

# Board Contract Summary

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For use with Expenditure Contracts submitted to the Board for approval. Complete information below, print, obtain signature of authorized departmental representative, and submit this form, along with attachments, to the appropriate departments for signature. See also: *Auditor-Controller Intranet Policies->Contracts.*

D1.	Fiscal Year .....	2017-18
D2.	Department Name .....	PW Flood Control
D3.	Contact Person .....	Jon Frye
D4.	Telephone .....	X3444

K1.	Contract Type ( <i>check one</i> ):	Personal Service	Capital
K2.	Brief Summary of Contract Description/Purpose .....	Construction management and inspection for the Santa Maria Airport Ditch Improvement Project	
K3.	Department Project Number.....	OR8302	
K4.	Original Contract Amount.....	\$159,159 (\$144,690 plus \$14,469 contingency)	
K5.	Contract Begin Date .....	July 11, 2017	
K6.	Original Contract End Date .....	December 31, 2018	
K7.	Amendment? (Yes or No).....	N/A	
K8.	- New Contract End Date .....	N/A	
K9.	- Total Number of Amendments .....	N/A	
K10.	- This Amendment Amount.....	\$	
K11.	- Total Previous Amendment Amounts.....	\$	
K12.	- Revised Total Contract Amount .....	\$	

B1.	Intended Board Agenda Date .....	July 11, 2017
B2.	Number of Workers Displaced ( <i>if any</i> ) .....	N/A
B3.	Number of Competitive Bids ( <i>if any</i> ).....	N/A
B4.	Lowest Bid Amount ( <i>if bid</i> ) .....	N/A
B5.	If Board waived bids, show Agenda Date.....	N/A
	and Agenda Item Number .....	
B6.	Boilerplate Contract Text Changed? ( <i>If Yes, cite Paragraph</i> ).....	Added paragraphs 33 and C and F in Exhibit B

F1.	Fund Number .....	2510
F2.	Department Number.....	054
F3.	Line Item Account Number.....	8400
F4.	Project Number ( <i>if applicable</i> ) .....	OR8302
F5.	Program Number ( <i>if applicable</i> ) .....	3005
F6.	Org Unit Number ( <i>if applicable</i> ).....	
F7.	Payment Terms.....	Net 30

V1.	Auditor-Controller Vendor Number.....	019268
V2.	Payee/Contractor Name.....	Filippin Engineering Inc.
V3.	Mailing Address.....	354 S Fairview Ave., STE D
V4.	City State (two-letter) Zip (include +4 if known).....	Goleta, CA 93117
V5.	Telephone Number .....	(805) 845-4602
V6.	Vendor Contact Person.....	Kelly Wheeler
V7.	Workers Comp Insurance Expiration Date .....	2/12/18
V8.	Liability Insurance Expiration Date .....	7/20/17
V9.	Professional License Number .....	
V10.	Verified by (print name of county staff).....	clopez

V11 Company Type (*Check one*):      Individual      Sole Proprietorship      Partnership      Corporation

I **certify** information is complete and accurate; designated funds available; required concurrences evidenced on signature page.

Date: 5/19/17      Authorized Signature: 

## AGREEMENT FOR SERVICES OF INDEPENDENT CONTRACTOR

THIS AGREEMENT (hereafter Agreement) is made by and between the **Santa Barbara County Flood Control & Water Conservation District**, a political subdivision of the State of California (hereafter COUNTY) and **Filippin Engineering** with an address at 354-D South Fairview Avenue, Goleta, CA 93117 (hereafter CONTRACTOR) wherein CONTRACTOR agrees to provide and COUNTY agrees to accept the services specified herein.

WHEREAS, CONTRACTOR represents that it is specially trained, skilled, experienced, and competent to perform the special services required by COUNTY and COUNTY desires to retain the services of CONTRACTOR pursuant to the terms, covenants, and conditions herein set forth;

NOW, THEREFORE, in consideration of the mutual covenants and conditions contained herein, the parties agree as follows:

### 1. DESIGNATED REPRESENTATIVE

Jon Frye at phone number (805) 568-3444 is the representative of COUNTY and will administer this Agreement for and on behalf of COUNTY. Kelly Wheeler at phone number (805) 845-4602 is the authorized representative for CONTRACTOR. Changes in designated representatives shall be made only after advance written notice to the other party.

