tax, and delivery if necessarily incurred. If a trade discount by the actual supplier is available to the Contractor, Contractor shall provide the credit to the University. If Contractor obtains the materials from a supply or source owned wholly or in part by the Contractor, payment therefor will not exceed the current wholesale price for such materials. Contractor may charge cost for consumed materials on a reasonably estimated basis but may not be a percentage of labor.

If the University deems that the cost of materials is excessive, or if the Contractor fails to furnish satisfactory evidence of the cost from the actual suppliers thereof, then the cost of the materials shall be deemed to be the lowest wholesale price at which similar materials are available in the quantities required at the time they were needed. The University reserves the right to furnish such materials as they deem advisable, and the Contractor shall have no claim for costs or profits on material furnished by the University.

(3) Equipment.

The University allows Contractor's actual costs for the use of equipment directly required in the performance of the changed Work, except that the University will make no payment for time while equipment is inoperative due to breakdowns or for non-working days. The rental time shall include the time required to move the equipment to the Project Site from the nearest available source for rental of such equipment, and to return it to the source. If such equipment does not move by its own power, then the University will pay loading and transportation costs. However, the University will not pay either moving time or loading and transportation costs, if Contractor uses the equipment on the Project in any other way than upon the changed Work. Small tools or small equipment are individual pieces of equipment having a replacement value of \$200.00 or less, and the University will make no payment therefor unless it has been rented specifically for the changed Work. For consumed equipment or tools, such as paintbrushes, rollers, drill bits, etc., Contractor may charge on an actual or reasonably estimated cost basis and shall not charge as a percentage.

For equipment owned, furnished, or rented by Contractor, the University shall not pay any cost in excess of the rental rates established by distributors or equipment rental agencies in the locality of the performed Work.

The University shall pay the Contractor an amount that includes mark-up for the use of equipment as set forth above. The University's payment constitutes full compensation to the Contractor for the costs of the following: of fuel (unless the Contractor has demonstrated that mark-up does not cover consumed fuel cost), power, oil, lubrication, supplies, small tools, small equipment, necessary attachments, repairs and maintenance of any kind, depreciation, storage, insurance, and any and all Contractor's costs incidental to the use of such equipment. Equipment operators shall be paid as provided in Article 6.01-b (1), above.

(4) Mark-ups on Change Orders.

The mark-ups allowed on the direct cost of changed Work include all incidental overhead support costs and profit. Such incidental overhead support costs include estimating and purchasing; indirect supervision and project management; home office overhead; Site overhead including facilities and utilities; change order coordination; as-built drawings; warranties; bonds; course of construction and liability insurance including labor; and small tools. Any incidental overhead support cost not expressly identified herein shall be included in the Contractor's mark-up. The University will not permit mark-up on mark-up. If the Contractor owns, partially owns, or has a shared profits arrangement with the subcontractor, Contractor shall reduce any mark-up otherwise applicable to a change in proportion with the shared profits.

(5) Work by Subcontractors and Vendors.

For any portion of the changed Work which a subcontractor of any tier performs, the Contractor shall furnish to the University a detailed estimate, prepared and signed by subcontractor, of the subcontractor's cost for performing the changed Work. The University may opt to accept a lump sum estimate of such cost to subcontractor, in lieu of the detailed estimate.

The combined costs for subcontractor's overhead, profit, taxes, indirect supervision, insurance, bonds, and any other costs not specifically allowed by Article 6.01-b (1), (2), and (3), shall not exceed fifteen (15) percent on the

first \$50,000 of the direct cost; thereafter, ten (10) percent on the balance beyond \$50,000. The maximum allowable mark-up of a first-tier subcontractor on any subsequent tiers shall be seven (7) percent. The aggregate mark-ups allowed by multiple tiered subcontractors shall not exceed twenty-six (26) percent of the direct cost on the first \$50,000; thereafter, twenty-one (21) percent on the balance beyond \$50,000.

Estimates of the amount deleted from subcontractor's portion of the Work shall be the gross value of the deducted Work plus at least six percent for overhead, bonds, insurance, and related savings added to the direct value of the deleted Work. For changed Work to be furnished by a vendor, the Contractor shall furnish upon demand of the University, a lump sum estimate of the cost of the items including taxes and cartage prepared by the vendor. The University will not allow vendor mark-up for overhead, profit, layout, supervision or bonds for changed Work furnished by a vendor.

(6) General Contractor Mark-up for Added Work.

When a subcontractor performs changed/added Work, the Contractor may add no more than ten (10) percent mark-up to the subcontractor's total direct cost estimate (excluding the subcontractor's mark-up) for such Work on the first \$50,000; thereafter, the mark-up is seven (7) percent on the balance beyond \$50,000. The Contractor's ten percent mark-up in this case is for profit, overhead, insurance, taxes, indirect supervision, bonds, warranty and any other costs not specifically allowed by Article 6.01-b (1), (2) and (3). Also reference Article 4.08-e, Utilities, for special mark-up on repair of utilities. Contractor may add up to fifteen (15) percent to its direct cost when self-performing the changed Work on the first \$50,000, and ten (10) percent thereafter on the balance beyond \$50,000.

(7) Credit for Deleted Work.

Where an entire item or section of Work is deleted from the Contract, the entire subcontract value or bid value shall be considered the appropriate deduction less the value of Work performed and shall have at least six percent mark-up added thereto for the Contractor's saved overhead, bonds, insurance, and taxes. If the subcontract value or bid value is not identifiable, then deduct from the Contract Amount the estimated value of the deducted Work plus at least six percent for saved overhead, bonds, and insurance. Contractor shall use the value submitted on the schedule of values to calculate the credit amount and may not be further marked up if it includes the value for general conditions (overhead, bonds, insurance, etc.).

For a proposed change order that involves both added and omitted Work, the Contractor shall separately calculate its total added costs and its total deducted costs and shall then sum its total added and deducted costs, resulting in the Contractor's net cost for the change order. The Contractor shall then apply the mark-up to this net cost. Similarly, the Contractor shall separately calculate each subcontractor's total added costs and total deducted costs and shall then sum each subcontractor's total added and deducted costs, resulting in each subcontractor's net cost for the change order. If the resulting net costs for each subcontractor will increase the Contract price, then the Contractor shall apply separate mark-ups for added Work as specified in Article 6.01-b (6). If the resulting net costs for each subcontractor will decrease the Contract price, then the Contractor shall apply separate mark-ups for deleted Work as specified in Article 6.01-b (7).

For example:

Contractor - net cost is \$30,000, Contractor's mark-up is 15%, or \$4,500.

Subcontractor A - net cost is \$20,000, Contractor's mark-up is 10%, or \$2,000.

Subcontractor B - net cost is <\$10,000>, Contractor's mark-up is six percent, or <\$600>.

The Contractor's total mark-up for this example change order is \$5,900.

(8) Market Values.

Cost for added Work shall be no more than market values prevailing at the time of the change, unless the Contractor can establish to the satisfaction of the University that it investigated all possible means of obtaining Work at prevailing market values and could not avoid the excess cost.

When a change order deletes Work from the Contract, the computation of the amount thereof shall be the values, which prevailed at the time bids for the Work were opened, if the Work is contained in a subcontract agreement or purchase order executed at or near the time bids were opened.

c. Failure to Agree as to Cost

(1) For Added Work.

Notwithstanding the failure of the University and the Contractor to agree as to the cost of the proposed change order, the Contractor, upon written order from the University, shall proceed immediately with the changed Work. This written order shall be in the form of a Field Instruction or letter signed by the University. At the start of each day's Work on the change, the Contractor shall notify the University in writing as to the size of the labor force for the changed Work and its location. Contractor's failure to notify the University may result in the non-acceptance of the costs for that day. At the completion of each day's Work, the Contractor shall furnish to the Construction Inspector a detailed summary of all labor, materials, and equipment employed in the changed Work. The Construction Inspector will compare his/her records with Contractor's daily summary and may make any necessary

adjustments to the summary. After the Construction Inspector and the Contractor agree upon and sign the daily summary, the summary shall become the basis for determining costs for the additional Work. The sum of these costs when added to an appropriate mark-up will constitute the payment for the changed Work. The University, however, may make subsequent adjustments, based on later audits by the University. When Contractor performs changed Work at locations away from the jobsite, the Contractor shall furnish in lieu of the daily summary, a summary submitted at the completion of the Work containing a detailed statement of labor, material, and equipment used in the Work. This latter summary shall be signed by the Contractor, who shall certify thereon under penalty of perjury that the information is true, and the costs are as allowed in Article 6.01-b (1), (2) and (3). If Contractor is to pay changed Work on the basis of time and materials, Contractor shall include a credit for deleted Contract Work. Mark-up shall be as covered in Article 6.01-b (4), (5), (6) and (7).

The Contractor shall maintain and furnish on demand of the University itemized statements of cost from all vendors and subcontractors who perform changed Work or furnish materials and equipment for such Work. The vendors and subcontractors must sign all statements.

(2) For Deleted Work.

When a proposed change order contains a deletion of any Work, and the University and the Contractor are unable to agree upon the cost thereof, the University's estimate may be deducted from the Contract price. The University may withhold from any payment due the Contractor, until the Contractor presents proof convincing to the University that the University's estimate was in error. The amount to be deducted, other than deletion of an entire item as addressed in Article 6.01-b (7), shall be the costs to the Contractor for labor, materials, and equipment which would have been used on the deleted Work together with the credit mark-up. Use the guidelines set forth in Article 6.01-b in computing the amounts involved for changes other than deletion of an entire item.

d. Allowable Time Extensions.

