



## **Request for Proposal (RFP)**

**Resident Engineer and Construction Inspection Services for:**

**Clark Road Improvement from Wahl Road to 0.5 mi. N. of SR-98 and  
from Heber Road to 0.5 mi. N. of Heber Road in Imperial County  
Federal Project Number STPL 5958(114)  
County Project Number 6598**

Requested by:

John A. Gay, PE  
Director of Public Works

Prepared By:

Naomi Robles, MPA  
Administrative Analyst II

**Deadline for Submissions: September 3, 2020 4:00 P.M**

Imperial County  
Department of Public Works  
155 S. 11<sup>th</sup> Street  
El Centro, CA 92243  
**RFP Issued on August 12, 2020**

PROPOSALS MUST BE SUBMITTED ON THE SPECIFIED DATE AND TIME. THE COUNTY WILL NOT CONSIDER PROPOSALS RECEIVED AFTER THE DUE DATE. AN AMENDMENT IS CONSIDERED A NEW PROPOSAL AND WILL NOT BE ACCEPTED AFTER THE SPECIFIED DATE AND TIME.

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## EXHIBITS

A – Sample Proposal Evaluation Form

B – Sample Consultant Agreement and Insurance Requirements\*

***\*No changes shall be made to consultant agreement.***

C – Location Map

D – Bidder/Proposer Disadvantaged Business Enterprise (DBE) Program Requirements

- Exhibit 9-B: Local Agency DBE Annual Submittal Form
- Exhibit 10-I: Notice to Proposers Disadvantages Business Enterprise Information

**For all Federally Funded Projects the following additional items shall also be considered part of the contract:**

E – Listing of Required Federal Forms and phases when they are due

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# SPECIAL NOTICE

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## Notification of Contractor Registration Requirements (where required)

Pursuant to the requirements of California Labor Code section 1771.1, all contractors and subcontractors that wish to engage in public work through a public works contract must be registered with the Department of Industrial Relations (DIR).

**Beginning March 1, 2015**, no contractor or subcontractor may be listed on a bid proposal for a public works project unless registered with DIR.

Beginning April 1, 2015, no contractor or subcontractor may be awarded a contract for public work on a public works project unless registered with the DIR, pursuant to Labor Code section 1725.5

All contractors, including subcontractors, listed in the proposal must be registered with the DIR at the time proposals are due, and must submit proof of registration with the proposal. Any proposals received listing unregistered contractors and/or subcontractors will be deemed non-responsive.

Application and renewal are completed online with a non-refundable fee of \$300. Read the Public Works Reforms (SB 854) Fact Sheet for requirements. Instructions for completing the form and additional information can be found on the DIR website.

This Project is subject to compliance monitoring and enforcement by the Department of Industrial Relations (DIR).

## SOURCES OF INFORMATION

INFORMATION	WEBSITE
Department of Industrial Relations (Public Works)	<a href="http://www.dir.ca.gov/Public-Works/PublicWorks.html">http://www.dir.ca.gov/Public-Works/PublicWorks.html</a>
SB 854 Fact Sheet	<a href="http://www.dir.ca.gov/Public-Works/PublicWorksSB854.html">http://www.dir.ca.gov/Public-Works/PublicWorksSB854.html</a>
Senate Bill 854 Compliance	<a href="http://www.dir.ca.gov/Public-Works/SB854.html">http://www.dir.ca.gov/Public-Works/SB854.html</a>
Public Works Contractor (PWC) Registration	<a href="https://efiling.dir.ca.gov/PWCR/">https://efiling.dir.ca.gov/PWCR/</a>
Classifications and Minimum Labor Rates	<a href="http://www.dir.ca.gov/OPRL/Pwd/">http://www.dir.ca.gov/OPRL/Pwd/</a>

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**Request for Proposals Resident Engineer and Construction Inspection Services for Clark Road Improvements from Wahl Road to 0.5 mi. N. of SR-98 and from Heber Road to 0.5 mi. N. of Heber Road in Imperial County; Federal Aid Project No. STPL 5958(114); County Project No. 6598 (here forth known as the “Project”)**

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August 12, 2020

## **I. PURPOSE AND BACKGROUND**

The County of Imperial Department of Public Works (ICDPW) is requesting proposals from qualified and experienced construction management and field inspection professionals to provide Resident Engineer (RE) and Construction Inspection Services for the above referenced federally funded project in Imperial County. The services are anticipated to be full time for the duration of the construction work, which will be completed by private contract secured through the public bidding process.

The purpose of the Request for Proposals (RFP) is to provide the Department of Public Works with the assurance that this County-administered project is constructed in substantial compliance with the plans and specifications and that all local, state, and federal provisions (where applicable) which may be required due to the specific funding requirements are adhered to. An important objective is to maintain a level of high quality Resident Engineer and Construction Inspection Services through appropriate documentation and workflow methodology in the most cost-effective manner possible.

Qualified entities are invited to submit written proposals for consideration in accordance with this request. These services will be conducted under a contract with the County of Imperial, hereinafter referred to as "County" and the consultant entity, hereinafter referred to as "Consultant". The contract will be regulated according to the provisions of all federal, state and local laws and ordinances that are applicable. This includes compliance with prevailing wage rates and their payment in accordance with California Labor Code, Section 1775.

Disadvantaged Business Enterprises (DBE), Minority Business Enterprise (MBE), Women Business Enterprise (WBE) and Veteran Owned Businesses (VOB) are encouraged to participate. **The DBE goal for this project is 14%.**

Services that are partially funded with Federal funds are subject to Part 26, Title 49, Code of Federal Regulations entitled “Participation by Disadvantaged Business Enterprises (DBE) in the Department of Transportation Financial Assistance program.” Caltrans DBE program information can be found here: <https://dot.ca.gov/programs/business-and-economic-opportunity/dbe>

The construction work to be done on this project consists in general of providing construction area signs, providing a resurfacing section of a 1-inch grinding, 2-inch of asphalt concrete layer over a 1-inch asphalt concrete leveling course, digouts, header cut grinding, paint striping and signage, shoulder backing with Class II Aggregate Base, and all provisions and work in conformance with the Standard Plans and Specifications and the Special Provisions as directed by the Engineer shall be provided, performed, placed, constructed or installed.

## II. PROJECT POSTING AND SCHEDULING

This RFP is being distributed over the internet and is posted at the County of Imperial Department of Public Works website at the following address: <https://publicworks.imperialcounty.org/> under "Projects out to Bid." Consultants wishing to propose in response to this RFP must obtain this document from our website. The County will maintain a list of RFP holders based on self identification by interested firms. If you are interested in being added to the RFP holder list, please contact the project manager listed in section VIII. CLOSING ITEMS. The County will make every effort to provide individual notification of amendments or addendums to this RFP to known self-identified firms, but it will be the responsibility of each interested firm in checking the "Projects Out To Bid" webpage for any updates as the Web page will be the official media for dissemination of Addenda.

The County will therefore post any addendums to the RFP on the above mentioned website. All consultants shall refer to the website to verify all addendums that have been issued and that they have acknowledged all such addendums and included signed copies of all in their proposal.

### Proposed Schedule of Events

Issue Request for Proposals	August 12, 2020
Deadline for Written Requests for Clarification	August 25, 2020
Proposals Due	September 3, 2020
Consultant Selection	September 2020
County Awards Contract	October 2020
Notice to Proceed	October 2020

## III. SCOPE OF WORK

The scope of work is to provide the necessary RE and Construction Inspection Services to the County Public Works Department in accordance with all provisions within this RFP. These services will be needed during the course of the construction work from date of award of the construction project and notice to proceed to contractor, through construction and until Notice of Completion of construction is recorded by the County of Imperial Clerk/Recorder for the construction acceptance by County. Consultant shall provide a dedicated full time person or persons as needed to provide Resident Engineer (RE) and Construction Inspection Services for this specific project which is funded with local and federal funds. The RE shall be a California licensed Civil Engineer.

The RE will schedule and conduct a preconstruction meeting for the project, coordinating with the County, project designer, utility companies, the contractor, and other parties or agencies involved in the construction. The RE will prepare an agenda to be reviewed and approved by the County. The meeting will address job site safety, labor compliance, permit requirements and critical items of work. The RE will attend and conduct the meeting and prepare detailed meeting minutes, which will be provided to the County and the Contractor within 48 hours of the meeting.

Weekly meetings shall be scheduled by the Consultant with the RE, the County, and Contractor at the ICDPW. The RE will provide a weekly written summary for the ICDPW Director, which includes project progress, weekly plan, and pending issues. The RE will provide at least weekly face to face coordination with designated ICDPW staff with provision for pick up and drop off of correspondence, material testing data, and contractor information. All original hard copy project records shall be provided on a weekly basis to the County for review, oversight, and record keeping. Consultant will prepare and forward Agendas and Memoranda for all project related meetings.

Consultant will be responsible for the initial coordination with the Contractor regarding pay applications and change order requests. Consultant will conduct preliminary reviews of payment applications, change orders and requests for information (RFI) submitted by the Contractor. The payment applications, change orders and RFIs will be reviewed with County of Imperial staff prior to finalization.

Consultant is to obtain and review all communications and invoices by material testers and contractors, verify and deliver them to the ICDPW for approval. Consultant shall be the designated contact for communications and coordination between the County and the contractors, material testers and other parties involved with the construction. The Consultant shall administer the project in accordance with the special provisions for the project.

Bidding Documents (Notice to Contractors) and plans and specifications for the construction work referred to for this project are available on the Public Works website that can be found at: <https://publicworks.imperialcounty.org/projects-out-to-bid/>

The RE/Inspector shall conduct all work and prepare all documentation in compliance with the provisions of Chapter 15, "Advertise and Award Project", Chapter 16, "Administer Construction Contracts", and Chapter 17, "Project Completion", of Caltrans' latest Local Assistance Procedures Manual; latest edition of Caltrans' Construction Manual; and latest edition of Caltrans' Standard Plans and Specifications.

Consultant shall provide the necessary RE, construction management and construction inspection services for the project from the date of award of construction through the end of construction and notice of completion, as mentioned above. However, additional project related duties such as bid document review for familiarity, bid result reviews, preconstruction meeting, storm water pollution prevention compliance and project closure documentation and review will also be required. Consultant is expected to be proactive in the prosecution of his duties. This clarification does not suggest that any items specifically not mentioned are precluded from the scope of work.

It is important that the project be inspected on a full time basis when the Contractor is present at the site. The RE shall possess a thorough understanding of the plans, specifications and addendums. In addition, it is important that the RE/Inspector review and have a thorough understanding of the approved submittal documents, Air Pollution Control District requirements, and project schedule. The RE is to report to the County of Imperial representative on a daily basis. The RE will forward the Daily Inspection Reports and associated photographs to the County of Imperial representative and Contractor via e-mail each evening after the conclusion of daily construction activities. The forwarding of project reports at the conclusion of each day facilitates up-to-date communication and identifies/clarifies important issues as those issues occur. Consultant shall coordinate and monitor applicable material testing and inspections for this project in accordance with the project

improvement plans, specifications and contract documents. Consultant is to monitor overall project safety.

Consultant is to act as the primary point of contact for the County of Imperial, utility surveyors and the Contractor. Consultant is to review daily problems which arise. Consultant is to assess the problems, inform all parties of the problems and attempt to resolve the problems to the satisfaction of all parties. Consultant will also coordinate noticing to the public and appropriate public safety agencies regarding construction related impacts. Consultant shall meet with public safety agencies as needed.

RE and Inspection for this project shall be accomplished in accordance with the project improvement plans, and specifications and technical conditions. Engineer's daily inspection reports, project files, construction records and procedures, safety provisions, labor compliance provisions, contract change orders, material sampling and testing, response to Request for Information forms, storm water pollution prevention management and similar items shall be accomplished in accordance with the plans, specifications and contract documents. Consultant must be aware of the Quality Assurance Program (QAP) and demonstrate detailed project records.

Consultant will complete the Labor Standards Compliance Monitoring in accordance with California Labor Codes. The Resident Engineer Labor Standards Compliance Officer (LCO) will conduct payroll reviews of the Contractors and Subcontractors participating on this project. The LCO will review the fringe benefits, deductions and mathematical computations. The apprenticeship employment requirements will be verified.

Consultant will note as-built conditions at the project site. As-built conditions differing from the bid set improvement plans will be illustrated on the as-built drawings prepared at the conclusion of the project.

Consultant will conduct a pre-final inspection. A list of pre-final inspection items will be completed and forwarded to the Contractor and County of Imperial representatives. The final inspection is to be completed with County of Imperial representatives and the Contractor. A final list of items to be completed (punch list) including deficiencies to be remedied will be prepared and forwarded to all parties. Consultant shall monitor the successful completion of punch list items. Consultant shall assist the County of Imperial with the filing of the Notice of Completion at the time the project is substantially complete.

Although reference is made to Chapter 16, "Administer Construction Contracts" and Chapter 17, "Project Completion" of the LAPM, specific attention for clarification is directed to the following key provisions the County requires that Consultant adhere to, review, report or address as required in the duties of the RE/Inspector for the project. The RE/Inspector is expected to be proactive in the prosecution of his duties. This clarification does NOT suggest that any items specifically not mentioned are precluded from the scope of work.