### 2. NOTICES

Any notice or consent required or permitted to be given under this Agreement shall be given to the respective parties in writing, by personal delivery or facsimile, or with postage prepaid by first class mail, registered or certified mail, or express courier service, as follows:

To COUNTY:	Mr. Thomas D. Fayram, Santa Barbara County Flood Control & Water Conservation District, 130 E. Victoria Street, Suite 200, Santa Barbara, CA 93101
To CONTRACTOR:	Mr. Gino P. Filippin, Filippin Engineering, 354-D South Fairview Avenue, Goleta, CA 93117

or at such other address or to such other person that the parties may from time to time designate in accordance with this Notices section. If sent by first class mail, notices and consents under this section shall be deemed to be received five (5) days following their deposit in the U.S. mail. This Notices section shall not be construed as meaning that either party agrees to service of process except as required by applicable law.

### 3. SCOPE OF SERVICES

CONTRACTOR agrees to provide services to COUNTY in accordance with EXHIBIT A attached hereto and incorporated herein by reference.

### 4. TERM

CONTRACTOR shall commence performance on **July 11, 2017** and end performance upon completion, but no later than **December 31, 2018** unless otherwise directed by COUNTY or unless earlier terminated.

### 5. COMPENSATION OF CONTRACTOR

In full consideration for CONTRACTOR's services, CONTRACTOR shall be paid for performance under this Agreement in accordance with the terms of EXHIBIT B attached hereto and incorporated herein by reference. Billing

shall be made by invoice, which shall include the contract number assigned by COUNTY and which is delivered to the address given in Section 2 NOTICES above following completion of the increments identified on EXHIBIT B. Unless otherwise specified on EXHIBIT B, payment shall be net thirty (30) days from presentation of invoice.

**6. INDEPENDENT CONTRACTOR**

It is mutually understood and agreed that CONTRACTOR (including any and all of its officers, agents, and employees), shall perform all of its services under this Agreement as an independent contractor as to COUNTY and not as an officer, agent, servant, employee, joint venturer, partner, or associate of COUNTY. Furthermore, COUNTY shall have no right to control, supervise, or direct the manner or method by which CONTRACTOR shall perform its work and function. However, COUNTY shall retain the right to administer this Agreement so as to verify that CONTRACTOR is performing its obligations in accordance with the terms and conditions hereof. CONTRACTOR understands and acknowledges that it shall not be entitled to any of the benefits of a COUNTY employee, including but not limited to vacation, sick leave, administrative leave, health insurance, disability insurance, retirement, unemployment insurance, workers' compensation and protection of tenure. CONTRACTOR shall be solely liable and responsible for providing to, or on behalf of, its employees all legally-required employee benefits. In addition, CONTRACTOR shall be solely responsible and save COUNTY harmless from all matters relating to payment of CONTRACTOR's employees, including compliance with Social Security withholding and all other regulations governing such matters. It is acknowledged that during the term of this Agreement, CONTRACTOR may be providing services to others unrelated to the COUNTY or to this Agreement.

**7. STANDARD OF PERFORMANCE**

CONTRACTOR represents that it has the skills, expertise, and licenses/permits necessary to perform the services required under this Agreement. Accordingly, CONTRACTOR shall perform all such services in the manner and according to the standards observed by a competent practitioner of the same profession in which CONTRACTOR is engaged. All products of whatsoever nature, which CONTRACTOR delivers to COUNTY pursuant to this Agreement, shall be prepared in a first class and workmanlike manner and shall conform to the standards of quality normally observed by a person practicing in CONTRACTOR's profession. CONTRACTOR shall correct or revise any errors or omissions, at COUNTY'S request without additional compensation. Permits and/or licenses shall be obtained and maintained by CONTRACTOR without additional compensation.

**8. DEBARMENT AND SUSPENSION**

CONTRACTOR certifies to COUNTY that it and its employees and principals are not debarred, suspended, or otherwise excluded from or ineligible for, participation in federal, state, or county government contracts. CONTRACTOR certifies that it shall not contract with a subcontractor that is so debarred or suspended.

**9. TAXES**

CONTRACTOR shall pay all taxes, levies, duties, and assessments of every nature due in connection with any work under this Agreement and shall make any and all payroll deductions required by law. COUNTY shall not be responsible for paying any taxes on CONTRACTOR's behalf, and should COUNTY be required to do so by state, federal, or local taxing agencies, CONTRACTOR agrees to promptly reimburse COUNTY for the full value of such paid taxes plus interest and penalty, if any. These taxes shall include, but not be limited to, the following: FICA (Social Security), unemployment insurance contributions, income tax, disability insurance, and workers' compensation insurance.