For any change in the Work, the Contractor shall be entitled only to such adjustments in time by which completion of the entire Work is delayed due solely to performance of the changed Work. However, the University will not grant an extension of time for a change in the Work, unless the Contractor:

- demonstrates to the satisfaction of the University that the Work is on the critical path and
- submits an updated CPM schedule showing that an extension of time is required and
- is making, or has made, every reasonable effort to guarantee completion of the additional Work called for by the change within the time originally allotted for the Contract (Public Contract Code section 10842).

Attention is directed to Article 4.14, Contract Time, and Article 4.15, Schedule.

e. Use of Allowances.

The University uses allowances for specific and discrete scopes of Work that are indeterminate at time of bid and may cause allowances to be included in the base bid as estimates for this Work. Examples of allowances include but are not limited to keying, hard rock excavations, special utility permits or utility connection fees. The University shall authorize each debit from an allowance in writing, using a field instruction. Debits from allowances and mark-ups on allowance work performed by subcontractors shall be in accordance with this Article 6. Since allowances are a part of the base Contract Work, the University will not award additional mark-up to Contractor for work performed within the allowance by Contractor or any subcontractor. Contractor shall include a six-percent mark-up on a credit change order for any unused portion of an allowance. Work performed in excess of an allowance is subject to normal mark-ups in accordance with this Article 6.

Contractor shall maintain an allowance log, indicating each debit from each allowance, and submit it with the monthly payment application for the Trustees' approval.

6.02 Emergency Changes

Following are the kinds of emergency changes that the University may authorize in writing to the Contractor:

- a. changes in the Work agreed by the University to be necessary due to unforeseen Site conditions,
- b. discovery of errors in Plans or Specifications requiring immediate clarification in order to avoid a serious Work stoppage, and
- c. changes of a kind where the extent cannot be determined until completed, or under any circumstances whatsoever when deemed necessary by the University.

The Contractor shall commence performance of the emergency change immediately upon receipt of written direction from the University.

If the University and the Contractor reach an agreement as to compensation and/or time adjustment for the purpose of any emergency change, then compensation and/or time extension, as appropriate, will be as provided in Article 6.01 relating to ordinary changes. If the University and the Contractor do not reach an agreement on compensation and/or time adjustment at the time of commencing the emergency change, then compensation and/or time extension, as appropriate, will be as provided in Article 6.01-c. All time and materials records and summaries shall be witnessed on a daily basis, and maintained until either a lump sum payment and/or time extension, as provided in Article 6.01-d, is agreed upon, or the changed Work is completed.

Within ten business days following conclusion of meet and confer conference, the Trustees shall provide Contractor a second written statement identifying the portion of the claim that remains in dispute and the portion that is undisputed. The Trustees shall pay the undisputed portion within 60 days after the Trustees issue the second written statement.

- e. **Nonbinding Claims Review Board**
Contractor shall submit any remaining disputed portion of the claim to a nonbinding Claims Review Board. If the Claims Review Board is unsuccessful, Contractor may submit the disputed portion of the claim to mediation.
- f. **Contractor Submission of Unresolved Claims.**
Contractor shall submit all claims in writing in accordance with this Article 7.01 to the Trustees no later than 30 Days after the County Recorder's recordation date on the Trustees' Notice of Completion. The Contractor's failure to submit its claims to the Trustees within this 30-Day period shall constitute a waiver by the Contractor of such claims. Once Contractor has submitted the claims, and the 30 Days after the County Recorder's recordation date on the Notice of Completion have expired, Contractor may not submit any additional claims. Contractor shall have 30 additional Days in which to submit six copies of a total and detailed claims package. Failure to submit the full detailed package within this second 30-Day period shall constitute a waiver by the Contractor of such claims.
- g. **False Claims.**
Contractor submits the claim recognizing the significant civil penalties and treble damages, which follow from making a false claim or presenting a false claim to the Trustees (reference Government Code sections 12650 *et seq.*).
- h. **Trustees' Claim(s) Submittal.**
The Trustees shall submit a rebuttal to the Contractor's claim, along with any Trustees' claims to the Claims Review Board within a reasonable time after the submission by the Contractor of a total and detailed claims package or the expiration of the time to file Contractor's claims.
- i. **Contractor Rebuttal to Trustees' Claims.**
Upon submission of any Trustees claims, the Contractor shall have an additional 30-day period to submit to the Claims Review Board the Contractor's rebuttal to the Trustees' claims.
- j. **Claims Review Board.**
The Trustees will convene a Claims Review Board to hear the submitted claims at the completion of the Project. Each Claims Review Board shall continue to function until the members review all pertinent facts and arrive at a recommendation. The Assistant Vice Chancellor for Capital Planning, Design and Construction, or a designee administers the Claims Review Board process. These administrative responsibilities include, but are not limited to, selection of the Claims Review Board members, determination of the time and location of the hearing, and application of the Claims Review Board procedures. The Claims Review Board is comprised of representatives of the California State University, which may include representatives of Capital Planning, Design and Construction staff who have not had any direct connection to the Project. It is a neutral, lay dispute resolution board, in which an independent third-party board assists the parties in dispute resolution through negotiation or by issuance of an evaluation or recommendation. Attorneys and third-party claims specialists may not participate in the hearings, with the exception of scheduling consultants. The Board's recommendation will be made as soon as possible after the conclusion of the hearing, and that recommendation is made to the appropriate University official and the Assistant Vice Chancellor of Capital Planning, Design and Construction.

The decision to accept or reject the Board's recommendation is the responsibility of either the University official, if the University administered the Project, or the Assistant Vice Chancellor, Capital Planning, Design and Construction, if the Chancellor's Office administered the Project. The decision of the University official or the Assistant Vice Chancellor (as appropriate) exhausts the Contractor's contractual and administrative remedies with the Trustees.
- k. **Actions Post Claims Review Board.**
 - (1) **Initial Mediation.**
Should a dispute remain unresolved following exhaustion of the Claims Review Board process, the parties shall attempt in good faith first to mediate such dispute and use their best efforts to reach agreement on the matters in dispute.

Within ten business days after the Trustees have identified the disputed portion in the Trustees' second written statement, the Trustees and Contractor shall mutually agree to a mediator, for which the Trustees and the Contractor shall share the costs equally. If Contractor and Trustees cannot agree on a mediator, each party shall select a mediator, and these mediators shall select a qualified neutral third party to mediate with regard to the disputed portion of the claim. Each party shall bear the fees and costs charged by its respective mediator in connection with the selection of the neutral mediator.
 - (2) **Other Dispute Resolution.**

If, on completion of such mediation, the parties are unable to agree and settle the dispute, then the parties may pursue the dispute in litigation or through some other dispute resolution technique, except arbitration.

7.02 Delay in Completion—Liquidated Damages

If the Contractor does not complete the Work within the time required, damage will be sustained by the University. It is, and will be, impractical and extremely difficult to determine the actual damage that the University will sustain due to the delay. It is therefore agreed that the Contractor will pay to the University the sum of money stipulated per Day in the Contract for each Day's delay in completing the Work beyond the time prescribed, reference Article 8.01, Acceptance. If the Contractor fails to pay such liquidated damages, the University may deduct the amount thereof from any money due or that may become due the Contractor under the Contract (Public Contract Code section 10826). If the University has occupancy of all or a portion of the Project, the University may reduce the amount of assessment of liquidated damages, if it is determined to be in the best interest of the University. University's assessment of liquidated damages shall not commence on a Saturday, Sunday or legal holiday.

7.03 Failure to Meet Terms of Contract

If the University deems that the Contractor has failed to supply an adequate working force, or material of proper quality, or has failed in any other respect to prosecute the Work with the diligence and force specified in the Contract, then the University may take any of the actions authorized in Public Contract Code section 10843 *et seq.* The Contractor's failure to complete a punch list with diligence is an example of such failure to meet the terms of the Contract.

7.04 Third-Party Claims

The University has full authority to compromise or otherwise settle any claim relating to a Contract at any time. However, the University shall notify the Contractor of the receipt of any third-party claim relating to the Contract (Public Contract Code section 9201).

8.00 - PAYMENT AND COMPLETION

8.01 Acceptance

When the University deems that the whole Project is complete in all respects in accordance with the Plans and Specifications, to the University's full satisfaction, the University will then file a Notice of Completion with the County Recorder in the county in which the Project is located. For projects bid with a segregation of costs for separate, independent portions of Work, the University individually accept each of the separate portions. The date of acceptance of the Project as stated on the Notice of Completion shall be the official completion date relating to liquidated damages. Acceptance shall be final and conclusive except for latent defects, gross mistakes amounting to fraud, audit rights, or Trustees' rights under any warranty or guarantee.

The County Recorder's date of recording on the Notice of Completion, if filed timely (within fifteen Days of acceptance), shall be the official completion date relating to stop payment notices. Contractors and all subcontractors must file all stop payment notices with the University within 30 Days after the County Recorder's recordation date on the University's timely filed Notice of Completion. Contractor and all subcontractors shall submit claims arising from this Contract in writing to the University no later than 30 Days after the recordation date on the University's Notice of Completion; see Article 7.01, Claims.

8.02 Partial Payments

To assist in computing partial payments, the Contractor shall submit to the University a "Schedule of Values" of the Contractor's actual and estimated costs for each item of Work, including approved change orders. The Contractor shall provide cost breakdowns in sufficient detail for use in estimating the completed Work each month and shall submit this information within 21 Days after the date of commencement of Work given in the Notice to Proceed.

Once each month during the progress of the Work, the Contractor shall submit to the Construction Administrator a partial payment request. The Contractor shall base the partial payment request on the approved bid breakdown for the cost of the Work completed plus, where applicable, a maximum of 90% of the verified supplier-invoiced and Contractor-purchased value for the acceptable materials delivered to the Site, or stored, subject to the control of the Contractor but identified as the property of the Trustees, and not yet installed and as allowed on the Contract Payment Request, form [702.12](#), line 2-f. The Contractor must make any materials stored offsite accessible to the Trustees to verify invoiced value and shall deliver these materials to the Trustees upon request. When submitting a request for payment for materials, the Contractor shall submit the Request for Materials On Hand, form [702.17](#), with its partial payment request.