Chapter 16:

1. Project Supervision & Inspection.
2. Pre-Construction Conference; No Partnering is Intended.



3. Contract Time.
4. Subcontractors.
5. Engineers Daily Reports.
6. Project Files.
7. Construction Records and Accounting Procedures.
8. Safety Provisions.
9. Labor Compliance.
10. Equal Employment Opportunity.
11. Contract Change Orders.
12. Quality Assurance Program; the County has a QAP that the RE/Inspector shall use to coordinate all material testing required for the project. The County shall provide and contract separately with a material testing firm to conduct material testing and another firm to conduct the Independent Assurance Testing required. The RE/Inspector shall coordinate with these firms to ensure all project material testing is performed, all certifications are completed and the work is performed in accordance with the plans and specifications.
13. Contract Claims.
14. Traffic Safety in Highway and Street Work Zones.
15. Construction Engineering Review by the County: Consultant is expected to participate in a final walk through meeting with County staff and the Contractor after the Final Report of Expenditures (as applicable) and Final Invoice have been prepared. This may be after the work is substantially completed.

#### Chapter 17:

1. Final Inspection procedures for Federal-Aid Projects (as applicable).
2. As-Built Plans.
3. Report of Expenditures – Consultant shall provide the necessary forms, summaries, reporting documentation and information, certifications and exhibits so that County can prepare and provide the Final Report of Expenditures (as applicable).

Throughout the construction of the project, Consultant will maintain orderly project files including, but not limited to, Daily Inspection Reports, Submittal Reviews, and similar project documentation. Consultant must be aware of the Quality Assurance Program (QAP) and demonstrate detailed project records. Upon project completion, two (2) sets of project notebooks, including all project records, shall be forwarded to the County, compiled in a three (3) ring binder, prominently labeled on the face and spine with the appropriate Project title.

Document will serve as a record of the project. Additionally, a copy of the record of the project is to be provided in Portable Document Format (PDF) on one (1) USB thumb drive. The required project file and all pertinent documents will need to be submitted before the final payment and retention will be released.

Upon project completion, Consultant will also prepare a detailed project summary report

documenting the condition of the project prior to rehabilitation and the improvements to the project after project completion. Photographs of the work site prior to commencement of work, during construction, and after completion of construction are to be included in the record of the project. The project summary report will also include the initial project budget, change orders and final project budget and include major project milestones and events. The project summary shall include a brief detailing of the dates of bid release, bid opening, dates of issue of Notice to Proceed to Contractor and Consultant, number of working days and a brief detailing of the project.

Two (2) sets of the project summary are to be provided in three (3) ring binders, as well as in Portable Document Format (PDF) USB thumb drive. The project summary shall be labeled with the same information as the comprehensive project record detailed above.

The County of Imperial Disadvantaged Business Enterprise (DBE) Program affirms the utilization and participation of qualified disadvantaged business firms in its contracting and procurement activities. The County encourages general and prime contractors to afford competitive subcontracting opportunities to disadvantaged firms, where possible, in their contracting and procurement activities with the County of Imperial.

Services that are partially funded with Federal funds are subject to Part 26, Title 49, Code of Federal Regulations entitled "Participation by Disadvantaged Business Enterprises (DBE) in the Department of Transportation Financial Assistance program."

Firms submitting a proposal shall be fully informed of the requirements of the regulations and the County's Disadvantaged Business Enterprise (DBE) program developed pursuant to the regulations. The County of Imperial's **DBE goal for this project is 14%.**

Construction Work Detail: The construction work shall be diligently prosecuted to completion before the expiration of forty (40) working days. The Engineers Estimate for the construction portion of the project is \$1,326,006

Bidding Documents (Notice to Contractors) and Plans and Specifications for the construction work referred to for this project are available on the Public Works website at:

<https://publicworks.imperialcounty.org/projects-out-to-bid/>

## **IV. AUDITS AND INVESTIGATIONS**

All consultants, including prime and sub consultants, on a proposed contract with a dollar value greater than \$150K are subject to an Indirect Cost Rate (ICR) financial review by Independent Office of Audits and Investigations (IOAI). The financial documents required are detailed in Exhibit 10-A, A&E Consultant Financial Document Review Request Letter and Exhibit 10-A Checklist. IOAI will review the ICR financial documents to either accept or adjust the indirect cost rate prior to contract execution using a risk-based approach as dictated by factors that include but are not limited to:

- History of satisfactory performance and professional reputation of consultant;
- Prior FAR compliant history and audit frequency;
- Experience of consultant with FAHP contracts;

- General responsiveness and responsibility;
- The approximate contract volume and dollar amount of all A&E contracts awarded to the consultant by Caltrans or a local agency in California within the last three calendar years;
- The number of states in which the consultant does business;
- The type and complexity of the consultant's accounting system;
- The relevant professional experience of any CPA performing audits of the Consultant's indirect cost rate;
- Assessment of consultant's internal control. Responses to internal control questionnaire, see AASHTO Audit Guide, Appendix B;
- For ICRs that have been adjusted by IOAI, the consultant must provide a revised cost proposal that reflects the adjusted ICR.

## **V. RESPONSIBILITIES OF THE COUNTY**

1. This RFP is being conducted in accordance with the "One Step RFP" as per Chapter 10, "Consultant Selection", of the Caltrans Local Assistance Procedures Manual.
2. The County will direct the development of the project, provide management oversight, and conduct administrative arrangements only.
3. The County will pay an agreed upon amount normally within 30 days after receipt of an invoice. County will retain 5% of each invoice until completion of project. Completion of project is when a Notice of Completion is recorded by the County Clerk/Recorder for the construction acceptance by the County.
4. The County will not provide dedicated workspace facilities, but upon request will provide a conference room for meetings with the Department and the Contractor.
5. The County reserves the right to perform any portion of the scope of work by County personnel or other consultants should the County determine it would be in the best interest of the County to do so.

## **VI. PROPOSAL CONTENT AND INFORMATION**

Proposals should be typed, organized and concise, yet comprehensive.

### **General Requirements**

1. Provide a cover letter.
2. State the interpretation of the work to be performed. State a positive commitment to perform the work in the required manner and time frame; include a basic summary; and demonstrate an understanding of the project. Provide a statement that the offer is valid for at least a ninety (90) day period.
3. Provide the name(s) of the primary and/or alternate individuals authorized to respond to this RFP. Include titles, addresses, e-mail, and phone numbers.

4. The Consultant is representing itself as a qualified professional in Civil Engineering/Traffic Engineering Services. Therefore, it is acceptable to submit recommendations and comments for consideration on format, process, schedule, and additional content of projects. The County will consider comments and recommendations; however is not required to select any of the recommendations or comments.
5. Expensive bindings, colored displays, promotional materials, etc., are neither necessary nor desired. Emphasis should be concentrated on conformance to the RFP instructions, responsiveness to the RFP requirements, and on completeness and clarity of content.
6. If any subcontractors are utilized, the lead Consultant must submit a description of the firm, the portion of work to be done, and cost of each subcontractor. All subcontracts exceeding \$25,000 in cost shall contain all required provisions of the prime contract.
7. Provide information about the Consultant's use of Disadvantaged Business Enterprises (DBEs). Consultant must give consideration to DBE firms as specified in 23 CFR 177.5(b), 49 CFR Part 26, and in Exhibit 10-1, Notice to Bidders/Proposer Disadvantaged Business Enterprise information, elsewhere in this RFP. The provisions of 49 CFR, Part 26 require that a local agency receiving federal-aid funds comply with the Disadvantaged Business Enterprise (DBE) program, and that DBE firms have the opportunity to participate in the projects (see Chapter 9, "Civil Rights and Disadvantaged Business Enterprises", of the LAPM including any updates). Such steps include the considering of DBE firms by the proposing consultants. When feasible, organize the project schedule and task requirements to encourage participation in the contract by DBE firms. Local agencies should be fully aware of all of the subcontracting opportunities in their consultant contracts.

The consultant shall ensure that certified DBE firms have the opportunity to participate in the performance of the contract and will be able to demonstrate a good faith effort (good faith effort documentation must be included with proposal).

## **Table of Contents**

Include a table of contents with identification of each section and page number.

## **Summary of Qualifications and Experience**

1. State whether the firm is local, regional, national or international.
2. Identify the owner(s) of the firm and legal status (sole proprietor, corporation, etc.)
3. Give the location of the office from which work is anticipated to be done and the number of employees of the company.

4. Identify the qualifications and resumes of all individuals who will be associated with this service. Include professional registrations and affiliations.
5. Summarize specific experiences and qualification for similar and related projects, both federally funded and locally funded. Describe the services previously performed such as studies, reports, etc. List at least three (3) references with telephone numbers and email contact addresses (if available).

## **Analysis of Effort/Methodology**

1. Describe the approach for how the work will be performed. The proposal shall indicate any specific techniques or methodology to be utilized.
2. The proposal shall include a sample project timeline with specific tasks envisioned for this project, including staffing.
3. Indicate what participation, data and products will be requested from the County.
4. Indicate deliverables to be provided and when.

## **Cost and Fees**

Cost Proposals (Caltrans LAPM Exhibit 10H Example 1) will not be submitted with the proposal. The County will first rank and score the submitted proposals and will contact the top ranked firm for submittal of the cost proposal. Cost proposals shall take into account the following:

1. Develop costs and fees for the services requested. Submit a not to exceed fee proposal based on anticipated fully burdened hourly rates.
2. When preparing cost and fees consider the scope of work involving project kick off and review of available documentation, material submittals, project documentation and prepare a lump sum fixed fee breakdown based on anticipated staff and hours. -Costs should be organized for full time hourly rates. Such hourly rates should be fully burdened or loaded, including full compensation for all overhead and profit. Billing rates shall include provision for normal office costs, including but not limited to office rental, utilities, insurance, cell phone or radio, equipment, normal supplies and materials, in-house reproduction services, and local travel costs. As much as possible, a fixed fee lump sum breakdown by phase of the construction based on billable hours is desirable for preconstruction and post construction.
3. Breakdown shall include preconstruction services and construction services (Request for information/clarification). No subcontractors shall be utilized without prior authorization by the County and modification to submitted DBE subcontractor's list or goal is discouraged and may lead to project funding issues.
4. Firm may submit their own format of the cost proposal, However, Exhibit 10-H Example 1 LAPM must be submitted (when requested). Executable copies of Exhibit 10-H Example 1 and all other updated LAPM forms can be found here: <https://dot.ca.gov/programs/local-assistance/forms/local-assistance-procedures-manual-forms>

5. If using sub consultants, the prime consultant must submit an exhibit 10-H for each sub consultant (which only reflects the cost of the sub consultant work). Those costs must be reflected in the cost proposal of the prime consultant. For more information, please consult the Caltrans Local Assistance Procedures Manual Chapter 10 “Consultant Selection.”

## **Insurance Requirements**

Prior to execution of the agreement with the County, the successful firm must provide evidence of insurance coverages as noted in the sample contract and insurance requirements exhibit. The successful firm will be required to maintain the required coverages, at its sole cost and expense, throughout the entire term and any subsequent modification terms of the contract.

Insurance requirements noted in sample contract and insurance exhibit are based on projected county estimates. Insurance requirements may be adjusted once the final cost and fees proposal is reviewed.

## **VII. EVALUATION OF PROPOSALS**

*Sample evaluation criteria for proposals are attached for your information as Exhibit A.*

The County will utilize a one-step selection process as noted in Caltrans Local Assistance Procedures Manual (LAPM) Chapter 10 – Consultant Selection Process.

Proposals will be reviewed by an evaluation committee. The evaluation committee’s assessment and recommendations shall be forwarded to the Director of Public Works for review. The County reserves the right to negotiate the price with the highest ranked proposer and if agreement on the terms is not possible, the County may opt to go with the next highest ranked proposer (LAPM Chapter 10).

The Director shall provide a report of the committee’s evaluation and recommendations, along with his recommendation, for the selection of a firm to the Board of Supervisors for final review and approval to enter into negotiations for an agreement. All firms submitting a proposal will be notified of final rankings.

Please take note that the County reserves the right to reject any and all proposals submitted and/or request additional information for clarification.

Consultants are to submit one (1) original, three (3) copies, and one (1) electronic copy in Portable Document Format (PDF) on a USB Thumb Drive of the proposal to the appropriate submission place on the specified date and time. Proposal must be clearly marked with the Project Title.

Proposals are to be delivered in a sealed envelope, no later than 4:00 P.M. on September 3, 2020 addressed as follows:

John A. Gay, P.E.  
Director of Public Works  
County of Imperial Department of Public Works

**Attn: Lorena Alvarez, Engineering Technician (Jose Castaneda, Analyst III)**  
155 S. 11<sup>th</sup> Street  
El Centro, California 92243

## **VIII. CLOSING ITEMS**

A pre-proposal conference will not be scheduled for this project.

Clarification desired by a respondent relating to definition or interpretation shall be requested in writing with sufficient time to allow for a response and prior to the RFP due date. Oral explanation or instructions shall not be considered binding on behalf of the County. Any modifications to this solicitation will be issued by the County as a written addendum.

The County will not consider proposals received after the specified date and time. An amendment is considered a new proposal and will not be accepted after the specified date and time. Any contract resulting from this RFP will be financed with funds available to the County from local County and/or Federal Aid or other grant funds.

This RFP does not commit the County of Imperial to award a contract or pay any costs associated with the preparation of a proposal. The County reserves the right to cancel, in part or in its entirety, this solicitation should this be in the best interest of the County.