**10. CONFLICT OF INTEREST**

CONTRACTOR covenants that CONTRACTOR presently has no employment or interest and shall not acquire any employment or interest, direct or indirect, including any interest in any business, property, or source of income, which would conflict in any manner or degree with the performance of services required to be performed under

this Agreement. CONTRACTOR further covenants that in the performance of this Agreement, no person having any such interest shall be employed by CONTRACTOR. COUNTY retains the right to waive a conflict of interest disclosed by CONTRACTOR if COUNTY determines it to be immaterial, and such waiver is only effective if provided by COUNTY to CONTRACTOR in writing.

#### **11. OWNERSHIP OF DOCUMENTS AND INTELLECTUAL PROPERTY**

COUNTY shall be the owner of the following items incidental to this Agreement upon production, whether or not completed: all data collected, all documents of any type whatsoever, all photos, designs, sound or audiovisual recordings, software code, inventions, technologies, and other materials, and any material necessary for the practical use of such items, from the time of collection and/or production whether or not performance under this Agreement is completed or terminated prior to completion. CONTRACTOR shall not release any of such items to other parties except after prior written approval of COUNTY.

Unless otherwise specified in Exhibit A, CONTRACTOR hereby assigns to COUNTY all copyright, patent, and other intellectual property and proprietary rights to all data, documents, reports, photos, designs, sound or audiovisual recordings, software code, inventions, technologies, and other materials prepared or provided by CONTRACTOR pursuant to this Agreement (collectively referred to as "Copyrightable Works and Inventions"). COUNTY shall have the unrestricted authority to copy, adapt, perform, display, publish, disclose, distribute, create derivative works from, and otherwise use in whole or in part, any Copyrightable Works and Inventions. CONTRACTOR agrees to take such actions and execute and deliver such documents as may be needed to validate, protect and confirm the rights and assignments provided hereunder. CONTRACTOR warrants that any Copyrightable Works and Inventions and other items provided under this Agreement will not infringe upon any intellectual property or proprietary rights of any third party. CONTRACTOR at its own expense shall defend, indemnify, and hold harmless COUNTY against any claim that any Copyrightable Works or Inventions or other items provided by CONTRACTOR hereunder infringe upon intellectual or other proprietary rights of a third party, and CONTRACTOR shall pay any damages, costs, settlement amounts, and fees (including attorneys' fees) that may be incurred by COUNTY in connection with any such claims. This Ownership of Documents and Intellectual Property provision shall survive expiration or termination of this Agreement.

#### **12. NO PUBLICITY OR ENDORSEMENT**

CONTRACTOR shall not use COUNTY's name or logo or any variation of such name or logo in any publicity, advertising or promotional materials. CONTRACTOR shall not use COUNTY's name or logo in any manner that would give the appearance that the COUNTY is endorsing CONTRACTOR. CONTRACTOR shall not in any way contract on behalf of or in the name of COUNTY. CONTRACTOR shall not release any informational pamphlets, notices, press releases, research reports, or similar public notices concerning the COUNTY or its projects, without obtaining the prior written approval of COUNTY.

#### **13. COUNTY PROPERTY AND INFORMATION**

All of COUNTY's property, documents, and information provided for CONTRACTOR's use in connection with the services shall remain COUNTY's property, and CONTRACTOR shall return any such items whenever requested by COUNTY and whenever required according to the Termination section of this Agreement. CONTRACTOR may use such items only in connection with providing the services. CONTRACTOR shall not disseminate any COUNTY property, documents, or information without COUNTY's prior written consent.

#### **14. RECORDS, AUDIT, AND REVIEW**

CONTRACTOR shall keep such business records pursuant to this Agreement as would be kept by a reasonably prudent practitioner of CONTRACTOR's profession and shall maintain such records for at least four (4) years following the termination of this Agreement. All accounting records shall be kept in accordance with generally accepted accounting principles. COUNTY shall have the right to audit and review all such documents and records at

any time during CONTRACTOR's regular business hours or upon reasonable notice. In addition, if this Agreement exceeds ten thousand dollars (\$10,000.00), CONTRACTOR shall be subject to the examination and audit of the California State Auditor, at the request of the COUNTY or as part of any audit of the COUNTY, for a period of three (3) years after final payment under the Agreement (Cal. Govt. Code Section 8546.7). CONTRACTOR shall participate in any audits and reviews, whether by COUNTY or the State, at no charge to COUNTY.