The Contractor shall submit the partial payment request on the monthly anniversary of the Day selected by the Contractor in the job start meeting. The University shall process partial payment requests with five percent retention. The University holds retention as security for the fulfillment of the Contract by Contractor. The University will withhold sufficient funds in addition to the retention to cover for anticipated liquidated damages, stop payment notices, Labor Code wage and penalty assessments, unacceptable Work, punch list Work, and University's back-charges such as for retesting and reinspection. The University shall not process partial release of retention before Contract completion (Public Contract Code section 10851) unless the University phases the Project with a segregation of costs per Articles 8.01 and 8.05.

The University shall not construe partial payments as acceptance of any Work that is not in accordance with the requirements

of the Contract and will process payment in accordance with section 10853 of the Public Contract Code. Such procedure provides for 39 Days processing, from the date of receipt at the University, prior to assessment of late payment interest.

8.03 Stop Payment Notices

The University shall retain out of any money due or that may become due the Contractor, sums sufficient (125 percent of the claim) to cover claims filed pursuant to the stop payment notice provisions of the law (Civil Code, section 9000 *et seq.*).

All parties shall present preliminary notices and stop payment notices to the University's Construction Administrator in proper form and should send a copy to the Trustees at the address identified in the letter transmitting the Contract for signature and at the preconstruction conference. Contractor shall be responsible to communicate this information to all subcontractors.

8.04 Payment

After Trustees' acceptance of the Project as complete, the Contractor shall submit to the Construction Administrator a payment request of the total due under the Contract less the retention. The University shall process this payment request in the same manner as the partial payment requests. Reference Article 8.02, Partial Payments.

The University shall notify the Contractor of the date of recordation of the Notice of Completion. The Contractor shall submit a request for payment of the retention to the Construction Administrator, who will process the retention payment 30 calendar Days after the date of recordation by the County Recorder.

The University shall continue to retain funds to cover liquidated damages, stop payment notices, state labor commissioner claims, back charges from the University, unexecuted credit change orders, and other such claims received up to the end of the 30 Days period following recordation. Upon receiving any stop payment notice, the University shall withhold payment in an amount of at least 125 percent of the total claims filed until either the rights under the stop payment notice have been settled, or the Contractor has posted sufficient bond in an amount of at least 125 percent of the total claims filed to secure payment of such claims.

On projects bid with a segregation of costs for separate, independent portions of Work that University accepts individually pursuant to Article 8.01, Acceptance, Contractor and the University shall follow the final payment procedure specified in this Article. The total amount due under the Contract, the amounts retained, other claims for compensation, and the filing of stop payment notices shall refer only to the portion accepted.

8.05 Guarantee

The Contractor hereby unconditionally guarantees the Work under this Contract to be in conformance with the Contract requirements and to be and remain free of defects in workmanship and materials for a period of one year from the date of acceptance of the Project, pursuant to Article 4.14–b, Starting and Completion Date, unless the University stipulates a longer guarantee period in the Contract Documents. Contractor shall obtain and deliver to the University all manufacturers' warranties; the manufacturers' warranties shall start on the acceptance date noted on the Notice of Completion and shall run through the full term of each manufacturer's standard warranty. By this guarantee the Contractor agrees, within the guarantee period, to repair or replace any Work, together with any adjacent Work which may be displaced in so doing which is not in accordance with the requirements of the Contract or which is defective in its workmanship or material, all without any expense whatsoever to the University.

The Contractor who is responsible for the entire Work, and the subcontractor that performs the Work, shall sign special guarantees required by the Contract.

The Contractor further agrees that within ten (10) Days after the University notifies Contractor in writing of any Work not in accordance with the requirements of the Contract or of any defects in the Work, Contractor shall commence and prosecute with due diligence all Work necessary to fulfill the terms of this guarantee and to complete the Work in accordance with the requirements of the Contract within a reasonable period of time. The Contractor, in the event of failure to comply, does hereby authorize the University to proceed to have the Work done at the Contractor's expense, and agrees to pay the cost thereof upon demand. The University shall be entitled to all costs necessarily incurred upon the Contractor's refusal to pay the above cost. Notwithstanding the foregoing paragraph, in the event of an emergency constituting an immediate hazard to health or safety of the Trustees' employees, property, or licenses, the University may without prior notice undertake all Work necessary to correct hazardous conditions, caused by the Work of the Contractor that is not in accordance with the Contract requirements at the Contractor's expense.

8.06 Contractor Evaluation

The University will perform a contractor evaluation and file a report with the Trustees after completion of the Project. If the Contractor fails to perform the construction Contract responsibly by failing to complete all Work and requirements, including honoring the warranty, the Construction Administrator shall file a Nonresponsible Contractor Evaluation with the Trustees. The Contractor may then be deemed ineligible to bid on Trustees' Work for a period of time as a result of this evaluation. The Construction Administrator will send the Contractor notification of a Nonresponsible Contractor Evaluation and provide the Contractor an opportunity for a hearing prior to the filing of the evaluation report with the Trustees. Refer also to Article 2.08,

Failure to be a Responsible Bidder.

9.00 - MISCELLANEOUS

9.01 Governing Law

The Contract shall be governed by the law of the State of California.

9.02 Successors and Assigns

The Trustees and Contractor respectively bind themselves and their successors, permitted assigns, and legal representatives to the other party and to the successors, permitted assigns, and legal representatives of such other party in respect to covenants, agreements, and obligations contained in the Contract Documents. Neither party to the Contract shall assign the Contract, in whole or in part, without prior written consent of the other party. Notwithstanding any such assignment, each of the original contracting parties shall remain legally responsible for all of its obligations under the Contract.

9.03 Rights and Remedies

All Trustees' rights and remedies under the Contract Documents will be cumulative and in addition to and not in limitation of all other rights and remedies of Trustees under the Contract Documents or otherwise available at law or in equity.

No action or failure to act by Trustees or Trustees' representative will constitute a waiver of a right afforded them under the Contract, nor will such action or failure to act constitute approval of or acquiescence in a condition or breach thereunder, except as may be specifically agreed in writing. No waiver by Trustees or Trustees' representative of any condition, breach or default will constitute a waiver of any other condition, breach or default; nor will any such waiver constitute a continuing waiver.

No provision contained in the Contract Documents shall create or give to third parties any claim or right of action against the Trustees, Trustees' representative, or Contractor.

9.04 Waiver

A waiver of or failure by Trustees or Trustees' representative to enforce any requirement in this Agreement will not constitute a waiver of and will not preclude the Trustees or Trustees' representative from enforcing, any other requirement of the Agreement, and the Agreement will remain valid.

A waiver of or failure by Trustees or Trustees' representative to enforce any requirement in this Agreement in connection with any adjustment of the Contract Amount or Contract Time will not constitute a waiver of, and will not preclude the Trustees or Trustees' representative from enforcing, such requirements in connection with any other adjustments of the Contract Amount or Contract Time.

The Contractor agrees and understands that no oral directive, approval or representation, either express or implied, by Trustees or its agents shall be binding upon Trustees.

9.05 Survival

The provisions of the Contract which by their nature survive termination of the Contract or Acceptance under Article 8.01, including all warranties, indemnities, payment obligations, and Trustees' right to audit Contractor's books and records, shall remain in full force and effect after Acceptance or any termination of the Contract.

9.06 Complete Agreement

The Contract Documents constitute the full and complete understanding of the parties and supersede any previous agreements or understandings, oral or written, with respect to the subject matter hereof. The Contract may be modified only by a written instrument signed by both parties or as provided in Article 6.00, Changes in the Work.

9.07 Severability of Provisions

If any one or more of the provisions contained in the Contract Documents should be invalid, illegal, or unenforceable in any respect, the validity, legality, and enforceability of the remaining provisions contained herein shall not in any way be affected or impaired thereby.

9.08 Notices

Except as otherwise provided, all notices, requests, demands, and other communications to be given under the Contract Documents shall be in writing and shall be transmitted by one of the following methods:

- a. Personally delivered.
- b. Sent by facsimile copy where receipt is confirmed.
- c. Sent by courier where receipt is confirmed.
- d. Sent by registered or certified mail, postage prepaid, return receipt requested.

Such notices and other communications in this Article 9.08 shall be deemed given and received upon actual receipt in the case of all except registered or certified mail; and in the case of registered or certified mail, on the date shown on the return receipt or the date delivery during normal business hours was attempted. Such notices and communications shall be given at the respective street addresses set forth in the Agreement. Such street addresses may be changed by notice given in accordance with this Article 9.08.

9.09 Counterparts

Agreements may be may be executed in counterparts, each of which shall be deemed to be an original, but all of which, taken together, shall constitute one and the same Agreement. The exchange of copies of this Agreement and of signature pages by electronic mail in "portable document format" (".pdf") form or by any other electronic means shall constitute effective execution and delivery of this Agreement and shall have the same effect as copies executed and delivered with original signatures.

End of Contract General Conditions for Design-Bid-Build Minor Projects

Supplementary General Conditions to Contract General Conditions for Design-Bid-Build Minor Projects

- Article 2.01, License and Public Works Registration, add new subsection d, Prequalification Rating

d. Prequalification Rating

The Trustees shall issue bid proposal packages only to Bidders who have prequalified with the Trustees (Public Contract Code section 10764). To prequalify, all bidders must file their prequalification applications online; and the application includes bidders' responses to a standard questionnaire, a statement of financial condition and previous experience in performing public works, all in accordance with the instructions contained in the Notice to Contractors.