Questions concerning this RFP are to be directed to Jose Castaneda, Administrative Analyst III, with the Imperial County Department of Public Works via electronic mail to [josecastaneda@co.imperial.ca.us](mailto:josecastaneda@co.imperial.ca.us)







## PROPOSAL EVALUATION FORM

Request for Proposal (RFP) Resident Engineering and Construction Inspection Services for Clark Road Improvements from Wahl Road to 0.5 mi North of SR-98 and from Heber Road to 0.5 mi North of Heber Road in Imperial County; Federal Project Number STPL 5958(114); County Project Number 6598

Prepared July 30, 2020 by N.Robles

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DATE: \_\_\_\_\_

RESPONDENT: \_\_\_\_\_

EVALUATOR: \_\_\_\_\_

EVALUATOR SIGNATURE: \_\_\_\_\_

RATING POINTS:

- 5 = excellent
- 4 = good
- 3 = above average
- 2 = average
- 1 = below average
- 0 = unsatisfactory

<b>CRITERIA</b>	<b>WEIGHT FACTOR</b>	<b>X</b>	<b>RATING</b>	<b>=</b>	<b>WEIGHTED RATING</b>
A. Technical Approach	0.35				
• Responsiveness & understanding of work to be done, (i.e. scope of work)	<b>(0.20)</b>		_____		_____
• Specific experience with RE/CI services	<b>(0.15)</b>		_____		_____
B. Project Management	0.30				
• Capacity to perform the scope of work and the ability to conclude in a timely manner	<b>(0.20)</b>		_____		_____
• Quality of staff based on recent experience	<b>(0.10)</b>		_____		_____
C. References	<b>(0.05)</b>		_____		_____
D. Familiarity and/or specific experience with local, state and federal project procedures using LAPM for local agency advertised projects.	<b>(0.25)</b>		_____		_____
E. Overall quality of proposal, including qualifications and thoroughness.	<b>(0.05)</b>		_____		_____
			Subtotal Score		_____
F. Previous Experience and Performance working with County of Imperial Department of Public Works					_____
					(0 to -5)
			<b>Total Score</b>		_____

Note: Positive previous experience and no previous experience will constitute a score of zero (0). Negative experience points will be deducted from the overall score.

**Comments:**

**Exhibit B**

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**Sample Consultant Agreement and Insurance Requirements**

1 **AGREEMENT FOR SERVICES**

2 **«Consultant\_Business\_Name»**

3 THIS AGREEMENT FOR SERVICES (“Agreement”), made and entered into effective the  
4 \_\_\_\_\_ day of \_\_\_\_\_, 2017, by and between the County of Imperial, a political subdivision of  
5 the State of California, by and through its Department of Public Works (“COUNTY”) and  
6 **«Consultant\_Business\_Name»**, a **«Consultant\_Business\_Type»** licensed to do business within the state  
7 of California (“CONSULTANT”) (individually, “Party;” collectively, “Parties”) shall be as follows:

8 **RECITALS**

9 **WHEREAS**, COUNTY desires to retain a qualified individual, firm or business entity to provide  
10 **«Contract\_Services»** for **«Project\_Name»**; County Project No. **«Project\_Number»** (“Project”); and

11 **WHEREAS**, CONSULTANT represents that it is qualified and experienced to perform the  
12 services; and

13 **WHEREAS**, COUNTY desires to engage CONSULTANT to provide services by reason of its  
14 qualifications and experience for performing such services, and CONSULTANT has offered to provide  
15 the required services for the Project on the terms and in the manner set forth herein.

16 **NOW, THEREFORE**, in consideration of their mutual covenants, COUNTY and  
17 CONSULTANT have and hereby agree to the following:

18 **1. INCORPORATION OF RECITALS.**

19 The Parties certify that, to the best of their knowledge, the above recitals are true and correct. The  
20 above recitals are hereby adopted and incorporated within this Agreement.

21 **2. DEFINITIONS.**

22 **2.1.** “Request for Proposal” or “RFP” shall mean that document that describes the Project and  
23 project requirements to prospective bidders entitled, “**«Name\_of\_RFP»**,” dated  
24 **«Date\_of\_RFP»**. The Request for Proposal is attached hereto as **Exhibit “A”** and  
25 incorporated herein by this reference.

26 **2.2.** “Proposal” shall mean CONSULTANT’s document entitled, “**«Name\_of\_Proposal»**,”  
27 dated **«Date\_of\_Proposal»** and submitted to COUNTY’s Department of Public Works.  
28 The Proposal is attached hereto as **Exhibit “B”** and incorporated herein this by reference.

1 **3. CONTRACT COORDINATION.**

2 **3.1.** The Director of Public Works or his/her designee shall be the representative of  
3 COUNTY for all purposes under this Agreement. The Director of Public Works or  
4 his/her designee is hereby designated as the Contract Manager for COUNTY. He/she  
5 shall supervise the progress and execution of this Agreement.

6 **3.2.** CONSULTANT shall assign a single Contract Manager to have overall responsibility for  
7 the progress and execution of this Agreement. Should circumstances or conditions  
8 subsequent to the execution of this Agreement require a substitute Contract Manager for  
9 any reason, the Contract Manager designee shall be subject to the prior written acceptance  
10 and approval of COUNTY's Contract Manager.

11 **4. DESCRIPTION OF WORK.**

12 CONSULTANT shall provide all materials and labor to perform this Agreement consistent with  
13 the RFP and the Proposal, as set forth in **Exhibits "A" and "B."** In the event of a conflict amongst this  
14 Agreement, the RFP, and the Proposal, the RFP shall take precedence over the Proposal and this  
15 Agreement shall take precedence over both.

16 **5. WORK TO BE PERFORMED BY CONSULTANT.**

17 **5.1.** CONSULTANT shall comply with all terms, conditions and requirements of the Proposal  
18 and this Agreement.

19 **5.2.** CONSULTANT shall perform such other tasks as necessary and proper for the full  
20 performance of the obligations assumed by CONSULTANT hereunder; including but not  
21 limited to any additional work or change orders agreed upon pursuant to written  
22 authorization as described in Paragraph 6.3, and as contemplated under Sections 13, 14,  
23 and 28. Proposed additional work or change order requests, when applicable, will be  
24 attached and incorporated herein under **Exhibit "B"** (as "B-1," "B-2," etc.).

25 **5.3.** CONSULTANT shall:

26 **5.3.1.** Procure all permits and licenses, pay all charges and fees, and give all notices  
27 that may be necessary and incidental to the due and lawful prosecution of the  
28 services to be performed by CONSULTANT under this agreement;

1           **5.3.2.** Keep itself fully informed of all existing and proposed federal, state and local laws,  
2                         ordinances, regulations, orders and decrees which may affect those engaged or  
3                         employed under this Agreement;

4           **5.3.3.** At all times observe and comply with, and cause all of its employees to observe  
5                         and comply with all of said laws, ordinances, regulations, orders and decrees  
6                         mentioned above; and

7           **5.3.4.** Immediately report to COUNTY's Contract Manager in writing any discrepancy  
8                         or inconsistency it discovers in said laws, ordinances, regulations, orders and  
9                         decrees mentioned above in relation to any plans, drawings, specifications or  
10                        provisions of this Agreement.

11 **6.     REPRESENTATIONS BY CONSULTANT.**

12 **6.1.** CONSULTANT understands and agrees that COUNTY has limited knowledge in the  
13                         multiple areas specified in the Proposal. CONSULTANT has represented itself to be an  
14                         expert in these fields and understands that COUNTY is relying upon such representation.

15 **6.2.** CONSULTANT represents and warrants that it is a lawful entity possessing all required  
16                         licenses and authorities to do business in the State of California and perform all aspects  
17                         of this Agreement.

18 **6.3.** CONSULTANT shall not commence any work under this Agreement or provide any  
19                         other services, or materials, in connection therewith until CONSULTANT has received  
20                         written authorization from COUNTY's Contract manager to do so.

21 **6.4.** CONSULTANT represents and warrants that the people executing this Agreement on  
22                         behalf of CONSULTANT have the authority of CONSULTANT to sign this Agreement  
23                         and bind CONSULTANT to the performance of all duties and obligations assumed by  
24                         CONSULTANT herein.

25 **6.5.** CONSULTANT represents and warrants that any employee, contractor and/or agent who  
26                         will be performing any of the duties and obligations of CONSULTANT herein possess all  
27                         required licenses and authorities, as well as the experience and training, to perform such  
28                         tasks.

1       **6.6.**   CONSULTANT represents and warrants that the allegations contained in the Proposal are  
2       true and correct.

3       **6.7.**   CONSULTANT understands and agrees not to discuss this Agreement or work  
4       performed pursuant to this Agreement with anyone not a party to this Agreement  
5       without the prior permission of COUNTY. CONSULTANT further agrees to  
6       immediately advise COUNTY of any contacts or inquiries made by anyone not a party  
7       to this Agreement with respect to work performed pursuant to this Agreement.

8       **6.8.**   Prior to accepting any work under this Agreement, CONSULTANT shall perform a due  
9       diligence review of its files and advise COUNTY of any conflict or potential conflict  
10      CONSULTANT may have with respect to the work requested.

11      **6.9.**   CONSULTANT understands and agrees that in the course of performance of this  
12      Agreement CONSULTANT may be provided with information or data considered by  
13      the owner or the COUNTY to be confidential. COUNTY shall clearly identify such  
14      information and/or data as confidential. CONSULTANT shall take all necessary steps  
15      necessary to maintain such confidentiality including but not limited to restricting the  
16      dissemination of all material received to those required to have such data in order for  
17      CONSULTANT to perform under this Agreement.

18      **6.10.** CONSULTANT represents that the personnel dedicated to this project as identified in  
19      CONSULTANT's Proposal, will be the people to perform the tasks identified therein.  
20      CONSULTANT will not substitute other personnel or engage any contractors to work  
21      on any tasks identified herein without prior written notice to COUNTY.

22      **6.11.** CONSULTANT understands that COUNTY considers the representations made herein  
23      to be material and would not enter into this Agreement with CONSULTANT if such  
24      representations were not made.

25      **7.    TERM OF AGREEMENT.**

26           This Agreement shall commence on the date first written above and shall remain in effect until  
27      the services provided as outlined in Section 4, ("DESCRIPTION OF WORK"), have been completed,  
28      unless otherwise terminated as provided for in this Agreement.

1 **8. COMPENSATION.**

2 **8.1.** The total compensation payable under this Agreement shall not exceed  
3 «Cost\_of\_Original\_Contract», unless otherwise previously agreed to in writing by  
4 COUNTY.

5 **8.2.** The fee for any additional services required by COUNTY will be computed either on a  
6 negotiated lump sum basis or upon actual hours and expenses incurred by  
7 CONSULTANT and based on CONSULTANT's current standard rates as set forth in  
8 the Proposal. Additional services or costs will not be paid without a prior written  
9 agreement between the Parties.

10 **8.3.** Except as provided under Paragraphs 8.1 and 8.2, COUNTY shall not be responsible to  
11 pay CONSULTANT any compensation, out of pocket expenses, fees, reimbursement of  
12 expenses or other remuneration.

13 **9. PAYMENT.**

14 **9.1.** CONSULTANT shall bill COUNTY on a time and material basis as set forth in **Exhibit**  
15 **“B.”** COUNTY shall pay CONSULTANT for completed and approved services upon  
16 presentation of its itemized billing.

17 **9.2.** COUNTY shall have the right to retain five percent (5%) of the total of amount of each  
18 invoice, not to exceed five percent (5%) of the total compensation amount of the  
19 completed project. “Completion of the Project” is when the work to be performed has  
20 been completed in accordance with this Agreement, as determined by COUNTY, and all  
21 subcontractors, if any, have been paid in full by CONSULTANT. Upon completion of the  
22 Project CONSULTANT shall bill COUNTY the retention for payment by COUNTY.

23 **10. METHOD OF PAYMENT.**

24 CONSULTANT shall at any time prior to the fifteenth (15<sup>th</sup>) day of any month, submit to  
25 COUNTY a written claim for compensation for services performed. The claim shall be in a format  
26 approved by COUNTY. No payment shall be made by COUNTY prior to the claims being approved in  
27 writing by COUNTY's Contract Manager or his/her designee. CONSULTANT may expect to receive  
28 payment within a reasonable time thereafter and in any event in the normal course of business within

1 thirty (30) days after the claim is submitted.

2 **11. TIME FOR COMPLETION OF THE WORK.**

3 The Parties agree that time is of the essence in the performance of this Agreement. Program  
4 scheduling shall be as described in Exhibits unless revisions are approved by both COUNTY's  
5 Contract Manager and CONSULTANT's Contract Manager. Time extensions may be allowed for  
6 delays caused by COUNTY, other governmental agencies or factors not directly brought about by the  
7 negligence or lack of due care on the part of CONSULTANT.

8 **12. MAINTENANCE AND ACCESS OF BOOKS AND RECORDS.**

9 **12.1.** CONSULTANT shall maintain books, records, documents, reports and other materials  
10 developed under this Agreement as follows:

11 **12.2.** CONSULTANT shall maintain all ledgers, books of accounts, invoices, vouchers,  
12 canceled checks, and other records relating to CONSULTANT's charges for services or  
13 expenditures and disbursements charged to COUNTY for a minimum period of three  
14 (3) years, or for any longer period required by law, from the date of final payment to  
15 CONSULTANT pursuant to this Agreement.