If federal, state or COUNTY audit exceptions are made relating to this Agreement, CONTRACTOR shall reimburse all costs incurred by federal, state, and/or COUNTY governments associated with defending against the audit exceptions or performing any audits or follow-up audits, including but not limited to: audit fees, court costs, attorneys' fees based upon a reasonable hourly amount for attorneys in the community, travel costs, penalty assessments and all other costs of whatever nature. Immediately upon notification from COUNTY, CONTRACTOR shall reimburse the amount of the audit exceptions and any other related costs directly to COUNTY as specified by COUNTY in the notification.

#### **15. INDEMNIFICATION AND INSURANCE**

CONTRACTOR agrees to the indemnification and insurance provisions as set forth in EXHIBIT C attached hereto and incorporated herein by reference.

#### **16. NONDISCRIMINATION**

COUNTY hereby notifies CONTRACTOR that COUNTY's Unlawful Discrimination Ordinance (Article XIII of Chapter 2 of the Santa Barbara County Code) applies to this Agreement and is incorporated herein by this reference with the same force and effect as if the ordinance were specifically set out herein and CONTRACTOR agrees to comply with said ordinance.

#### **17. NONEXCLUSIVE AGREEMENT**

CONTRACTOR understands that this is not an exclusive Agreement and that COUNTY shall have the right to negotiate with and enter into contracts with others providing the same or similar services as those provided by CONTRACTOR as the COUNTY desires.

#### **18. NON-ASSIGNMENT**

CONTRACTOR shall not assign, transfer or subcontract this Agreement or any of its rights or obligations under this Agreement without the prior written consent of COUNTY and any attempt to so assign, subcontract or transfer without such consent shall be void and without legal effect and shall constitute grounds for termination.

#### **19. TERMINATION**

- A. **By COUNTY.** COUNTY may, by written notice to CONTRACTOR, terminate this Agreement in whole or in part at any time, whether for COUNTY's convenience, for nonappropriation of funds, or because of the failure of CONTRACTOR to fulfill the obligations herein.
1. **For Convenience.** COUNTY may terminate this Agreement in whole or in part upon thirty (30) days written notice. During the thirty (30) day period, CONTRACTOR shall, as directed by COUNTY, wind down and cease its services as quickly and efficiently as reasonably possible, without performing unnecessary services or activities and by minimizing negative effects on COUNTY from such winding down and cessation of services.
  2. **For Nonappropriation of Funds.** Notwithstanding any other provision of this Agreement, in the event that no funds or insufficient funds are appropriated or budgeted by federal, state or COUNTY governments, or funds are not otherwise available for payments in the fiscal year(s) covered by the

term of this Agreement, then COUNTY will notify CONTRACTOR of such occurrence and COUNTY may terminate or suspend this Agreement in whole or in part, with or without a prior notice period. Subsequent to termination of this Agreement under this provision, COUNTY shall have no obligation to make payments with regard to the remainder of the term.

3. **For Cause.** Should CONTRACTOR default in the performance of this Agreement or materially breach any of its provisions, COUNTY may, at COUNTY's sole option, terminate or suspend this Agreement in whole or in part by written notice. Upon receipt of notice, CONTRACTOR shall immediately discontinue all services affected (unless the notice directs otherwise) and notify COUNTY as to the status of its performance. The date of termination shall be the date the notice is received by CONTRACTOR, unless the notice directs otherwise.
- B. **By CONTRACTOR.** Should COUNTY fail to pay CONTRACTOR all or any part of the payment set forth in EXHIBIT B, CONTRACTOR may, at CONTRACTOR's option terminate this Agreement if such failure is not remedied by COUNTY within thirty (30) days of written notice to COUNTY of such late payment.
- C. Upon termination, CONTRACTOR shall deliver to COUNTY all data, estimates, graphs, summaries, reports, and all other property, records, documents or papers as may have been accumulated or produced by CONTRACTOR in performing this Agreement, whether completed or in process, except such items as COUNTY may, by written permission, permit CONTRACTOR to retain. Notwithstanding any other payment provision of this Agreement, COUNTY shall pay CONTRACTOR for satisfactory services performed to the date of termination to include a prorated amount of compensation due hereunder less payments, if any, previously made. In no event shall CONTRACTOR be paid an amount in excess of the full price under this Agreement nor for profit on unperformed portions of service. CONTRACTOR shall furnish to COUNTY such financial information as in the judgment of COUNTY is necessary to determine the reasonable value of the services rendered by CONTRACTOR. In the event of a dispute as to the reasonable value of the services rendered by CONTRACTOR, the decision of COUNTY shall be final. The foregoing is cumulative and shall not affect any right or remedy which COUNTY may have in law or equity.