Bidders shall go to: http://www.calstate.edu/cpdc/cm/contractor_prequal_bidders.shtml, under 'Contractor Prequalification' and login in to the database using the link provided ([PlanetBids](#)). Bidders shall verify the information contained in the prequalification application under oath and submit the completed prequalification application online at least ten (10) Business Days prior to the date for opening bids. The Trustees' Prequalification Coordinator must approve Bidders not less than one (1) Business Day prior to the date set for opening bids.

The Trustees' Prequalification Coordinator will review the Bidder's statement of experience and financial condition upon receipt of a complete application, check Bidder's references, and notify the Bidder of the rating established based on the information contained in the application. The Bidder's assigned prequalification rating will be the maximum amount of a contract or contracts that the Bidder may undertake with the Trustees. Bidder may request an increase in its rating from the Trustees' Prequalification Coordinator. The request shall be in writing, and specify the reason(s) for increase. The Trustees' Prequalification Coordinator will review Bidder's request, check new references submitted and notify Bidder of the resulting decision. The Prequalification Coordinator's decision is final.

The Trustees shall disregard any bid received either from a Bidder that is not currently prequalified, or from a Bidder that is prequalified but the rating is not high enough to accommodate its bid. Although this prequalification permits participation in the bidding of the project, it does not mean that the Bidder satisfies the requirements of being a "responsible" Bidder. This determination occurs later in the process (reference Article 2.10, Failure to be a Responsible Bidder).

- Article 2.03, Clarification During Bidding, 2nd paragraph, delete and replace with the following:

Bidders are advised that the time for submitting a proposed product as "an equal" is no later than ten (10) days prior to bid opening (Public Contract Code Section 3400). Refer to Article 5.04-c, Alternatives or Equals.

- Article 5.04, Shop Drawings, Samples, Alternatives or Equals, Substitutions, section c, subsection (1), delete and replace with the following:

- (1) The bidder shall submit its proposal to the Architect for an alternative as an "equal" in writing no later than ten (10) days prior to bid opening (Public Contract Code section 3400). In exceptional cases where the best interests of the Trustees so require, the Construction Administrator may give written consent to a submittal or re-submittal received after the expiration of the time limit designated. The bidder is responsible for timely submittal of its proposed "or equal."

End of Supplementary General Conditions

Exhibit E

Cal Poly Humboldt

Student Health and Counseling Building & Gutswurrak

Student Activities Center Roof Restoration

Various Projects

Contract Special Conditions

1. Construction Area Maps:

The Contractor shall be permitted to utilize the areas identified in Exhibit H, Construction Area Maps, for the purposes of material staging, equipment staging, fabrication, contractor parking, and other construction related activities.

2. Hazardous Materials:

If during the course of construction any suspect hazardous materials are uncovered all work is to stop and the Cal Poly Humboldt Project Manager is to be informed. Cal Poly Humboldt will sample and test suspect materials in an expedited manner and may assign abatement scope to the contractor as a Change Order.

End of Special Conditions

Sample Forms

Form Name	Form Number
List of Proposed Subcontractors	701.04
Certification (Bid)	702.03
Bidders Bond.....	702.09A
Noncollusion Declaration.....	701.05
Certification of Appropriate License and California Company	701.08
Bid Proposal Form Signature Page	701.06
Small Business Preference and Certification Request	701.09
DVBE Participation Forms	Various
List of Subcontractors – Additional Information	701.04A
Sample Agreement	J702.01
Sample Payment Bond	J702.09
Sample Performance Bond.....	J702.15
Sample Payee Data Record	STD. 204
Sample Prime Contractor’s DVBE Subcontracting Report & Instructions.....	810P

End of List

Forms Due at Time and Date of Bid Opening:

List of Proposed Subcontractors

Certification (Bid)

Bidders Bond

Noncollusion Declaration

Certification of Appropriate License and California Company

Bid Proposal Form Signature Page

Bid Proposal Form (Exhibit B)

Small Business Preference and Certification Request (if applicable)

Forms Due Within 24 Hours After Bid Opening

DVBE Participation Forms

List of Subcontractors – Additional Information

Forms Due Within 60 Days After Receipt of Final Payment Prime

Contractor’s DVBE Subcontracting Report



Bidder Name: _____

Project No. PW23-2

LIST OF PROPOSED SUBCONTRACTORS

(to be submitted with bid)

Information/Instructions:

Pursuant to the provisions of Public Contract Code section 4100 *et seq.*, Bidder shall set forth:

- (a) the name, location of the place of business, the California Contractors State License Board-issued contractor license number, and the California Department of Industrial Relations (DIR) Public Works Registration number of each subcontractor who will perform work or labor or render service to prime contractor in or about the construction of the work or improvement, or a subcontractor licensed by the state of California who, under subcontract to the prime contractor, specially fabricates and installs a portion of the work or improvement according to detailed drawings contained in the plans and specifications, in an amount in excess of one-half of one percent of prime contractor's total bid;
- (b) the portion of the work (trade) which will be done by each such subcontractor under this act.

Bidder shall list only one subcontractor for each such portion as defined by Bidder in its bid. For each alternative, Bidder shall list any subcontractor not included in the base contract work subcontractor listing. All work in excess of one-half of one percent of this bid, for which no subcontractor is listed below, shall be performed by Bidder. Within 24 hours of bid opening, Bidder shall submit the List of Subcontractors—Additional Information form.

Non-small Business Bidders: Non-small business bidders, that claim the small business preference and commit to subcontract at least 25% of their total project bid price including awarded alternatives with one or more small businesses, shall list those small businesses and the dollar amount of their subcontracts hereon. See Calif. Code of Regulations, Title 2, section 1896 *et seq.*

DVBE Participation Requirement: Bidders are required to achieve 3% DVBE participation on this contract, and may qualify for the DVBE bid incentive if Bidder proposes sufficient additional DVBE participation in this contract. Trustees will calculate the Bidder's DVBE participation on the total project bid price, included awarded alternatives. Bidder shall list hereon the DVBEs participating in this bid and the dollar amount of participation by each DVBE. The total of the DVBE participation amounts hereon shall equal at least Bidder's proposed percentage of DVBE participation. For each alternative Bidder shall list any-DVBE participating in work to be performed on the alternative.

Substitution: Bidder shall not substitute any subcontractor listed below or permit any subcontractor to be assigned or transferred, or allow work to be performed by anyone other than the designated subcontractor, or sublet or subcontract any of the work in excess of one-half of one percent of this bid for which a subcontractor is not herein designated, except as otherwise provided in the Subletting and Subcontracting Fair Practices Act. Substitution of any small business subcontractor by a non-small business claiming the small business bid preference shall be done pursuant to Calif. Code of Regulations, Title 2, section 1896.10. DVBEs listed hereon may only be replaced by another DVBE, and the substitution of the DVBE must be approved by the Trustees and the Department of General Services.

Portion of Work (Trade/ Supplier, if DVBE)	Specify Work as Base Bid (B) or Alternate (#)	Company Name and Address	CA CSLB-Issued Contractor License No.	Small Business (Indicate \$)	DVBE (Indicate \$)
			CA DIR Public Works Registration No.		
				\$	\$
				\$	\$
				\$	\$
				\$	\$



CERTIFICATION

IFB No. PW23-2
Project No. Various

Instructions:

ALL BIDS AND CONTRACTS MUST BE SIGNED BY AN OFFICER OR EMPLOYEE HAVING THE AUTHORITY TO BIND THE COMPANY OR FIRM.

Provide the information requested below, including the type of organization for your firm, such as partnership, limited partnership, corporation, limited liability company, etc., and attach to this form a true and accurate copy of the firm's official record adopted by the firm's executives/board that authorizes certain of the firm's officers or employees to bind the firm. An example of such official record would be a corporate resolution duly adopted by a Board of Directors for a Corporation.

This is to certify that

1) I am _____
Name and Title of Authorized Signatory (such as John Smith, President)

2) of _____; and
Name of Firm

3) the attached official record, which lists only the officers or employees of our firm who are authorized to bind the firm, is a true and accurate copy as duly adopted by the Executives/Board of the firm on _____.
Date

Signature Date

Firm's Type of Organization (see instructions above)

IMPORTANT NOTE

(If your firm is a sole proprietorship, you need not complete this form. For all other types of firms, be sure to attach to this certification a copy of firm's official record authorizing officers or employees of the firm to execute Contract Documents or to execute a bid submittal. If attaching more than one document, modify the form to reflect that fact.)



BIDDERS BOND

Counterpart No. _____
Project No. PW23-2

Know All Persons by These Presents:

THAT WE

as Principal, and

as Surety, are held and firmly bound unto the Trustees of the California State University hereinafter called the Trustees, in the penal sum of TEN PERCENT (10%) OF THE TOTAL AMOUNT OF THE BID of the Principal above named, submitted by said Principal to the said Trustees for the work described below, for the payment of which sum in lawful money of the United States, well and truly to be made, we bind ourselves, our heirs, executors, administrators and successors, jointly and severally, firmly by these presents.

IN NO CASE shall the liability of the Surety hereunder exceed the sum of **10% of Bid**.

THE CONDITION of this obligation is such that:

WHEREAS, the Principal has submitted the above-mentioned bid to the Trustees for certain construction specifically described as follows, for which bids

are to be opened at _____

on _____ at _____ for contract _____

Project Description

(Exact description of work and location as given in the proposal)

NOW, THEREFORE, if the aforesaid Principal is awarded the contract, and, within the time and manner required under the specifications, after the prescribed forms are presented to the principal for signature, enters into a written contract, in the prescribed form, in accordance with the bid, and files the two bonds with the Trustees, one to guarantee faithful performance and the other to guarantee payment for labor and materials, as required by law, then this obligation shall be null and void, otherwise, it shall be and remain in full force and virtue.