16 **12.3.** CONSULTANT shall maintain all reports, documents, and records, which demonstrate  
17 performance under this Agreement for a minimum period of five (5) years, or for any  
18 longer period required by law, from the date of termination or completion of this  
19 Agreement.

20 **12.4.** Any records or documents required to be maintained by CONSULTANT pursuant to  
21 this Agreement shall be made available to COUNTY for inspection or audit at any time  
22 during CONSULTANT's regular business hours provided that COUNTY provides  
23 CONSULTANT with seven (7) days advanced written or e-mail notice. Copies of such  
24 documents shall, at no cost to COUNTY, be provided to COUNTY for inspection at  
25 CONSULTANT's address indicated for receipt of notices under this Agreement.

26 **13. SUSPENSION OF AGREEMENT.**

27 COUNTY's Contract Manager shall have the authority to suspend this Agreement, in whole or  
28 in part, for such period as deemed necessary due to unfavorable conditions or to the failure on the part



1 of CONSULTANT to perform any provision of this Agreement. CONSULTANT will be paid the  
2 compensation due and payable to the date of suspension.

3 **14. TERMINATION.**

4 COUNTY retains the right to terminate this Agreement for any reason by notifying  
5 CONSULTANT in writing twenty (20) days prior to termination and by paying the compensation due  
6 and payable to the date of termination; provided, however, if this Agreement is terminated for fault of  
7 CONSULTANT, COUNTY shall be obligated to compensate CONSULTANT only for that portion of  
8 CONSULTANT's services which are of benefit to COUNTY. Said compensation is to be arrived at by  
9 mutual agreement between COUNTY and CONSULTANT; should the parties fail to agree on said  
10 compensation, an independent arbitrator shall be appointed and the decision of the arbitrator shall be  
11 binding upon the parties.

12 **15. INSPECTION.**

13 CONSULTANT shall furnish COUNTY with every reasonable opportunity for COUNTY to  
14 ascertain that the services of CONSULTANT are being performed in accordance with the requirements  
15 and intentions of this Agreement. All work done and materials furnished, if any, shall be subject to  
16 COUNTY's Contract Manager's inspection and approval. The inspection of such work shall not  
17 relieve CONSULTANT of any of its obligations to fulfill its Agreement as prescribed.

18 **16. OWNERSHIP OF MATERIALS.**

19 All original drawings, videotapes, studies, sketches, computations, reports, information, data  
20 and other materials given to or prepared or assembled by or in the possession of CONSULTANT  
21 pursuant to this Agreement shall become the permanent property of COUNTY and shall be delivered  
22 to COUNTY upon demand, whether or not completed, and shall not be made available to any  
23 individual or organization without the prior written approval of COUNTY.

24 **17. INTEREST OF CONSULTANT.**

25 **17.1.** CONSULTANT covenants that it presently has no interest, and shall not acquire any  
26 interest, direct or indirect, financial or otherwise, which would conflict in any manner or  
27 degree with the performance of the services hereunder.

28 **17.2.** CONSULTANT covenants that, in the performance of this Agreement, no sub-

1 contractor or person having such an interest shall be employed.

2 **17.3.** CONSULTANT certifies that no one who has or will have any financial interest under  
3 this Agreement is an officer or employee of COUNTY.

4 **18. INDEMNIFICATION.**

5 **18.1.** CONSULTANT agrees to the fullest extent permitted by law to indemnify, defend,  
6 protect and hold COUNTY and its representatives, officers, directors, designees,  
7 employees, successors and assigns harmless from any and all claims, expenses,  
8 liabilities, losses, causes of actions, demands, losses, penalties, attorneys' fees and  
9 costs, in law or equity, of every kind and nature whatsoever arising out of or in  
10 connection with CONSULTANT's negligent acts and omissions or willful misconduct  
11 under this Agreement ("Claims"), whether or not arising from the passive negligence of  
12 COUNTY, but does not include Claims that are the result of the negligence or willful  
13 misconduct of COUNTY.

14 **18.2.** CONSULTANT agrees to defend with counsel acceptable to COUNTY, indemnify and  
15 hold COUNTY harmless from all Claims, including but not limited to:

16 **18.2.1.** Personal injury, including but not limited to bodily injury, emotional injury,  
17 sickness or disease or death to persons including but not limited to COUNTY's  
18 representatives, officers, directors, designees, employees, agents, successors and  
19 assigns, subcontractors and other third parties and/or damage to property of  
20 anyone (including loss of use thereof) arising out of CONSULTANT's negligent  
21 performance of, or willful misconduct surrounding, any of the terms contained  
22 in this Agreement, or anyone directly or indirectly employed by  
23 CONSULTANT or anyone for whose acts CONSULTANT may be liable;

24 **18.2.2.** Liability arising from injuries to CONSULTANT and/or any of  
25 CONSULTANT's employees or agents arising out of CONSULTANT's  
26 negligent performance of, or willful misconduct surrounding, any of the terms  
27 contained in this Agreement, or anyone directly or indirectly employed by  
28 CONSULTANT or anyone for whose acts CONSULTANT may be liable;

1           **18.2.3.** Penalties imposed upon account of the violation of any law, order, citation, rule,  
2           regulation, standard, ordinance or statute caused by the negligent action or  
3           inaction, or willful misconduct of CONSULTANT or anyone directly or  
4           indirectly employed by CONSULTANT or anyone for whose acts  
5           CONSULTANT may be liable, including but not limited to:

6           **(a)** Any loss of funding, penalties, fees, or other costs resulting from  
7           CONSULTANT's failure to adhere to Disadvantaged Business  
8           Enterprise requirements and/or goals, as determined by COUNTY or  
9           such other lawful entity in charge of monitoring Disadvantaged Business  
10          Enterprise compliance;

11          **(a)** Any loss of funding, penalties, fees, or other costs resulting from  
12          CONSULTANT's failure to adhere to prevailing wage requirements, as  
13          determined by COUNTY, the California Department of Industrial  
14          Relations, or such other lawful entity in charge of monitoring prevailing  
15          wage compliance;

16          **18.2.4.** Infringement of any patent rights which may be brought against COUNTY  
17          arising out of CONSULTANT's work;

18          **18.2.5.** Any violation or infraction by CONSULTANT of any law, order, citation, rule,  
19          regulation, standard, ordinance or statute in any way relating to the occupational  
20          health or safety of employees; and

21          **18.2.6.** Any breach by CONSULTANT of the terms, requirements or covenants of this  
22          Agreement.

23          **18.3.** These indemnification provisions shall extend to Claims occurring after this Agreement  
24          is terminated, as well as while it is in force.

25          **19. INDEPENDENT CONTRACTOR.**

26          In all situations and circumstances arising out of the terms and conditions of this Agreement,  
27          CONSULTANT is an independent contractor, and as an independent contractor, the following shall  
28          apply:

- 1       **19.1.** CONSULTANT is not an employee or agent of COUNTY and is only responsible for  
2       the requirements and results specified by this Agreement or any other agreement.
- 3       **19.2.** CONSULTANT shall be responsible to COUNTY only for the requirements and results  
4       specified by this Agreement and except as specifically provided in this Agreement, shall  
5       not be subject to COUNTY's control with respect to the physical actions or activities of  
6       CONSULTANT in fulfillment of the requirements of this Agreement.
- 7       **19.3.** CONSULTANT is not, and shall not be, entitled to receive from, or through, COUNTY,  
8       and COUNTY shall not provide, or be obligated to provide, CONSULTANT with  
9       Workers' Compensation coverage or any other type of employment or worker insurance  
10      or benefit coverage required or provided by any Federal, State or local law or regulation  
11      for, or normally afforded to, an employee of COUNTY.
- 12      **19.4.** CONSULTANT shall not be entitled to have COUNTY withhold or pay, and COUNTY  
13      shall not withhold or pay, on behalf of CONSULTANT, any tax or money relating to  
14      the Social Security Old Age Pension Program, Social Security Disability Program, or  
15      any other type of pension, annuity, or disability program required or provided by any  
16      federal, State or local law or regulation.
- 17      **19.5.** CONSULTANT shall not be entitled to participate in, nor receive any benefit from, or  
18      make any claim against any COUNTY fringe program, including, but not limited to,  
19      COUNTY's pension plan, medical and health care plan, dental plan, life insurance plan,  
20      or any other type of benefit program, plan, or coverage designated for, provided to, or  
21      offered to COUNTY's employees.
- 22      **19.6.** COUNTY shall not withhold or pay, on behalf of CONSULTANT, any Federal, State,  
23      or local tax, including, but not limited to, any personal income tax, owed by  
24      CONSULTANT.
- 25      **19.7.** CONSULTANT is, and at all times during the term of this Agreement, shall represent  
26      and conduct itself as an independent contractor, not as an employee of COUNTY.
- 27      **19.8.** CONSULTANT shall not have the authority, express or implied, to act on behalf of,  
28      bind or obligate COUNTY in any way without the written consent of COUNTY.

1 **20. INSURANCE.**

2 **20.1.** CONSULTANT hereby agrees at its own cost and expense to procure and maintain,  
3 during the entire term of this Agreement and any extended term therefore, insurance in  
4 a sum acceptable to COUNTY and adequate to cover potential liabilities arising in  
5 connection with the performance of this Agreement and in any event not less than the  
6 minimum limit set forth in the “Minimum Insurance Amounts” attachment to RFP  
7 (**Exhibit “A”**) which are incorporated as if set forth fully herein.

8 **20.2. Special Insurance Requirements.** All insurance required shall:

9 **20.2.1.** Be procured from California admitted insurers (licensed to do business in  
10 California) with a current rating by Best’s Key Rating Guide, acceptable to  
11 COUNTY. A rating of at least A-VII shall be acceptable to COUNTY; lesser  
12 ratings must be approved in writing by COUNTY.

13 **20.2.2.** Be primary coverage as respects COUNTY and any insurance or self-insurance  
14 maintained by COUNTY shall be in excess of CONSULTANT’s insurance  
15 coverage and shall not contribute to it.

16 **20.2.3.** Name The Imperial County Department of Public Works and the County of  
17 Imperial and their officers, employees, and volunteers as additional insured on  
18 all policies, except Workers’ Compensation insurance and Errors & Omissions  
19 insurance, and provide that COUNTY may recover for any loss suffered by  
20 COUNTY due to CONSULTANT’s negligence.

21 **20.2.4.** State that it is primary insurance and regards COUNTY as an additional insured  
22 and contains a cross-liability or severability of interest clause.

23 **20.2.5.** Not be canceled, non-renewed or reduced in scope of coverage until after thirty  
24 (30) days written notice has been given to COUNTY. CONSULTANT may not  
25 terminate such coverage until it provides COUNTY with proof that equal or  
26 better insurance has been secured and is in place. Cancellation or change  
27 without prior written consent of COUNTY shall, at the option of COUNTY, be  
28 grounds for termination of this Agreement.

1           **20.2.6.** If this Agreement remains in effect more than one (1) year from the date of its  
2                           original execution, COUNTY may, at its sole discretion, require an increase to  
3                           liability insurance to the level then customary in similar COUNTY Agreements  
4                           by giving sixty (60) days notice to CONSULTANT.

5           **20.3.** Additional Insurance Requirements.

6           **20.3.1.** COUNTY is to be notified immediately of all insurance claims. COUNTY is  
7                           also to be notified if any aggregate insurance limit is exceeded.

8           **20.3.2.** The comprehensive or commercial general liability shall contain a provision of  
9                           endorsements stating that such insurance:

- 10                   (a) Includes contractual liability;
- 11                   (b) Does not contain any exclusions as to loss or damage to property caused  
12                           by explosion or resulting from collapse of buildings or structures or  
13                           damage to property underground, commonly referred to by insurers as  
14                           the “XCU Hazards;”
- 15                   (c) Does not contain a “pro rata” provision which looks to limit the insurer’s  
16                           liability to the total proportion that its policy limits bear to the total  
17                           coverage available to the insured;
- 18                   (d) Does not contain an “excess only” clause which require the exhaustion  
19                           of other insurance prior to providing coverage;
- 20                   (e) Does not contain an “escape clause” which extinguishes the insurer’s  
21                           liability if the loss is covered by other insurance;
- 22                   (f) Includes COUNTY as an additional insured.
- 23                   (g) States that it is primary insurance and regards COUNTY as an additional  
24                           insured and contains a cross-liability or severability of interest clause.

25           **20.4.** Deposit of Insurance Policy. Promptly on issuance, reissuance, or renewal of any  
26                           insurance policy required by this Agreement, CONSULTANT shall, if requested by  
27                           COUNTY, provide COUNTY satisfactory evidence that insurance policy premiums  
28                           have been paid together with a duplicate copy of the policy or a certificate evidencing

1 the policy and executed by the insurance company issuing the policy or its authorized  
2 agent.

3 **20.5. Certificates of Insurance.** CONSULTANT agrees to provide COUNTY with the  
4 following insurance documents on or before the effective date of this Agreement:

5 **20.5.1.** Complete copies of certificates of insurance for all required coverages including  
6 additional insured endorsements shall be attached hereto as **Exhibit “C”** and  
7 incorporated herein.