In the event suit is brought upon this bond by the Obligee and judgment is recovered, the Surety shall pay all costs incurred by the Obligee in such suit.

IN WITNESS WHEREOF, We have hereunto set our hands and seals on this _____ day of _____, 20____

CONTRACTOR Contractor Name: _____

AS

PRINCIPAL Contractor Address: _____ (SEAL)

By: _____

SURETY Surety Name: _____

Surety Address: _____ (SEAL)

By: _____

Signatures executed in behalf of the Surety must be properly acknowledged.



The California State University
CAPITAL PLANNING, DESIGN AND CONSTRUCTION

**CERTIFICATION OF APPROPRIATE LICENSE,
DIR PUBLIC WORKS REGISTRATION, AND CALIFORNIA COMPANY**
(Public Contract Code, Chapter 6100 *et seq.*)

Project No. Various Projects

Project Name: Student Health and Counseling Building & Gutsurak Student Activities
Center Roof Restoration

The undersigned bidder declares:

- 1) That the attached pocket license or certificate of licensure is the Contractor's, is current and valid, and is in a classification appropriate to the work to be undertaken on the above-referenced project for which bidder is submitting a bid, per Public Contract Code Section 6100(b). Attach a copy of the pocket license issued from Contractor's State License Board.
- 2) That the Contractor is currently registered to bid public works projects with the Department of Industrial Relations (DIR), and shall maintain this registration current through the duration of this project. Attach documentation of the registration number issued by the DIR.
- 3) The bidder qualifies as a "California Company" per Public Contract Code Section 6107. Check one of the following statements that applies to the bidder:
 - Bidder has its principal place of business in California.
 - Bidder has its principal place of business in a state in which there is no local contractor preference on construction contracts.
 - Bidder has its principal place of business in a state in which there is a local contractor construction preference, and bidder has paid not less than five thousand dollars (\$5,000) in sales or use taxes to California for construction related activity for each of the five years immediately preceding the submission of this bid.

If bidder does not qualify as a California company (and has not checked one of the statements under item 3 above), please complete the following information:

State in which Bidder has its principal place of business

Amount of the local contractor construction preference offered

The undersigned declares under penalty of perjury under the laws of the State of California that the foregoing is true and correct. Executed on this _____ day of _____, 20_____, at _____, California.

Signature of Bidder or officer of Bidder authorized to execute contracts

Print or type name of person signing

Print or type name of business entity

Address



BID PROPOSAL FORM SIGNATURE PAGE

Date	Project Name IFB #PW23-2, Student Health and Counseling Building & Gutsurakk Student Activities Center Roof Restoration, Various Projects
Name of Bidder's Firm ¹	

ALL BIDS AND CONTRACTS MUST BE SIGNED BY AN OFFICER OR EMPLOYEE HAVING THE AUTHORITY TO BIND THE COMPANY OR FIRM. The undersigned Bidder, as authorized by its firm, hereby submits this bid pursuant to the contract documents. If Bidder is:

A. An Individual Proprietorship:

(Postal Address of Firm)	(License Number)
(Signature, Printed Name of Person Signing)	(Phone Number)

B. A Partnership: (check one) Partnership Limited Partnership Other (specify type) _____

(Postal Address of Principal Office of Partnership)	(License Number)
(Signature, Printed Name and Title of Authorized Person(s) Signing) ³	(Phone Number)

C. A Corporation/LLC/Other: (check one) Corporation Ltd. Liability Co. Other (specify type) _____

(State of Incorporation/Organization)	(Phone Number)	(License Number)
(Postal Address of Principal Office of Corporation/Organization)		
(Signature, Printed Name and Title of Authorized Person(s) Signing) ³		

D. A Joint Venture:

(Name of Joint Venture)	(License Number, if known) ⁴
-------------------------	---

An Affidavit of Joint Venture form must be filed five days prior to bid opening and each member of the joint venture must be prequalified one day prior to bid opening as provided in Article 2.02 of the Contract General Conditions. Each member of the joint venture shall fill in the information below corresponding to the member's type of business organization. If the joint venture has more than one of the same types of business organizations, additional copies of this page containing the required information and signatures shall be added and attached to this proposal form. Any such attachments are a part of this proposal form.

First Member of the Joint Venture		Second Member of the Joint Venture	
(Name and Type of Firm) ¹	(License No.)	(Name and Type of Firm) ¹	(License No.)
(Postal Address of Principal Office of Firm)	(State of Organization)	(Postal Address of Principal Office of Firm)	(State of Organization)
(Signature and Printed Name of Authorized Person(s) Signing) ³		(Signature and Printed Name of Authorized Person(s) Signing) ³	
(Title of Person Who Signs Above) ²	(Phone Number)	(Title of Person Who Signs Above) ²	(Phone Number)

Notes:

- 1 Name of firm must be the same as appears on state contractor's license and on the CSU prequalification letter.
- 2 If signature is by an agent, other than by an authorized signatory of a corporation or a partnership, a power of attorney must be on file with the Trustees before bid opening or be submitted with this bid.
- 3 For the following types of firm, a certified copy of the official record/documentation as indicated below authorizing signatory to bind this bid/contract must be submitted with the Trustees-prescribed Certification form 702.03:
 Partnership: partnership agreement or power of attorney.
 Limited Partnership: certificate of limited partnership as filed by the CA Secretary of State.
 Corporation: corporate resolution of board action.
 Limited Liability Company: Articles of Organization, filed by the CA Secretary of State.
 Other Type of Organization: identify type of firm above; provide firm's official record or documentation authorizing signatory to bind this bid/contract.
- 4 The Joint Venture must have the required license in place at time of award of contract, and if awarded the contract, must return with the contract a resolution authorizing someone to sign contracts, change orders, and other documents for the joint venture.



SMALL BUSINESS PREFERENCE AND CERTIFICATION REQUEST

(Bidders requesting a 5% Small Business Preference must sign below and enclose this form with their bid/proposal.

If your firm is not claiming the small business preference, do not submit this form with your bid/proposal.

Project No. IFB #PW23-2

Project Name: Student Health and Counseling Building & Gutswurak Student Activities Center Roof Restoration, Various Projects

The undersigned hereby requests the small business preference and further certifies under penalty of perjury, that the firm still meets the requirements of the California Code of Regulations, Title 2 section 1896 *et seq.*

NOTICE TO ALL BIDDERS: The California Government Code, section 14835 *et seq.* requires that a five percent preference be given to bidders who qualify as a small business. The rules and regulations of this law, including the definition of a small business for the delivery of service, are contained in California Code of Regulations, Title 2 section 1896, *et seq.* A copy of the regulations is available upon request. The small business preference is applied by either 1) factoring 5% if a non-small business low bid total, and subcontracting this amount from the small business total, not to exceed \$50,000, or 2) where award is to be made to the highest scoring bidder based on evaluation factors in addition to price, the preference shall be 5% of the highest responsible bidder's total score.

If your firm is a Small Business and wishes to claim the small business preference, which may not exceed \$50,000 for any bid, your firm must have its principal place of business located in California, have a complete application (including proof of annual receipts) on file with the Small Business & DVBE Services Branch, in the Procurement Division of the State of California Department of General Services, by 5:00 p.m. on the date bids are opened, and be verified by such office. **Please indicate by checking the box below whether your firm is claiming the preference and is a Small Business.**

Small Business

OR

If your firm is a Non-Small Business and wishes to claim the small business preference, your firm must notify the Trustees by signing below, that your firm commits to subcontract at least 25% of its net bid price with one or more small businesses, submit a timely responsive bid, list the small business subcontractors and include name, address, phone number, portion of the work to be performed, and the dollar amount and percentage per subcontractor, and be determined a responsible bidder. **Please indicate by checking the box below whether your firm is claiming the preference and is a Non-Small Business.**

Non-Small Business

Questions regarding the preference approval process should be directed to Small Business & DVBE Services, telephone (800) 559-5529 or (916) 375-4940, address: 707 Third Street, First Floor-Room 400, West Sacramento, CA 95605, or if by mail: P.O. Box 989052, West Sacramento, CA 95798-9052. You can also reach them via email (osdchelp@dgs.ca.gov) or on the Internet: www.pd.dgs.ca.gov/smbus.

IMPORTANT NOTICE *(Read before signing)*

The "Small Business Preference and Certification Request" **must be signed** in the same name style in which the bidder is licensed by the Contractors State License Board. Bidders bidding jointly or as a combination of several business organizations are specially cautioned that such bidders must be jointly licensed and approved in the same form and style in which the bid is executed.

Legal Name Style of Bidder(s): _____

Signature of Bidder: _____ Date _____

In the event the bidder has received assistance in obtaining bonding for this project, it shall set forth below the name and nature of the firm providing such assistance. Should the firm be listed as a subcontractor, bidder shall set forth the percentage of the contract to be performed by the subcontractor.

Name of Firm: _____

Is Firm a Listed Subcontractor? If Yes, indicate Percentage _____ or, No, if not a Listed Subcontractor

Special attention is directed to California Code of Regulations, Title 2 section 1896.16 for penalties for furnishing incorrect supporting information in obtaining preference.



Attachment 1

SUMMARY OF DISABLED VETERAN-OWNED BUSINESS PARTICIPATION

COMPANY NAME	NATURE OF WORK	CONTRACTING WITH	TIER	CLAIMED DVBE VALUE \$	PERCENTAGE OF CONTRACT (%)	OSMB DVBE CERTIFICATION

I declare under penalty of perjury, under the laws of the State of California, that the information herein is true and correct to the best of my knowledge.

Executed on: _____, at _____ in the state of _____.
Date City State

Signature of Contractor or Authorized Agent _____
Project Name _____
Project Number

Printed Name _____
Firm Name _____
() Telephone

BIDDER'S CERTIFICATION

**DISABLED VETERAN BUSINESS ENTERPRISE
STATUS OF SUBCONTRACTORS AND SUPPLIERS**

I hereby certify that I have made a diligent effort to ascertain the facts with regard to the representations made herein and, to the best of my knowledge and belief, each firm set forth in this bid as a disabled veteran business enterprise complies with the relevant definition set forth in law. In making this certification, I am aware of Section 12650 *et seq.* of the Government Code providing for the imposition of treble damages for making false claims against the State, Section 10115.10 of the Public Contract Code making it a crime to intentionally make an untrue statement in this certificate, and the provisions of the Military and Veterans Code, Section 999.9.

Date

Signature of Authorized Agent

Title

DISABLED VETERAN BUSINESS ENTERPRISE DECLARATIONS

STD. 843 (Rev. 5/2006)

Instructions: The disabled veteran (DV) owner(s) and DV manager(s) of the Disabled Veteran Business Enterprise (DVBE) must complete this declaration when a DVBE contractor or subcontractor will provide materials, supplies, services or equipment [Military and Veterans Code Section 999.2]. Violations are misdemeanors and punishable by imprisonment or fine and violators are liable for civil penalties. All signatures are made under penalty of perjury.

SECTION 1

Name of certified DVBE:

DVBE Ref. Number:

Description (materials/supplies/services/equipment proposed):

Solicitation/Contract Number:

SCPRS Ref. Number: _____

(FOR STATE USE ONLY)

SECTION 2

APPLIES TO ALL DVBEs. Check only one box in Section 2 and provide original signatures.

I (we) declare that the DVBE is not a broker or agent, as defined in Military and Veterans Code Section 999.2 (b), of materials, supplies, services or equipment listed above. Also, complete Section 3 below if renting equipment.

Pursuant to Military and Veterans Code Section 999.2 (f), I (we) declare that the DVBE is a broker or agent for the principal(s) listed below or on an attached sheet(s). (Pursuant to Military and Veterans Code 999.2 (e), State funds expended for equipment rented from equipment brokers pursuant to contracts awarded under this section shall not be credited toward the 3-percent DVBE participation goal.)

All DV owners and managers of the DVBE (attach additional pages with sufficient signature blocks for each person to sign):

(Printed Name of DV Owner/Manager)

(Signature of DV Owner/ Manager)

(Date Signed)

(Printed Name of DV Owner/Manager)

(Signature of DV Owner/Manager)

(Date Signed)

Firm/Principal for whom the DVBE is acting as a broker or agent:
(If more than one firm, list on extra sheets.)

(Print or Type Name)

Firm/Principal Phone:

Address:

SECTION 3

APPLIES TO ALL DVBEs THAT RENT EQUIPMENT AND DECLARE THE DVBE IS NOT A BROKER.

Pursuant to Military and Veterans Code Section 999.2 (c), (d) and (g), I am (we are) the DV(s) with at least 51% ownership of the DVBE, or a DV manager(s) of the DVBE. The DVBE maintains certification requirements in accordance with Military and Veterans Code Section 999 et. seq.

The undersigned owner(s) own(s) at least 51% of the quantity and value of each piece of equipment that will be rented for use in the contract identified above. I (we), the DV owners of the equipment, have submitted to the administering agency my (our) personal federal tax return(s) at time of certification and annually thereafter as defined in *Military and Veterans Code 999.2*, subsections (c) and (g). *Failure by the disabled veteran equipment owner(s) to submit their personal federal tax return(s) to the administering agency as defined in Military and Veterans Code 999.2, subsections (c) and (g), will result in the DVBE being deemed an equipment broker.*

Disabled Veteran Owner(s) of the DVBE (attach additional pages with signature blocks for each person to sign):

(Printed Name)

(Signature)

(Date Signed)

(Address of Owner)

(Telephone)

(Tax Identification Number of Owner)

Disabled Veteran Manager(s) of the DVBE (attach additional pages with sufficient signature blocks for each person to sign):

(Printed Name of DV Manager)

(Signature of DV Manager)

(Date Signed)



Bidder Name: _____
Project No. PW23-2

LIST OF SUBCONTRACTORS—ADDITIONAL INFORMATION

(to be submitted within 24 hours after bid opening)

Information/Instructions:

Pursuant to the provisions of the Subletting and Fair Practices Act, Public Contract Code section 4100 *et seq.*, and in accordance with the Contract General Conditions, Article 2.06-b, this form shall contain the information for all subcontractors listed on the List of Proposed Subcontractors submitted with the bid. No listed subcontractor shall be added or deleted by use of this form. Bidder shall verify all listed subcontractors' licenses with the Contractors State License Board and DIR Public Works Registration numbers.

In the 'Subsidiary of Bidder' column, indicate whether the subcontractor is a subsidiary or is owned or partially owned by the Bidder (share profits), by checking appropriate response ('Y' for 'Yes' or 'N' for 'No'). In the 'Insurance' column, indicate whether the subcontractor will carry its own insurance, or whether the subcontractors without individual insurance policies are insured by the Bidder. If the subcontractor will carry its own insurance, check 'S' in the insurance column; if not, check 'B' which will indicate that the subcontractors without individual insurance policies are insured by the Bidder.

If Bidder is a non-small business and has received the small business bid preference, it shall list those small business subcontractors hereon, and indicate that the subcontractor is a small business and provide the dollar amount and percentage of bid (including awarded alternatives) for each small business subcontractor's portion of the bid (trade).

Bidders are required to achieve 3% DVBE participation on this contract, and shall list hereon the dollar amount and percentage of bid for DVBE participation by each listed DVBE, and the total of these amounts shall equal at least 3% of the total project bid price, including awarded alternatives. For each alternative Bidder shall list any subcontractor not included in the base contract work subcontractor listing and the dollar amount and percentage of DVBE participation by each subcontractor listed for work to be performed on the alternative. If the Trustees granted Bidder the DVBE bid incentive, then the total amount of DVBE participation shall exceed the required 3% by the incentive percentage of the total project bid price, including awarded alternatives.

Bidder (Contractor) will be required to submit a Subcontractor Directory, per Article 2.06-b, to demonstrate compliance with the Subcontracting Fair Practices Act.

Portion of Work (Trade/ Supplier, if DVBE)	Specify Base Bid (B) or Alt (#)	Company's Full Name and Address	Verified CA CSLB- Issued Contractor License No.	Subsidiary of Bidder		Insurance (Check One)		Dollar and % Amount of Bid	
			Verified DIR Public Works Registr. No.	Y	N	S	B	Small Business	DVBE
								\$	\$
								%	%
								\$	\$
								%	%
								\$	\$
								%	%
								\$	\$
								%	%



Bidder Name: _____
Project No. PW23-2

LIST OF SUBCONTRACTORS—ADDITIONAL INFORMATION (cont'd)

(to be submitted within 24 hours after bid opening; see page 1 for information and instructions)

Portion of Work (Trade/ Supplier, if DVBE)	Specify Base Bid (B) or Alt (#)	Company's Full Name and Address	Verified CA CSLB- Issued Contractor License No.	Subsidiary of Bidder		Insurance (Check One)		Dollar and % Amount of Bid	
			Verified DIR Public Works Registr. No.	Y	N	S	B	Small Business	DVBE
								\$	\$
								%	%
								\$	\$
								%	%
								\$	\$
								%	%
								\$	\$
								%	%
								\$	\$
								%	%
								\$	\$
								%	%
								\$	\$
								%	%

Signature of Bidder: _____



AGREEMENT

CSU Vendor ID No. <insert #>

Contract No. <insert #>

THIS AGREEMENT, made on June 4, 2022, BY AND BETWEEN the State of California, acting through the Board of Trustees of the California State University, on behalf of {insert full Campus Name}, hereinafter designated the Trustees, and

Contractor
Address
City, ST Zip
Phone No.; Fax No.; E-mail

hereinafter designated the Contractor.

WITNESSETH

1. That the Contractor, in consideration of the covenants and agreements herein contained on the part of the Trustees, covenants, promises and agrees with the Trustees, at his, her, its or their own proper cost and expense, to furnish all labor, materials, and equipment, and to perform all Work necessary to construct and complete in a good workmanlike and substantial manner, and to the satisfaction of the Trustees, the

<Insert Project Name and Project Number>, at
<Insert full Campus Name>

in accordance with the Contract Documents (as defined in the Contract General Conditions, Article 1, Definitions) as approved by and on file with the Trustees and are made a part of this agreement by this reference. The Contractor agrees to receive and accept the sum of:

Three Hundred Ninety-Nine Thousand, Nine Hundred Ninety-Five Dollars and No Cents (\$399,995.00)*

as full compensation therefor, and also, unless expressly excepted in the Contract Documents, as full compensation for the following: all loss or damage, arising out of the nature of the Work, or from the action of the elements or from any unforeseen difficulties or obstructions which may arise or be encountered in the prosecution of the Work until its acceptance by the Trustees and for all risks of every description connected with the Work, and for all expenses incurred by or in consequence of the suspension or discontinuance of Work, and for well and faithful completion of the Work in the manner and according to the Contract Documents and the requirements of the Trustees under them. Payment will be made in accordance with the Contract General Conditions, Article 8, Payment and Completion.

2. That the Contractor, in accordance with its Bid Proposal documents, agrees to subcontract <insert %> of the final Contract amount (including all alternatives, allowances and change orders) to Disabled Veteran Business Enterprises (DVBE).

3. That the Trustees hereby promise and agree with the Contractor to employ, and do hereby employ, the Contractor to provide the materials and do the Work according to the terms and conditions herein contained and referred to, for the price aforesaid, and hereby agree to pay the same at the time, in the manner and upon the conditions set forth herein, and the said parties for themselves, their heirs, executors, administrators, successors and assigns, do hereby agree to the full performance of the covenants herein contained.