8 **20.5.2.** The documents enumerated in this Paragraph shall be sent to the following:

9 County of Imperial  
10 Risk Management Department  
11 RE: County Project No. «Project\_Number»  
12 940 Main Street, Suite 101  
13 El Centro, CA 92243

14 County of Imperial  
15 Department of Public Works  
16 RE: County Project No. «Project\_Number»  
17 155 South 11th Street  
18 El Centro, CA 92243

19 **20.6. Additional Insurance.** Nothing in this, or any other provision of this Agreement, shall  
20 be construed to preclude CONSULTANT from obtaining and maintaining any  
21 additional insurance policies in addition to those required pursuant to this Agreement.

22 **21. PREVAILING WAGE.**

23 **21.1.** CONSULTANT acknowledges that any work that qualifies as a “public work” within  
24 the meaning of California Labor Code section 1720 shall cause CONSULTANT, and its  
25 sub-consultants, to comply with the provisions of California Labor Code sections 1775  
26 et seq.

27 **21.2.** When applicable, copies of the prevailing rate of per diem wages shall be on file at  
28 COUNTY’s Department of Public Works and available to CONSULTANT and any  
other interested party upon request. CONSULTANT shall post copies of the prevailing  
wage rate of per diem wages at the Project site.

1           **21.3.** CONSULTANT hereby acknowledges and stipulates to the following:

2           **21.3.1.** CONSULTANT has reviewed and agrees to comply with the provisions of  
3                           Labor Code section 1776 regarding retention and inspection of payroll records  
4                           and noncompliance penalties; and

5           **21.3.2.** CONSULTANT has reviewed and agrees to comply with the provisions of  
6                           Labor Code section 1777.5 regarding employment of registered apprentices; and

7           **21.3.3.** CONSULTANT has reviewed and agrees to comply with the provisions of  
8                           Labor Code section 1810 regarding the legal day's work; and

9           **21.3.4.** CONSULTANT has reviewed and agrees to comply with the provisions of  
10                          Labor Code section 1813 regarding forfeiture for violations of the maximum  
11                          hours per day and per week provisions contained in the same chapter.

12           **21.3.5.** CONSULTANT has reviewed and agrees to comply with any applicable  
13                          provisions for those Projects subject to Department of Industrial Relations (DIR)  
14                          Monitoring and Enforcement of prevailing wages. COUNTY hereby notifies  
15                          CONSULTANT that CONSULTANT is responsible for complying with the  
16                          requirements of Senate Bill 854 (SB854) regarding certified payroll record  
17                          reporting. Further information concerning the requirements of SB854 is  
18                          available on the DIR website located at: [http://www.dir.ca.gov/Public-  
19                          Works/PublicWorksEnforcement.html](http://www.dir.ca.gov/Public-Works/PublicWorksEnforcement.html).

20 **22.    WORKERS' COMPENSATION CERTIFICATION.**

21           **22.1.** Prior to the commencement of work, CONSULTANT shall sign and file with  
22                          COUNTY the following certification: "I am aware of the provisions of California Labor  
23                          Code §§3700 et seq. which require every employer to be insured against liability for  
24                          workers' compensation or to undertake self-insurance in accordance with the provisions  
25                          of that code, and I will comply with such provisions before commencing the  
26                          performance of the work of this contract."

27           **22.2.** This certification is included in this Agreement and signature of the Agreement shall  
28                          constitute signing and filing of the certificate.



1           **22.3.** CONSULTANT understands and agrees that any and all employees, regardless of hire  
2           date, shall be covered by Workers' Compensation pursuant to statutory requirements  
3           prior to beginning work on the Project.

4           **22.4.** If CONSULTANT has no employees, initial here: \_\_\_\_\_.

5   **23.   ASSIGNMENT.**

6           Neither this Agreement nor any duties or obligations hereunder shall be assignable by  
7   CONSULTANT without the prior written consent of COUNTY. CONSULTANT may employ other  
8   specialists to perform services as required with prior approval by COUNTY.

9   **24.   NON-DISCRIMINATION.**

10          **24.1.** During the performance of this Agreement, CONSULTANT and its subcontractors shall  
11          not unlawfully discriminate, harass or allow harassment against any employee or  
12          applicant for employment because of sex, race, color, ancestry, religious creed, national  
13          origin, physical disability (including HIV and AIDS), mental disability, medical  
14          condition (cancer), age (over forty (40)), marital status and denial of family care leave.  
15          CONSULTANT and its subcontractors shall insure that the evaluation and treatment of  
16          their employees and applicants for employment are free from such discrimination and  
17          harassment.

18          **24.2.** CONSULTANT and its subcontractors shall not discriminate on the basis of race, color,  
19          national origin, or sex in the performance of this Agreement. CONSULTANT shall  
20          carry out applicable requirements of 49 CFR 26 in the award and administration of  
21          DOT-assisted contracts. Failure by CONSULTANT to carry out these requirements is a  
22          material breach of this Agreement, which may result in the termination of this  
23          Agreement, or such other remedy as COUNTY deems appropriate.

24          **24.3.** CONSULTANT and its subcontractors shall comply with the provisions of the Fair  
25          Employment and Housing Act (Gov. Code §12990 (a-f) et seq.) and the applicable  
26          regulations promulgated thereunder (California Code of Regulations, Title 2, §7285 et  
27          seq.).

28          **24.4.** The applicable regulations of the Fair Employment and Housing Commission

1 implementing Government Code §12990 (a-f), set forth in Chapter 5 of Division 4 of  
2 Title 2 of the California Code of Regulations, are incorporated into this Agreement by  
3 reference and made a part hereof as if set forth in full.

4 **24.5.** The applicable regulations of §504 of the Rehabilitation Act of 1973 (29 U.S.C. §794  
5 (a)) are incorporated into this Agreement by reference and made a part hereof as if set  
6 forth in full.

7 **24.6.** CONSULTANT and its subconsultants shall give written notice of their obligations  
8 under this clause to labor organizations with which they have a collective bargaining or  
9 other agreement.

10 **24.7.** CONSULTANT shall include the nondiscrimination and compliance provisions of this  
11 clause in all subcontracts to perform work under this Agreement.

12 **25. DISADVANTAGED BUSINESS ENTITY COMPLIANCE.**

13 **25.1.** CONSULTANT represents and warrants that is has fully read the applicable  
14 Disadvantaged Business Enterprise (“DBE”) requirements pertaining to this Project and  
15 has fully and accurately completed any and all required DBE forms.

16 **25.2.** CONSULTANT represents and warrants that it will comply with all applicable DBE  
17 requirements for this Project.

18 **25.3.** CONSULTANT shall comply with the applicable DBE provisions attached hereto as  
19 **Exhibit “D”** and incorporated by this reference as though fully set forth herein.

20 **25.4.** If any state or federal funds are withheld from COUNTY or not reimbursed to  
21 COUNTY due to CONSULTANT’s failure to either comply with the DBE  
22 requirements set forth in the RFP and this Agreement, or to meet the mandatory DBE  
23 goals as determined by COUNTY, Caltrans, the Federal Highway Administration,  
24 and/or any other state or federal agency contributing funds to the Project, then  
25 CONSULTANT shall fully reimburse COUNTY the amount of funding lost. COUNTY  
26 reserves the right to deduct any such loss in funding from the amount of compensation  
27 due to CONSULTANT under this Agreement.

28 **25.5.** In addition to the above, CONSULTANT’s failure to comply with DBE

1 requirements/goals shall subject it to such sanctions as are permitted by law, which may  
2 include, but shall not be limited to the following:

3 **25.5.1.** Termination of this Agreement;

4 **25.5.2.** Withholding monthly progress payments;

5 **25.5.3.** Compensatory, special, incidental, liquidated and other damages; and/or

6 **25.5.4.** Designation of CONSULTANT as “nonresponsible,” and disqualification from  
7 bidding on future public works projects advertised by COUNTY.

8 **26. NOTICES AND REPORTS.**

9 **26.1.** Any notice and reports under this Agreement shall be in writing and may be given by  
10 personal delivery or by mailing by certified mail, addressed as follows:

COUNTY	CONSULTANT
Director of Public Works	«Consultant_Business_Name»
RE: County Project No. «Project_Number»	RE: County Project No.
«Project_Number»	
155 South 11th Street	«Consultant_Street_Address»
El Centro, CA 92243	«Consultant_City_State»

15 County of Imperial  
16 Clerk of the Board of Supervisors  
17 RE: County Project No. «Project\_Number»  
18 940 W. Main Street, Suite 209  
19 El Centro, CA 92243

20 **26.2.** Notice shall be deemed to have been delivered only upon receipt by the Party, seventy-  
21 two (72) hours after deposit in the United States mail or twenty-four (24) hours after  
22 deposit with an overnight carrier.

23 **26.3.** The addressees and addresses for purposes of this Section may be changed to any other  
24 addressee and address by giving written notice of such change. Unless and until written  
25 notice of change of addressee and/or address is delivered in the manner provided in this  
26 Section, the addressee and address set forth in this Agreement shall continue in effect  
27 for all purposes hereunder.

28 **27. ENTIRE AGREEMENT.**

This Agreement contains the entire Agreement between COUNTY and CONSULTANT

1 relating to the transactions contemplated hereby and supersedes all prior or contemporaneous  
2 agreements, understandings, provisions, negotiations, representations, or statements, either written or  
3 oral.

4 **28. MODIFICATION.**

5 No modification, waiver, amendment, discharge, or change of this Agreement shall be valid  
6 unless the same is in writing and signed by both Parties.

7 **29. CAPTIONS.**

8 Captions in this Agreement are inserted for convenience of reference only and do not define,  
9 describe or limit the scope or the intent of this Agreement or any of the terms thereof.

10 **30. PARTIAL INVALIDITY.**

11 If any provision in this Agreement is held by a court of competent jurisdiction to be invalid,  
12 void, or unenforceable, the remaining provisions will nevertheless continue in full force without being  
13 impaired or invalidated in any way.

14 **31. GENDER AND INTERPRETATION OF TERMS AND PROVISIONS.**

15 **31.1.** As used in this Agreement and whenever required by the context thereof, each number,  
16 both singular and plural, shall include all numbers, and each gender shall include a  
17 gender.

18 **31.2.** CONSULTANT as used in this Agreement or in any other document referred to in or  
19 made a part of this Agreement shall likewise include the singular and the plural, a  
20 corporation, a partnership, individual, firm or person acting in any fiduciary capacity as  
21 executor, administrator, trustee or in any other representative capacity or any other  
22 entity.

23 **31.3.** All covenants herein contained on the part of CONSULTANT shall be joint and several  
24 if more than one person, firm or entity executes the Agreement.

25 **32. WAIVER.**

26 No waiver of any breach or of any of the covenants or conditions of this Agreement shall be  
27 construed to be a waiver of any other breach or to be a consent to any further or succeeding breach of  
28 the same or any other covenant or condition.

1 **33. CHOICE OF LAW.**

2 This Agreement shall be governed by the laws of the State of California. This Agreement is  
3 made and entered into in Imperial County, California. Any action brought by either party with respect  
4 to this agreement shall be brought in a court of competent jurisdiction within said County.

5 **34. AUTHORITY.**

6 **34.1.** Each individual executing this Agreement on behalf of CONSULTANT represents and  
7 warrants that:

8 **34.1.1.** He/She is duly authorized to execute and deliver this Agreement on behalf of  
9 CONSULTANT;

10 **34.1.2.** Such execution and delivery is in accordance with the terms of the Articles of  
11 Incorporation or Partnership, any by-laws or Resolutions of CONSULTANT  
12 and;

13 **34.1.3.** This Agreement is binding upon CONSULTANT accordance with its terms.

14 **34.2.** CONSULTANT shall deliver to COUNTY evidence acceptable to COUNTY of the  
15 foregoing within thirty (30) days of execution of this Agreement.

16 **35. COUNTERPARTS.**

17 This Agreement (as well as any amendments hereto) may be executed in any number of  
18 counterparts, each of which when executed shall be an original, and all of which together shall  
19 constitute one and the same Agreement. No counterparts shall be effective until all Parties have  
20 executed a counterpart hereof.

21 **36. REVIEW OF AGREEMENT TERMS.**

22 **36.1.** Each Party has had the opportunity to receive independent legal advice from its  
23 attorneys with respect to the advisability of making the representations, warranties,  
24 covenants and agreements provided for herein, and with respect to the advisability of  
25 executing this Agreement.

26 **36.2.** Each Party represents and warrants to and covenants with the other Party that:

27 **36.2.1.** This Agreement in its reduction to final written form is a result of extensive  
28 good faith negotiations between the Parties and/or their respective legal counsel;

1 and

2 **36.2.2.** The Parties and/or their legal counsel have carefully reviewed and examined this  
3 Agreement for execution by said Parties.

4 **36.3.** Any statute or rule of construction that ambiguities are to be resolved against the  
5 drafting party shall not be employed in the interpretation of this Agreement.

6 **37. NON-APPROPRIATION.**

7 **37.1.** All obligations of COUNTY are subject to appropriation of resources by various  
8 federal, State, and local agencies, including but not limited to the U.S. Department of  
9 Transportation (“DOT”) and the California Department of Transportation (“Caltrans”).

10 **37.2.** This Agreement is valid and enforceable only if sufficient funds are made available to  
11 COUNTY for the purposes of this Project. In addition, this Agreement is subject to any  
12 additional restrictions, limitations, conditions, or any statute enacted by Congress, State  
13 Legislature, or COUNTY, and any regulations prescribed therefrom, that may affect the  
14 provisions, terms, or funding of this Agreement.