4. That the Trustees will fix the starting date of the Contract and issue a Notice to Proceed after the date of approval of the Contract by the Office of General Counsel, California State University. The Contractor shall fully complete all the Work of the Contract, in first class working order and ready for acceptance by the Trustees, on or before the expiration of <insert #> calendar days from the starting time so fixed. The Contractor will pay to the Trustees the sum of Five Hundred Dollars (\$500.00) for each day completion is delayed beyond the time prescribed, in accordance with the Contract General Conditions, Article 7.02, Delay in Completion—Liquidated Damages.

5. That if there is a conflict between the terms of the Proposal Form and the other Contract Documents, the other Contract Documents shall control, and nothing contained herein shall be considered as an acceptance of any terms of the Proposal Form in conflict herewith.

**Basis of award is Base Bid (\$394,000) plus Additive Alternative No. 1 (\$5,995) for a total Contract amount of \$399,995.00.



PAYMENT BOND

Contract No. <insert #>

Know All Persons by These Presents:

THAT WHEREAS, the State of California acting by and through the Trustees of the California State University, hereinafter called the Trustees, has awarded to

Contractor
Address
City, ST Zip

as Principal, hereinafter designated as the "Contractor," a Contract for the Work described as follows:

Project Number: <insert Project Number>
Project Name: < insert Project Name>
Campus: < insert full Campus Name>

AND WHEREAS, the Contractor is required to furnish a bond in connection with said Contract, to secure the payment of claims of laborers, mechanics, and other persons, as provided by law:

NOW, THEREFORE, we the undersigned Contractor and Surety are held and firmly bound unto the State of California through the said Trustees in the amount required by law, in the sum of:

<copy agreement amount from p.1 of Agreement>

for which payment well and truly to be made we bind ourselves, our heirs, executors and administrators, successors and assigns, jointly and severally, firmly by these presents.

THE CONDITION of this obligation is such,

That if the Contractor, his, her, or its heirs, executors, administrators, successors or assigns, or subcontractors shall fail to pay any of the persons referred to in Civil Code section 9100 or amounts due under the Unemployment Insurance Code with respect to work or labor performed by any such claimant, that the Surety or Sureties herein will pay for the same, in an amount not exceeding the sum specified in this bond, otherwise the above obligation shall be void. In case suit is brought on this bond, the said Surety will pay a reasonable attorney's fee to be fixed by the court.

This bond shall inure to the benefit of any of the persons referred to in Civil Code section 9100 so as to give a right of action to such persons or their assigns in any suit brought upon this bond. Any such right of action shall be subject to the provisions of Civil Code sections 8608 and 9566.

IN WITNESS WHEREOF, We have hereunto set our hands and seals on this ____ day of _____, 20 ____

CONTRACTOR

Contractor Name: _____

AS

PRINCIPAL

Contractor Address: _____ (SEAL)

By: _____

SURETY

Surety Name: _____

Surety Address: _____ (SEAL)

By: _____

Signatures executed in behalf of the Surety must be properly acknowledged.



PERFORMANCE BOND

Contract No. <insert #>

Know All Persons by These Presents:

THAT WHEREAS, the State of California acting by and through the Trustees of the California State University, hereinafter called the Trustees, has awarded to

Contractor
Address
City, ST Zip

as Principal, hereinafter designated as the "Contractor," a Contract for the Work described as follows:

Project Number: <insert Project Number>
Project Name: <insert Project Name>
Campus: <insert full Campus Name>

AND WHEREAS, the Contractor is required to furnish a bond in connection with said Contract, guaranteeing the faithful performance thereof:

NOW, THEREFORE, we the undersigned Contractor and Surety are held and firmly bound unto the State of California through the said Trustees in the sum of:

<copy agreement amount from p.1 of Agreement>

to be paid to the said Trustees, State or its certain attorney, its successors and assigns: for which payment, well and truly to be made, we bind ourselves, our heirs, executors and administrators, successors and assigns, jointly and severally, firmly by these presents.

THE CONDITION of this obligation is such,

That if the above bounden Contractor, his, her, or its heirs, executors, administrators, successors or assigns, shall in all things stand to and abide by, and well and truly keep and perform the covenants, conditions and agreements in the foregoing contract and any alteration thereof made as therein provided, on his, her, its or their part to be kept and performed at the time and in the manner therein specified, and in all respects according to their true intent and meaning, and shall indemnify and save harmless the State of California, its officers and agents, as therein stipulated, then this obligation shall become and be null and void; otherwise, it shall be and remain in full force and virtue.

IN WITNESS WHEREOF, We have hereunto set our hands and seals on this ____ day of _____, 20____

CONTRACTOR
AS
PRINCIPAL

Contractor Name: _____

Contractor Address: _____ (SEAL)

By: _____

SURETY

Surety Name: _____

Surety Address: _____ (SEAL)

By: _____

Signatures executed in behalf of the Surety must be properly acknowledged.



CERTIFICATION

Contract No. <insert #>

Project No. <insert #>

Instructions:

ALL BIDS AND CONTRACTS MUST BE SIGNED BY AN OFFICER OR EMPLOYEE HAVING THE AUTHORITY TO BIND THE COMPANY OR FIRM.

Provide the information requested below, including the type of organization for your firm, such as partnership, limited partnership, corporation, limited liability company, etc., and attach to this form a true and accurate copy of the firm's official record adopted by the firm's executives/board that authorizes certain of the firm's officers or employees to bind the firm. An example of such official record would be a corporate resolution duly adopted by a Board of Directors for a Corporation.

This is to certify that

1) I am _____
Name and Title of Authorized Signatory (such as John Smith, President)

2) of _____; and
Name of Firm

3) the attached official record, which lists only the officers or employees of our firm who are authorized to bind the firm, is a true and accurate copy as duly adopted by the Executives/Board of the firm on _____.
Date

Signature Date

Firm's Type of Organization (see instructions above)

IMPORTANT NOTE

(If your firm is a sole proprietorship, you need not complete this form. For all other types of firms, be sure to attach to this certification a copy of firm's official record authorizing officers or employees of the firm to execute Contract Documents or to execute a bid submittal. If attaching more than one document, modify the form to reflect that fact.)

PAYEE DATA RECORD

(Required when receiving payment from the State of California in lieu of IRS W-9 or W-7)

STD 204 (Rev. 5/2018)

1	<p>INSTRUCTIONS: Type or print the information. Complete all information on this form. Sign, date, and return to the state agency (department/office) address shown in Box 6. Prompt return of this fully completed form will prevent delays when processing payments.</p> <p>Information provided in this form will be used by California state agencies to prepare Information Returns (Form1099). See next page for more information and Privacy Statement.</p> <p>NOTE: Governmental entities, i.e. federal, state, and local (including school districts), are not required to submit this form.</p>					
2	<p>BUSINESS NAME (As shown on your income tax return)</p>					
	<p>SOLE PROPRIETOR, SINGLE MEMBER LLC, INDIVIDUAL (Name as shown on SSN or ITIN) Last, First, MI</p>				<p>E-MAIL ADDRESS</p>	
	<p>MAILING ADDRESS</p>			<p>BUSINESS ADDRESS</p>		
	<p>CITY</p>	<p>STATE</p>	<p>ZIP CODE</p>	<p>CITY</p>	<p>STATE</p>	<p>ZIP CODE</p>
3	<p>ENTER FEDERAL EMPLOYER IDENTIFICATION NUMBER (FEIN): <input type="text"/></p>					<p>NOTE: Payment will not be processed without an accompanying taxpayer identification number.</p>
<p>PAYEE ENTITY TYPE</p>	<p><input type="checkbox"/> PARTNERSHIP</p> <p><input type="checkbox"/> ESTATE OR TRUST</p>		<p>CORPORATION:</p> <p><input type="radio"/> MEDICAL (e.g., dentistry, psychotherapy, chiropractic, etc.)</p> <p><input type="radio"/> LEGAL (e.g., attorney services)</p> <p><input type="radio"/> EXEMPT (nonprofit)</p> <p><input type="radio"/> ALL OTHERS</p>			
<p>CHECK ONE BOX ONLY</p>	<p><input type="checkbox"/> SOLE PROPRIETOR, INDIVIDUAL, OR SINGLE MEMBER LLC (Disregarded Entity)</p>		<p>ENTER SSN OR ITIN: <input type="text"/></p> <p><i>Social Security Number (SSN) or Individual Taxpayer Identification Number (ITIN) are required by authority of California Revenue and Tax Code sections 18646 and 18661)</i></p>			
4	<p>PAYEE RESIDENCY STATUS</p> <p><input type="checkbox"/> CALIFORNIA RESIDENT - Qualified to do business in California or maintains a permanent place of business in California.</p> <p><input type="checkbox"/> CALIFORNIA NON RESIDENT (see next page for more information) - Payments to nonresidents for services may be subject to state income tax withholding.</p> <p><input type="radio"/> No services performed in California.</p> <p><input type="radio"/> Copy of Franchise Tax Board waiver of state withholding attached.</p>					
5	<p>I hereby certify under penalty of perjury that the information provided on this document is true and correct. Should my residency status change, I will promptly notify the state agency below.</p>					
	<p>AUTHORIZED PAYEE REPRESENTATIVE'S NAME (Type or Print)</p>			<p>TITLE</p>		<p>TELEPHONE (include area code)</p>
	<p>SIGNATURE</p>			<p>DATE</p>	<p>E-MAIL ADDRESS</p>	
6	<p>Please return completed form to:</p>					
	<p>DEPARTMENT/OFFICE California State Polytechnic University, Humboldt</p>			<p>UNIT/SECTION Accounts Payable</p>		
	<p>MAILING ADDRESS 1 Harpst Street</p>			<p>TELEPHONE (include area code) 707-826-3512</p>	<p>FAX 707-826-3312</p>	
	<p>CITY Arcata</p>	<p>STATE CA</p>	<p>ZIP CODE 95521</p>	<p>E-MAIL ADDRESS accountspayable@humboldt.edu</p>		