15 **37.3.** If sufficient funds for the Project are not appropriated, this Agreement may be amended  
16 or terminated in order to reflect said reduction in funding.

17 **IN WITNESS WHEREOF**, the Parties have executed this Agreement on the day and year first  
18 above written.

19  
20 **County of Imperial**

**«Consultant\_Business\_Name»**

21  
22 By: \_\_\_\_\_  
23 Michael W. Kelley, Chairman  
24 Imperial County Board of Supervisors

By: \_\_\_\_\_  
«Consultant\_Name\_for\_Signature»

25 **ATTEST:**

26  
27 \_\_\_\_\_  
28 Blanca Acosta, Clerk of the Board,  
County of Imperial, State of California

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**APPROVED AS TO FORM:**

Katherine Turner,  
County Counsel

By: \_\_\_\_\_  
«CC\_Attorney»,  
«CC\_Attorney\_Title»

SAMPLE

**EXHIBIT “A” – “REQUEST FOR PROPOSAL”**

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**EXHIBIT “B” – “PROPOSAL”**

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SAMPLE

**EXHIBIT “C” – “CERTIFICATES OF INSURANCE”**

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SAMPLE

1       **EXHIBIT “D” – “DISADVANTAGED BUSINESS ENTERPRISES (DBE) PARTICIPATION”**

2       A.       This contract is subject to 49 CFR, Part 26 entitled “Participation by Disadvantaged Business  
3       Enterprises in Department of Transportation Financial Assistance Programs.” Consultants who obtain  
4       DBE participation on this contract will assist Caltrans in meeting its federally mandated statewide  
5       overall DBE goal.

6       B.       The goal for DBE participation for this contract is \_\_\_\_\_%. If applicable, participation by  
7       DBE consultant or subconsultants shall be in accordance with information contained in the form  
8       entitled, “Consultant Proposal DBE Commitment” (Exhibit 10-O1, of the LAPM), or in the form  
9       entitled, “Consultant Contract DBE Information” (Exhibit 10-O2, of the LAPM), attached hereto and  
10       incorporated as part of the Contract. If a DBE subconsultant is unable to perform, CONSULTANT  
11       must make a good faith effort to replace him/her with another DBE subconsultant, if the goal is not  
12       otherwise met.

13       C.       DBEs and other small businesses, as defined in 49 CFR, Part 26 are encouraged to participate  
14       in the performance of contracts financed in whole or in part with federal funds. CONSULTANT or  
15       subconsultant shall not discriminate on the basis of race, color, national origin, or sex in the  
16       performance of this contract. CONSULTANT shall carry out applicable requirements of 49 CFR, Part  
17       26 in the award and administration of US DOT-assisted agreements. Failure by CONSULTANT to  
18       carry out these requirements is a material breach of this contract, which may result in the termination  
19       of this contract or such other remedy as LOCAL AGENCY deems appropriate.

20       D.       Any subcontract entered into as a result of this contract shall contain all of the provisions of  
21       this section.

22       E.       A DBE firm may be terminated only with prior written approval from LOCAL AGENCY and  
23       only for the reasons specified in 49 CFR 26.53(f). Prior to requesting LOCAL AGENCY consent for  
24       the termination, CONSULTANT must meet the procedural requirements specified in 49 CFR 26.53(f).  
25       26

26       F.       A DBE performs a Commercially Useful Function (CUF) when it is responsible for execution  
27       of the work of the contract and is carrying out its responsibilities by actually performing, managing,  
28

1 and supervising the work involved. To perform a CUF, the DBE must also be responsible with respect  
2 to materials and supplies used on the contract, for negotiating price, determining quality and quantity,  
3 ordering the material, and installing (where applicable) and paying for the material itself. To  
4 determine whether a DBE is performing a CUF, evaluate the amount of work subcontracted, industry  
5 practices, whether the amount the firm is to be paid under the, contract is commensurate with the work  
6 it is actually performing, and other relevant factors.

7 G. A DBE does not perform a CUF if its role is limited to that of an extra participant in a  
8 transaction, contract, or project through which funds are passed in order to obtain the appearance of  
9 DBE participation. In determining whether a DBE is such an extra participant, examine similar  
10 transactions, particularly those in which DBEs do not participate.

11 H. If a DBE does not perform or exercise responsibility for at least thirty percent (30%) of the  
12 total cost of its contract with its own work force, or the DBE subcontracts a greater portion of the work  
13 of the contract than would be expected on the basis of normal industry practice for the type of work  
14 involved, it will be presumed that it is not performing a CUF.

15 I. CONSULTANT shall maintain records of materials purchased or supplied from all  
16 subcontracts entered into with certified DBEs. The records shall show the name and business address  
17 of each DBE or vendor and the total dollar amount actually paid each DBE or vendor, regardless of  
18 tier. The records shall show the date of payment and the total dollar figure paid to all firms. DBE  
19 prime consultants shall also show the date of work performed by their own forces along with the  
20 corresponding dollar value of the work.

21  
22 J. If applicable, upon completion of the Contract, a summary of these records shall be prepared  
23 and submitted on the form entitled, "Final Report-Utilization of Disadvantaged Business Enterprise  
24 (DBE) and First-Tier Subcontractors" CEM-2402F (Exhibit 17-F, of the LAPM), certified correct by  
25 CONSULTANT or CONSULTANT's authorized representative and shall be furnished to the Contract  
26 Administrator with the final invoice. Failure to provide the summary of DBE payments with the final  
27 invoice will result in twenty-five percent (25%) of the dollar value of the invoice being withheld from  
28 payment until the form is submitted. The amount will be returned to CONSULTANT when a

1 satisfactory “Final Report-Utilization of Disadvantaged Business Enterprises (DBE) and First-Tier  
2 Subcontractors” form is submitted to the Contract Administrator.

3 K. If a DBE subconsultant is decertified during the life of the contract, the decertified  
4 subconsultant shall notify CONSULTANT in writing with the date of decertification. If a  
5 subconsultant becomes a certified DBE during the life of the Contract, the subconsultant shall notify  
6 CONSULTANT in writing with the date of certification. Any changes should be reported to LOCAL  
7 AGENCY’s Contract Administrator within 30 days.

SAMPLE

## INSURANCE REQUIREMENTS

Insurance Requirements are set forth by the Imperial County Department of Risk Management. Minimum requirements may vary per project and are subject to additional review after Consultant is selected. The insurance requirements for this project are as follows:

### MINIMUM INSURANCE AMOUNTS

Consultant Contract (Agreement for Services) form and content is included.

<u>Insurance</u>	<u>Minimum Limit *</u>
Errors & Omissions/ Professional Liability	\$2 million per occurrence
Workers Compensation, Coverage A	Statutory
Employers Liability, Coverage B	\$1 million
Comprehensive General Liability (Including Contractual Liability):	\$2 million per occurrence \$5 million aggregate
Bodily Injury	\$2 million per occurrence \$5 million aggregate
Property Damage	\$2 million per occurrence \$5 million aggregate
Comprehensive Automobile Liability  (Owned, hired & non-owned vehicles)	\$1 million
Bodily Injury	\$1 million per occurrence
Property Damage	\$1 million per occurrence

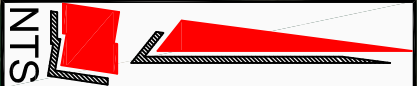
An endorsement covering any explosion, collapse and underground exposures, "XCU", in the Commercial General Liability policy is also required.

Insurance Certificates should name both:

**-Imperial County Department of Public Works  
-County of Imperial**

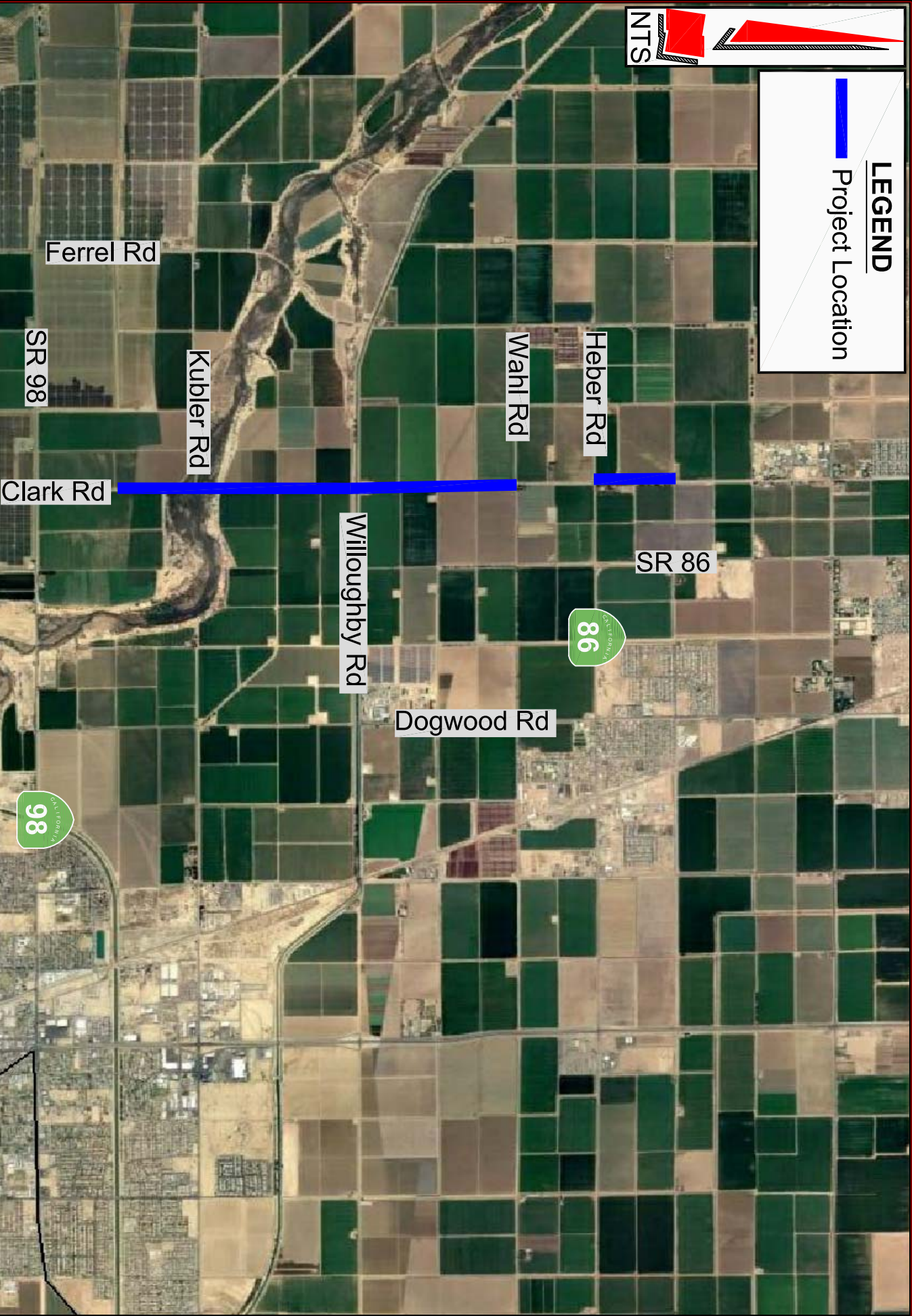
\*Minimums subject to additional review after bid open.





**LEGEND**

— Project Location



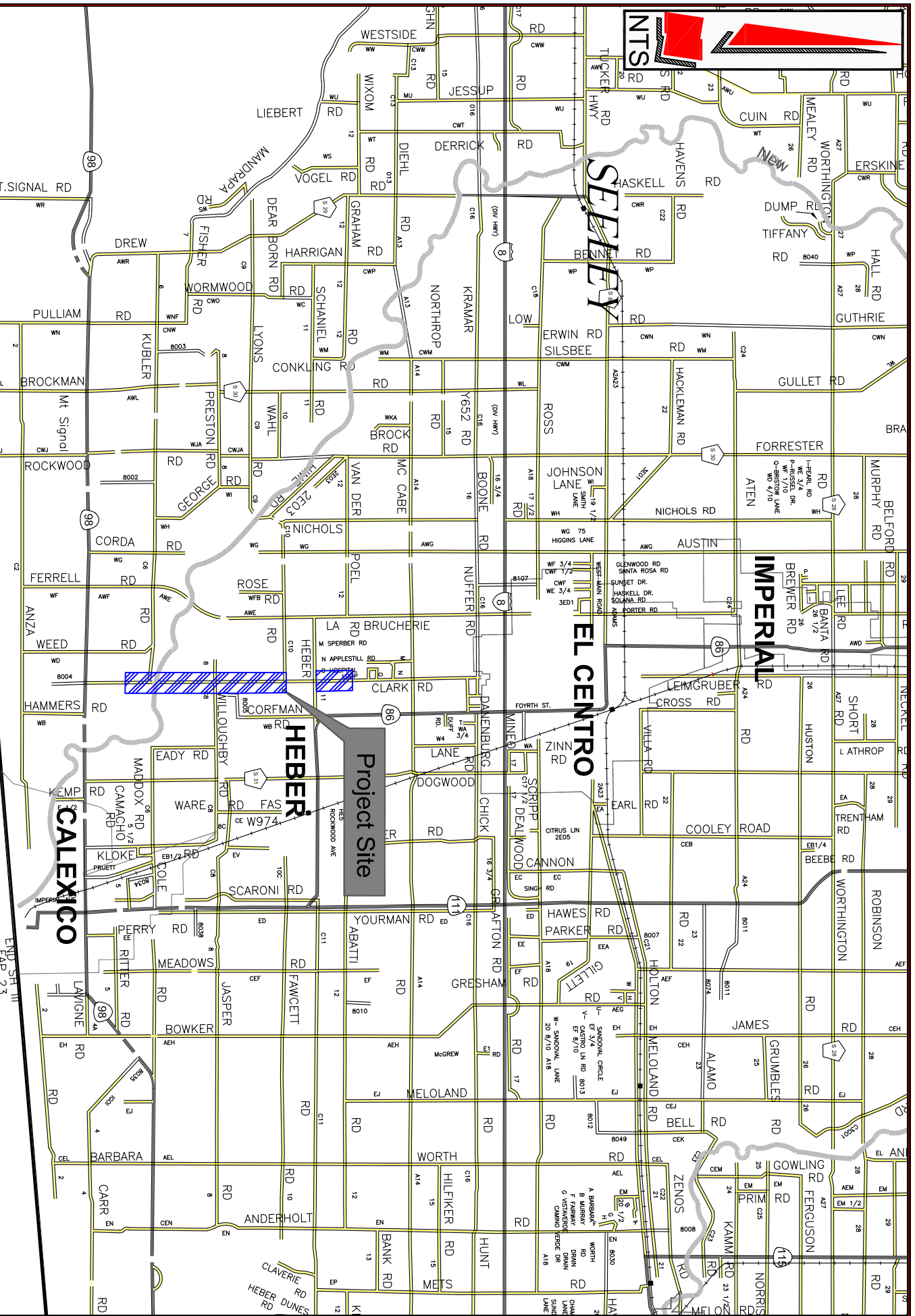
**IMPERIAL COUNTY  
PUBLIC WORKS DEPARTMENT  
EL CENTRO, CALIFORNIA**

Clark Rd. Improvements from Wahl Rd. to 0.5 mi. N. of SR 98 and from Heber Rd. to 0.5 mi. N. of Heber Rd. in Imperial County  
County Project No. 6598

**LOCATION MAP**

DRAWN:	OBM
DRAWING No.:	L-1032-A
DATE:	05/10/2019





**IMPERIAL COUNTY  
PUBLIC WORKS DEPARTMENT  
HEBER RD. IMPROVEMENTS FROM WAHL RD. TO 0.5 MI. N. OF SR 98 AND  
FROM HEBER RD. TO 0.5 MI. N. OF HEBER RD. IN IMPERIAL COUNTY  
LOCATION MAP**

Clark Rd. Improvements from Wahl Rd. to 0.5 mi. N. of SR 98 and  
from Heber Rd. to 0.5 mi. N. of Heber Rd. in Imperial County  
County Project No. 6598

DRAWN:	OBM
DRAWING NO.:	L-1032-B
DATE:	05/10/2019



EXHIBIT 9-B LOCAL AGENCY DBE ANNUAL SUBMITTAL FORM

TO: CALTRANS DISTRICT 11  
District Local Assistance Engineer

The information for Exhibit 9-B presented herein, in accordance with Title 49 of the Code of Federal Regulations (CFR), Part 26, and the State of California Department of Transportation (Caltrans) Disadvantaged Business Enterprise (DBE) Program Plan.

The City/County/Region of Imperial  
submits our annual 9-B information for the Federal Fiscal Year beginning on 10/1/2019 and ending on 9/30/2020.

Disadvantaged Business Enterprise Liaison Officer (DBELO)

Please see Attachment A

Planned Race-Neutral Measures

Please see Attachment B

Prompt Pay

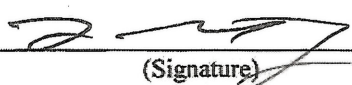
Federal regulation 49 CFR 26.29 requires one of three methods be used in federal-aid contracts to ensure prompt and full payment of any retainage kept by the prime contractor or subcontractor to a subcontractor

(Attached is a listing of the three methods. On the attachment, please designate which prompt payment provision the local agency will use.)

Prompt Pay Enforcement Mechanism

49 CFR 26.29(d) requires providing appropriate means to enforce prompt payment. These means may include appropriate penalties for failure to comply with the terms and conditions of the contract. The means may also provide that any delay or postponement of payment among the parties may take place only for good cause with the local agency's prior written approval.

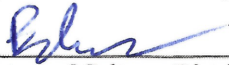
Please see Attachment C

  
\_\_\_\_\_  
(Signature)

Tony Rouhotas, Jr., County Executive Officer

(Print Name and Title)

ADMINISTERING AGENCY  
(Authorized Governing Body Representative)

  
\_\_\_\_\_  
(Signature of Caltrans District Local Assistance Engineer)

06/12/15  
\_\_\_\_\_  
(Date)

442-265-1001

(Phone Number)

9/17/19  
\_\_\_\_\_  
(Date)

Distribution: (1) Original - DLAE  
(2) Signed copy by the DLAE - Local Agency

(Attachment)

**Prompt Payment of Withheld Funds to  
Subcontractors**

Federal regulation (49 CFR 26.29) requires one of the following three methods be used in federal-aid contracts to ensure prompt and full payment of any retainage kept by the prime contractor or subcontractor to a subcontractor.

Please check the box of the method chosen by the local agency to ensure prompt and full payment of any retainage.

- Method 1:** No retainage will be held by the agency from progress payments due to the prime contractor. Prime contractors and subcontractors are prohibited from holding retainage from subcontractors. Any delay or postponement of payment may take place only for good cause and with the agency's prior written approval. Any violation of these provisions shall subject the violating contractor or subcontractor to the penalties, sanctions, and other remedies specified in Section 7108.5 of the California Business and Professions Code. This requirement shall not be construed to limit or impair any contractual, administrative or judicial remedies, otherwise available to the contractor or subcontractor in the event of a dispute involving late payment or nonpayment by the contractor, deficient subcontractor performance and/or noncompliance by a subcontractor. This clause applies to both DBE and non-DBE subcontractors.
  
- Method 2:** No retainage will be held by the agency from progress payments due to the prime contractor. Any retainage kept by the prime contractor or by a subcontractor must be paid in full to the earning subcontractor in 30 days after the subcontractor's work is satisfactorily completed. Any delay or postponement of payment may take place only for good cause and with the agency's prior written approval. Any violation of these provisions shall subject the violating contractor or subcontractor to the penalties, sanctions, and remedies specified in Section 7108.5 of the California Business and Professions Code. This requirement shall not be construed to limit or impair any contractual, administrative or judicial remedies, otherwise available to the contractor or subcontractor in the event of a dispute involving late payment or nonpayment by the contractor, deficient subcontractor performance and/or noncompliance by a subcontractor. This clause applies to both DBE and non-DBE subcontractors.
  
- Method 3:** The agency shall hold retainage from the prime contractor and shall make prompt and regular incremental acceptances of portions, as determined by the agency of the contract work and pay retainage to the prime contractor based on these acceptances. The prime contractor or subcontractor shall return all monies withheld in retention from all subcontractors within 30 days after receiving payment for work satisfactorily completed and accepted including incremental acceptances of portions of the contract work by the agency. Any delay or postponement of payment may take place only for good cause and with the agency's prior written approval. Any violation of these provisions shall subject the violating prime contractor to the penalties, sanctions, and other remedies specified in Section 7108.5 of the California Business and Professions Code. This requirement shall not be construed to limit or impair any contractual, administrative or judicial remedies otherwise available to the contractor or subcontractor in the event of a dispute involving late payment or nonpayment by the contractor; deficient subcontractor performance and/or noncompliance by a subcontractor. This clause applies to both DBE and non-DBE subcontractors.

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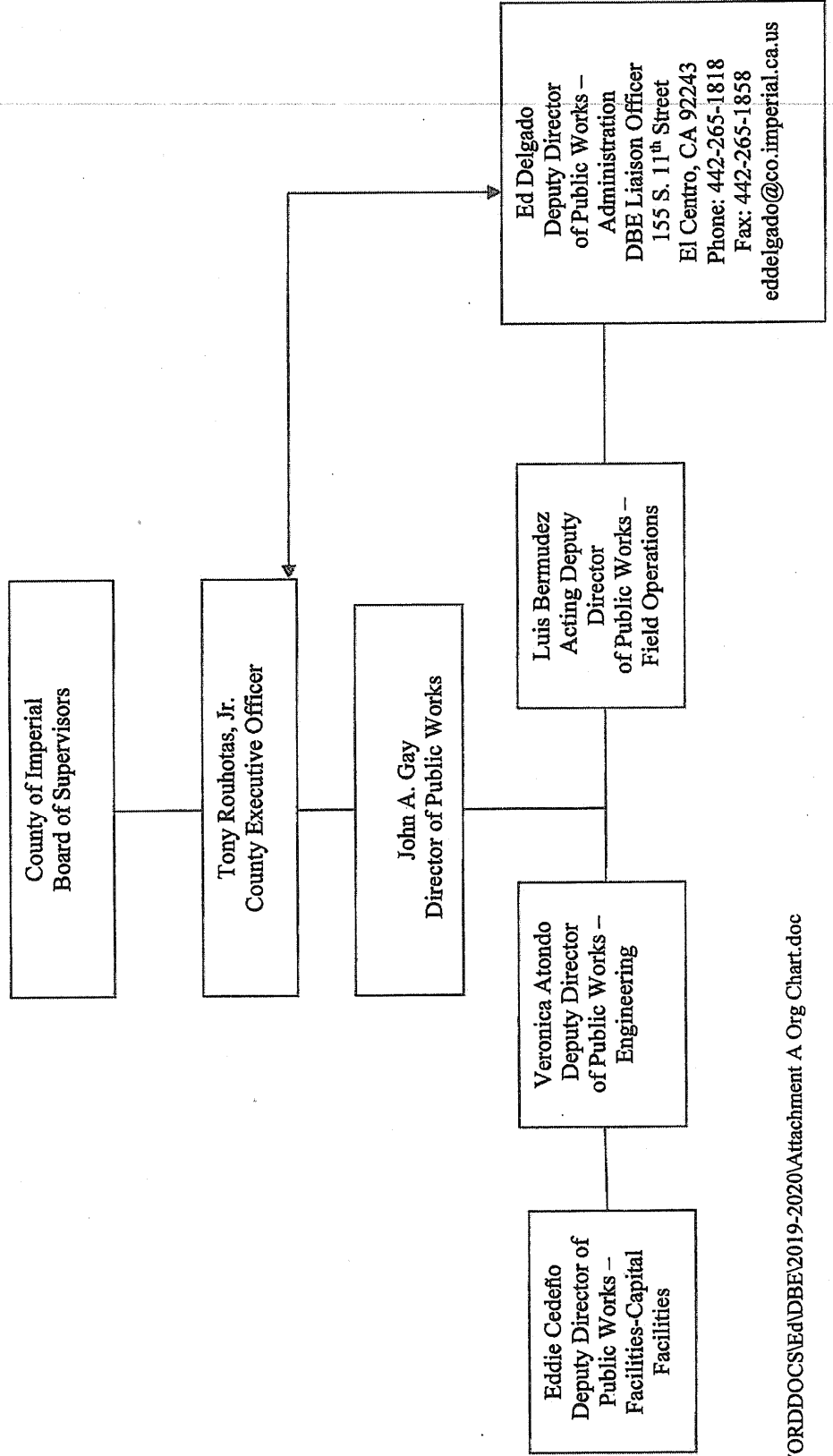
ATTACHMENT A

Organizational Chart

Attachment A

**COUNTY OF IMPERIAL  
DEPARTMENT OF PUBLIC WORKS  
DISADVANTAGED BUSINESS ENTERPRISE (DBE) PROGRAM  
FEDERAL FISCAL YEAR 2019/2020**

**ORGANIZATIONAL CHART**



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ATTACHMENT B

Race Neutral Details

## Attachment B

RECIPIENT must meet the maximum feasible portion of its AADPL by using race neutral means of facilitating DBE participation. Race neutral DBE participation includes any time a DBE wins a prime contract through customary competitive procurement procedures, is awarded a subcontract on a prime contract that does not carry a DBE goal, or even if there is a DBE goal, wins a subcontract from a prime contractor that did not consider its DBE status in making the award (e.g., a prime contractor that uses a strict low-bid system to award subcontracts).