PAYEE DATA RECORD

(Required when receiving payment from the State of California in lieu of IRS W-9 or W-7)

STD 204 (Rev. 5/2018)

1	<p>Requirement to Complete the Payee Data Record, STD 204</p> <p>A completed Payee Data Record, STD 204 form, is required for all payees (non-governmental entities or individuals) entering into a transaction that may lead to a payment from the state. Each state agency requires a completed, signed, and dated STD 204 on file; therefore, it is possible for you to receive this form from multiple state agencies with which you do business.</p> <p>Payees who do not wish to complete the STD 204 may elect not to do business with the state. If the payee does not complete the STD 204 and the required payee data is not otherwise provided, payment may be reduced for federal and state backup withholding. Amounts reported on Information Returns (Form 1099) are in accordance with the Internal Revenue Code (IRC) and the California Revenue and Taxation Code (R&TC).</p>
2	<p>Enter the payee's legal business name. The name must match the name on the payee's tax return as filed with the federal Internal Revenue Service. Sole proprietorships and single member limited liability companies (LLCs) must also include the owner's full name. An individual must list his/her full name as shown on the SSN or as entered on the W-7 form for ITIN.</p> <p>The mailing address should be the address at which the payee chooses to receive correspondence. The business address is the address of the business' physical location.</p>
3	<p>Check only one box that corresponds to the payee business type. Corporations must check the box that identifies the type of corporation.</p> <p>The State of California requires that all parties entering into business transactions that may lead to payment(s) from the state provide their Taxpayer Identification Number (TIN). The TIN is required by the R&TC sections 18646 and 18661 to facilitate tax compliance enforcement activities and the preparation of Form 1099 and other information returns as required by the IRC section 6109(a) and R&TC section 18662 and its regulations.</p> <p>Payees must provide one of the following TINs on this form: social security number (SSN), individual taxpayer identification number (ITIN), or federal employer identification number (FEIN). The TIN for sole proprietorships, single member LLC (disregarded entities), and individuals is the SSN or ITIN. Only partnerships, estates, trusts, corporations, and LLCs (taxed as partnerships or corporations) will enter their FEIN.</p>
4	<p>Are you a California resident or nonresident?</p> <p>A corporation will be defined as a "resident" if it has a permanent place of business in California or is qualified through the Secretary of State to do business in California.</p> <p>A partnership is considered a resident partnership if it has a permanent place of business in California. An estate is a resident if the decedent was a California resident at time of death. A trust is a resident if at least one trustee is a California resident.</p> <p>For individuals and sole proprietors, the term "resident" includes every individual who is in California for other than a temporary or transitory purpose and any individual domiciled in California who is absent for a temporary or transitory purpose. Generally, an individual who comes to California for a purpose that will extend over a long or indefinite period will be considered a resident. However, an individual who comes to perform a particular contract of short duration will be considered a nonresident.</p> <p>Payments to all nonresidents may be subject to withholding. Nonresident payees performing services in California or receiving rent, lease, or royalty payments from property (real or personal) located in California will have 7% of their total payments withheld for state income taxes. However, no withholding is required if total payments to the payee are \$1,500 or less for the calendar year.</p> <p>For information on Nonresident Withholding, contact the Franchise Tax Board at the numbers listed below: Withholding Services and Compliance Section: 1-888-792-4900 E-mail address: wscs.gen@ftb.ca.gov For hearing impaired with TDD, call: 1-800-822-6268 Website: www.ftb.ca.gov</p>
5	<p>Provide the name, title, email address, signature, and telephone number of the individual completing this form. Provide the date the form was completed.</p>
6	<p>This section must be completed by the state agency requesting the STD 204.</p>

Privacy Statement

Section 7(b) of the Privacy Act of 1974 (Public Law 93-579) requires that any federal, state, or local governmental agency, which requests an individual to disclose their social security account number, shall inform that individual whether that disclosure is mandatory or voluntary, by which statutory or other authority such number is solicited, and what uses will be made of it.

It is mandatory to furnish the information requested. Federal law requires that payment for which the requested information is not provided is subject to federal backup withholding and state law imposes noncompliance penalties of up to \$20,000.

You have the right to access records containing your personal information, such as your SSN. To exercise that right, please contact the business services unit or the accounts payable unit of the state agency(ies) with which you transact that business.

All questions should be referred to the requesting state agency listed on the bottom front of this form.

GENERAL INFORMATION: Military and Veteran Code (MVC) 999.5(d), Government Code (GC) 14841, and California Code of Regulations (CCR) 1896.78(e) requires all Prime Contractor's that had a Disabled Veteran Business Enterprise (DVBE) firm perform an element of work for a contract to report DVBE information.

Prime Contractors are required to maintain records supporting the information submitted on this form and that all payments to DVBE subcontractor(s) were made.

INCLUDE

- **ONLY ONE contract per Report**
- **All DVBE firms that performed an element of work for this contract regardless of tier.**

HEADER

Contract Number: Enter the Contract Number

Prime Contractor: Enter the Prime Contractor's name as shown on the contract

FEIN Number: Enter only the **last four digits** of the Federal Employer Identification Number (FEIN) or the Social Security Number (SSN).

Phone Number: Enter the phone number (with area code) of the Prime Contractor

Address: Enter the address of the Prime Contractor

Department: Enter the state department/entity name.

Date Contract Completed: Enter the date contracted work was completed.

Date Final Payment Received: Enter the date the **final** payment for work performed was received by the Prime Contractor

Contract Award Amount: Enter the total dollar amount awarded to the Prime Contractor for this contract including all financial amendments.

Contract Received Amount: Enter the dollar amount received by the Prime Contractor for this contract

TABLE

DVBE Subcontractor(s) Name: Enter the name of all DVBE firms that are listed to perform an element of work or supplies for this contract and any formal approved substitution(s)*. Use the next tab for additional lines on the form. *All DVBE substitutions must be approved by the Office of Small Business & DVBE Services, effective (MVC § 999.5(e)).

DVBE Subcontractor(s) Address: Enter the address of each DVBE firm.

Supplier Number: Enter each DVBE firm's supplier/certification number.

Total Contracted Amount to DVBE: Enter the entire amount contracted to each DVBE.

Total Payment Amount to DVBE: Enter the total amount paid to all DVBE firms that performed an element of work for this contract

Variance: The system will compute the variance of DVBE firms dollars contracted compared to dollars paid

SIGNATURE BLOCK

Prime Contractor's Signature: Prime Contractor's printed name, signature, and date

Send form back to the department/entity listed in the header within 60 days of receipt of final payment.

DEPARTMENT ONLY INSTRUCTIONS

The following items need to be filled out by the department prior to E-MAILING the form to the Prime Contractor.

The awarding department's completion of this information prior to issuing this form to prime contractors ensures that all DVBE subcontractor activities are reported for DVBE firms resulting in the award.

HEADER

Contract Number: Enter the Contract Number

Prime Contractor: Enter the Prime Contractor's name as shown on the contract

Department: Enter the state department/entity name.

Date Contract Completed: Enter the date contracted work was completed.

Contract Award Amount: Enter the total dollar amount paid to the Prime Contractor for this contract including all financial amendments.

TABLE

DVBE Subcontractor(s) Name: Enter the name of all DVBE firms that are listed to perform an element of work or supplies for this contract and any formal approved substitution(s)*. Use the next tab for additional lines on the form. *All DVBE substitutions must be approved by the Office of Small Business & DVBE Services, effective (MVC § 999.5(e)).

DVBE Subcontractor(s) Address: Enter the address of each DVBE firm.

Supplier Number: Enter each DVBE firm's supplier/certification number.

Total Contracted Amount to DVBE: Enter the entire amount contracted to each DVBE.

**IFB #PW23-2, EXHIBIT J
PREVAILING WAGE RATES**

**Student Health and Counseling Building & Gutswurrak Student Activities Center Roof
Restoration, Various Projects**

This project is a public works project, and is subject to prevailing wage rate laws (see Contract General Conditions, Article 4.02-c).

Pursuant to Labor Code sections 1770 *et seq.*, the Trustees have obtained from the Department of Industrial Relations determinations of the prevailing wage rates and the prevailing wage rates for holiday and overtime work in the locality in which the Work is to be performed. Copies of these prevailing wage rates (determination 2020-1) are on file and available to any interested party upon request from Addie Dunaway, Contracts & Procurement, Humboldt State University, email Addie.Dunaway@humboldt, and on the following Department of Industrial Relations website: <http://www.dir.ca.gov/dlsr/DPreWageDetermination.htm>.

Prevailing wage determinations with a single asterisk (*) after the expiration date remain in effect for the life of the project. Prevailing wage determinations with double asterisks (**) after the expiration date indicate that the basic hourly wage rate, overtime and holiday pay rates, and employer payments to be paid for work performed after this date have been predetermined. If work is to extend past this date, the new rate must be paid and should be incorporated in contracts entered into now. The Contractor should contact the Prevailing Wage Unit, DLSR, to obtain predetermined wage changes. All determinations that do not have double asterisks (**) after the expiration date remain in effect for the life of the project.

If it becomes necessary to employ crafts, classifications or types of workers other than those listed, the Contractor shall immediately notify the Trustees who will then inform the Contractor of the prevailing rate which shall be applicable as a minimum from the time of initial employment.

These rates are the minimum that may be paid by the Contractor. Nothing contained in the contract documents shall be construed as preventing the Contractor from paying more than the minimum rate.

CONTRACTOR shall post a schedule showing all applicable prevailing wage rates at appropriate and conspicuous locations on the Project site in accordance with Labor Code section 1773.2.

End of Page