Race neutral means include, but are not limited to, the following:

1. Arranging solicitations, times for the presentation of bids, quantities, specifications, and delivery schedules in ways that facilitate DBE, and other small businesses, participation (e.g., unbundling large contracts to make them more accessible to small businesses, requiring or encouraging prime contractors to subcontract portions of work that they might otherwise perform with their own forces);
2. Providing assistance in overcoming limitations such as inability to obtain bonding or financing (e. g., by such means as simplifying the bonding process, reducing bonding requirements, eliminating the impact of surety costs from bids, and providing services to help DBEs, and other small businesses, obtain bonding and financing);
3. Providing technical assistance and other services;
4. Carrying out information and communication programs on contracting procedures and specific contract opportunities (e. g., ensuring the inclusion of DBEs and other small businesses on recipient mailing lists of bidders; ensuring the dissemination to bidders on prime contacts of potential subcontractors; provision of information in languages other than English, where appropriate);
5. Implementing a supportive services program to develop and improve immediate and long-term business management, record keeping, and financial and accounting capability for DBEs and other small businesses;
6. Providing services to help DBEs and other small businesses improve long-term development, increase opportunities to participate in a variety of types of work, handle increasingly significant projects; and achieve eventual self-sufficiency;
7. Establishing a program to assist new, start-up firms, particularly in fields in which DBE participation has historically been low;
8. Ensuring distribution of your DBE directory through print and electronic means to the widest feasible universe of potential prime contractors; and
9. Assisting DBEs and other small businesses to develop their capability to utilize emerging technology and conduct business through electronic media.



---

ATTACHMENT C

Prompt Progress Payment to Subcontractors

## Attachment C

### PROMPT PROGRESS PAYMENT TO SUBCONTRACTORS

A prime contractor or subcontractor shall pay to any subcontractor not later than 10 days of receipt of each progress payment in accordance with the provision in section 7108.5 of the California Business and Professions Code concerning prompt payment to subcontractors. The 10 days is applicable unless a longer period is agreed to in writing. Any violation of Section 7108.5 shall subject the violating contractor or subcontractor to the penalties, sanctions and other remedies of that Section, up to and including a penalty, payable to the subcontractor, of 2 percent of the amount due per month, for every month that payment is not made as required under that subdivision. Federal regulation (49 CFR 26.29) requires that any delay or postponement of payment over 30 days of receipt of each payment may take place only for good cause and with the agency's prior written approval. These requirements shall not be construed to limit or impair any contractual, administrative, or judicial remedies otherwise, available to the prime contractor or subcontractor in the event of a dispute involving late payment, or nonpayment by the prime contractor, deficient subcontract performance, or noncompliance by a subcontractor. This provision applies to both DBE and non-DBE prime contractors and subcontractors.

EXHIBIT 9-C

Local Agency ADA Annual Certification Form

EXHIBIT 9-C LOCAL AGENCY ADA ANNUAL CERTIFICATION FORM

Local Agency ADA Annual Certification Form  
49 CFR 27: Nondiscrimination on the Basis of Disability in  
Programs or Activities  
Receiving Federal Financial Assistance

Local Agency: County of Imperial

Program Year: 2019-2020

Date Certification submitted: June 1, 2019

I. Name of ADA Liaison Officer: Rodolfo Aguayo, Director of Human Resources & RM  
Telephone Number: 442-265-1148  
E-mail Address: rodolfoaguayo@co.imperial.ca.us

II. ADA Complaint Procedure Adopted:  
Yes:  Date of Adoption: 03/03/2015  
No:  Planned Date of Adoption: \_\_\_\_\_  
Final Completion Date: 03/03/2015

III. Self-evaluation completed:  
Yes:  Date of Completion: 04/30/2003  
No:  Planned Date of Completion: \_\_\_\_\_  
Final Completion Date: 04/30/2003  
System established for periodically reviewing and updating the evaluation: 03/03/2015

IV. Transition Plan completed:  
Yes:  Date of Completion: \_\_\_\_\_  
Date of Implementation: \_\_\_\_\_  
No:  Planned Date of Completion: In Progress  
Final Completion Date: \_\_\_\_\_

V. Policies, procedures, and criteria for implementing ADA compliance improvements in maintenance and capital improvement programs have been reviewed and the required revisions have been made:  
Yes:  No:

VI. Division of State Architect (DSA) Checklists are used to verify compliance of design packages, standard plans and field inspections to ensure compliance with both State and federal accessibility standards:

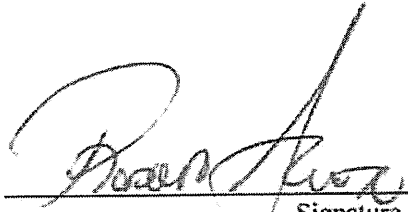
Yes:   X   No:           

DSA website: [http://www.dsa.dgs.ca.gov/Access/ud\\_accessmanual.htm](http://www.dsa.dgs.ca.gov/Access/ud_accessmanual.htm)

*Reminder: State of California Government Code Section 4454 requires Division of State Architect (DSA) review and approval of the plans and specifications for local agency pedestrian projects using State funds.*

VII. Standard Plans are reviewed and updated on an ongoing basis for full ADA and California Accessibility compliance:

Yes:   X   No:           

  
\_\_\_\_\_  
Signature  
(ADA Liaison Officer)

Date:   4.2.19  

Distribution: (1) Original - DLAE

**EXHIBIT 10-I NOTICE TO PROPOSERS DBE INFORMATION**

The Agency has established a DBE goal for this Contract of  $\frac{\text{Acceptance Testing - 6\%}}{\text{Independent Assurance - 9\%}}$  %

OR

The Agency has not established a goal for this Contract. However, proposers are encouraged to obtain DBE participation for this contract.

**1. TERMS AS USED IN THIS DOCUMENT**

- The term “Disadvantaged Business Enterprise” or “DBE” means a for-profit small business concern owned and controlled by a socially and economically disadvantaged person(s) as defined in Title 49, Code of Federal Regulations (CFR), Part 26.5.
- The term “Agreement” also means “Contract.”
- Agency also means the local entity entering into this contract with the Contractor or Consultant.
- The term “Small Business” or “SB” is as defined in 49 CFR 26.65.

**2. AUTHORITY AND RESPONSIBILITY**

- A. DBEs and other small businesses are strongly encouraged to participate in the performance of Contracts financed in whole or in part with federal funds (See 49 CFR 26, “Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs”). The Consultant must ensure that DBEs and other small businesses have the opportunity to participate in the performance of the work that is the subject of this solicitation and should take all necessary and reasonable steps for this assurance. The proposer must not discriminate on the basis of race, color, national origin, or sex in the award and performance of subcontracts.
- B. Proposers are encouraged to use services offered by financial institutions owned and controlled by DBEs.

**3. SUBMISSION OF DBE INFORMATION**

If there is a DBE goal on the contract, Exhibit 10-O1 *Consultant Proposal DBE Commitment* must be included in the Request for Proposal. In order for a proposer to be considered responsible and responsive, the proposer must make good faith efforts to meet the goal established for the contract. If the goal is not met, the proposer must document adequate good faith efforts. All DBE participation will be counted towards the contract goal; therefore, all DBE participation shall be collected and reported.

Exhibit 10-O2 *Consultant Contract DBE Information* must be included with the Request for Proposal. Even if no DBE participation will be reported, the successful proposer must execute and return the form.

**4. DBE PARTICIPATION GENERAL INFORMATION**

It is the proposer’s responsibility to be fully informed regarding the requirements of 49 CFR, Part 26, and the Department’s DBE program developed pursuant to the regulations. Particular attention is directed to the following:

- A. A DBE must be a small business firm defined pursuant to 13 CFR 121 and be certified through the California Unified Certification Program (CUCP).

- B. A certified DBE may participate as a prime consultant, subconsultant, joint venture partner, as a vendor of material or supplies, or as a trucking company.
- C. A DBE proposer not proposing as a joint venture with a non-DBE, will be required to document one or a combination of the following:
  - 1. The proposer is a DBE and will meet the goal by performing work with its own forces.
  - 2. The proposer will meet the goal through work performed by DBE subconsultants, suppliers or trucking companies.
  - 3. The proposer, prior to proposing, made adequate good faith efforts to meet the goal.
- D. A DBE joint venture partner must be responsible for specific contract items of work or clearly defined portions thereof. Responsibility means actually performing, managing, and supervising the work with its own forces. The DBE joint venture partner must share in the capital contribution, control, management, risks and profits of the joint venture commensurate with its ownership interest.
- E. A DBE must perform a commercially useful function pursuant to 49 CFR 26.55, that is, a DBE firm must be responsible for the execution of a distinct element of the work and must carry out its responsibility by actually performing, managing and supervising the work.
- F. The proposer shall list only one subconsultant for each portion of work as defined in their proposal and all DBE subconsultants should be listed in the bid/cost proposal list of subconsultants.
- G. A prime consultant who is a certified DBE is eligible to claim all of the work in the Contract toward the DBE participation except that portion of the work to be performed by non-DBE subconsultants.

## 5. RESOURCES

- A. The CUCP database includes the certified DBEs from all certifying agencies participating in the CUCP. If you believe a firm is certified that cannot be located on the database, please contact the Caltrans Office of Certification toll free number 1-866-810-6346 for assistance.
- B. Access the CUCP database from the Department of Transportation, Office of Business and Economic Opportunity Web site at: <http://www.dot.ca.gov/hq/bep/>.
  - 1. Click on the link titled *Disadvantaged Business Enterprise*;
  - 2. Click on Search for a DBE Firm link;
  - 3. Click on *Access to the DBE Query Form* located on the first line in the center of the page.

Searches can be performed by one or more criteria. Follow instructions on the screen.

## 6. MATERIALS OR SUPPLIES PURCHASED FROM DBES COUNT TOWARDS THE DBE GOAL UNDER THE FOLLOWING CONDITIONS:

- A. If the materials or supplies are obtained from a DBE manufacturer, count 100 percent of the cost of the materials or supplies. A DBE manufacturer is a firm that operates or maintains a factory, or establishment that produces on the premises the materials, supplies, articles, or equipment required under the Contract and of the general character described by the specifications.
- B. If the materials or supplies purchased from a DBE regular dealer, count 60 percent of the cost of the materials or supplies. A DBE regular dealer is a firm that owns, operates or maintains a store, warehouse, or other establishment in which the materials, supplies, articles or equipment of the general character described by the specifications and required under the Contract are bought, kept in stock, and regularly sold or leased to the public in the usual course of business. To be a DBE regular dealer, the firm must be an established, regular business that engages, as its principal business and under its own name, in the

purchase and sale or lease of the products in question. A person may be a DBE regular dealer in such bulk items as petroleum products, steel, cement, gravel, stone or asphalt without owning, operating or maintaining a place of business provided in this section.

- C. If the person both owns and operates distribution equipment for the products, any supplementing of regular dealers' own distribution equipment shall be, by a long-term lease agreement and not an ad hoc or Agreement-by-Agreement basis. Packagers, brokers, manufacturers' representatives, or other persons who arrange or expedite transactions are not DBE regular dealers within the meaning of this section.
- D. Materials or supplies purchased from a DBE, which is neither a manufacturer nor a regular dealer, will be limited to the entire amount of fees or commissions charged for assistance in the procurement of the materials and supplies, or fees or transportation charges for the delivery of materials or supplies required on the job site, provided the fees are reasonable and not excessive as compared with fees charged for similar services.



## Exhibit E

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### Required Certification by Consultant with Proposal

All required forms can be found on Caltrans LAPM forms website at:

<https://dot.ca.gov/programs/local-assistance/forms/local-assistance-procedures-manual-forms>

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Consultants are required to download the latest version of the forms and submit as noted.

#### **Required Certification by Consultant with Proposal**

- RFP Intake Form (County)
- Exhibit 15-H: DBE Information – Good Faith Efforts
- Exhibit 10-O1: Consultant Proposal DBE Commitment
- Exhibit 10-Q: Disclosure of Lobbying Activities

#### **Required Certification by Successful Consultant Prior to Contract Execution**

- Exhibit 10-H: Cost Proposal
- Exhibit 10-O2: Local Agency Proposer DBE Information (Consultant Contract)

#### **Required Certification by Consultant and for project close out**

- Exhibit 17-F: Final Report – Utilization of DBEs
- Exhibit 17-O: DBE Certification Status Change

#### **Required Certification for Agreements with a Value Greater than \$150,000.00 (Before Contract Execution)**

- Exhibit 10-K: Consultant Certification of Contract Cost and Financial Management System
- Exhibit 10-A: A&E Consultant Audit Request Letter and Checklist

Imperial County Department of Public Works  
RFP/RFQ Intake Form

*To be completed by consultant submitting a proposal*

Procurement: Request for Proposal (RFP) Resident Engineer and Construction Inspection Services for: Clark Road Improvements from Wahl Road to 0.5 mi. N. of SR-98 and from Heber Road to 0.5 mi. N. of Heber Road in Imperial County

Project Number: Federal Aid No. STPL 5958(114); County Project No. 6598

Prime Consultant Information

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

Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_

Zipcode: \_\_\_\_\_ Phone Number: \_\_\_\_\_

Person Authorized to bind firm into Contract

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

Email: \_\_\_\_\_

Project Manager:

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

Email: \_\_\_\_\_

Proposed Team: (Prime Consultant and Subconsultants)

Name	DIR Registration Number	Caltrans ICR Acceptance Number	Percentage of Contract
<b><u>PRIME CONSULTANT</u></b>			

**Note: DIR Registration Numbers and Caltrans ICR Acceptance Numbers must be current and active at the time of proposal submittal.**

Consultant's DBE Commitment included in your proposal for Acceptance Testing (%): \_\_\_\_\_

Consultant's DBE Commitment Included in Your Proposal for Independent Assurance Testing (%): \_\_\_\_\_

If the Consultant's DBE commitment does not meet DBE Goal established for the contract, does your proposal include Good Faith Efforts to meet the DBE Contract Goal in accordance to Caltrans LAPM Chapter 9 ? (yes/no)