## 20. **SECTION HEADINGS**

The headings of the several sections, and any Table of Contents appended hereto, shall be solely for convenience of reference and shall not affect the meaning, construction or effect hereof.

## 21. **SEVERABILITY**

If any one or more of the provisions contained herein shall for any reason be held to be invalid, illegal or unenforceable in any respect, then such provision or provisions shall be deemed severable from the remaining provisions hereof, and such invalidity, illegality or unenforceability shall not affect any other provision hereof, and this Agreement shall be construed as if such invalid, illegal or unenforceable provision had never been contained herein.

## 22. **REMEDIES NOT EXCLUSIVE**

No remedy herein conferred upon or reserved to COUNTY is intended to be exclusive of any other remedy or remedies, and each and every such remedy, to the extent permitted by law, shall be cumulative and in addition to any other remedy given hereunder or now or hereafter existing at law or in equity or otherwise.

## 23. **TIME IS OF THE ESSENCE**

Time is of the essence in this Agreement and each covenant and term is a condition herein.

**24. NO WAIVER OF DEFAULT**

No delay or omission of COUNTY to exercise any right or power arising upon the occurrence of any event of default shall impair any such right or power or shall be construed to be a waiver of any such default or an acquiescence therein; and every power and remedy given by this Agreement to COUNTY shall be exercised from time to time and as often as may be deemed expedient in the sole discretion of COUNTY.

**25. ENTIRE AGREEMENT AND AMENDMENT**

In conjunction with the matters considered herein, this Agreement contains the entire understanding and agreement of the parties and there have been no promises, representations, agreements, warranties or undertakings by any of the parties, either oral or written, of any character or nature hereafter binding except as set forth herein. This Agreement may be altered, amended or modified only by an instrument in writing, executed by the parties to this Agreement and by no other means. Each party waives their future right to claim, contest or assert that this Agreement was modified, canceled, superseded, or changed by any oral agreements, course of conduct, waiver or estoppel.

**26. SUCCESSORS AND ASSIGNS**

All representations, covenants and warranties set forth in this Agreement, by or on behalf of, or for the benefit of any or all of the parties hereto, shall be binding upon and inure to the benefit of such party, its successors and assigns.

**27. COMPLIANCE WITH LAW**

CONTRACTOR shall, at its sole cost and expense, comply with all County, State and Federal ordinances and statutes now in force or which may hereafter be in force with regard to this Agreement. The judgment of any court of competent jurisdiction, or the admission of CONTRACTOR in any action or proceeding against CONTRACTOR, whether COUNTY is a party thereto or not, that CONTRACTOR has violated any such ordinance or statute, shall be conclusive of that fact as between CONTRACTOR and COUNTY.

**28. CALIFORNIA LAW AND JURISDICTION**

This Agreement shall be governed by the laws of the State of California. Any litigation regarding this Agreement or its contents shall be filed in the County of Santa Barbara, if in state court, or in the federal district court nearest to Santa Barbara County, if in federal court.

**29. EXECUTION OF COUNTERPARTS**

This Agreement may be executed in any number of counterparts and each of such counterparts shall for all purposes be deemed to be an original; and all such counterparts, or as many of them as the parties shall preserve undestroyed, shall together constitute one and the same instrument.

**30. AUTHORITY**

All signatories and parties to this Agreement warrant and represent that they have the power and authority to enter into this Agreement in the names, titles and capacities herein stated and on behalf of any entities, persons, or firms represented or purported to be represented by such entity(ies), person(s), or firm(s) and that all formal requirements necessary or required by any state and/or federal law in order to enter into this Agreement have been fully complied with. Furthermore, by entering into this Agreement, CONTRACTOR hereby warrants that it shall not have breached the terms or conditions of any other contract or agreement to which CONTRACTOR is obligated, which breach would have a material effect hereon.

31. **SURVIVAL**

All provisions of this Agreement which by their nature are intended to survive the termination or expiration of this Agreement shall survive such termination or expiration.

32. **PRECEDENCE**

In the event of conflict between the provisions contained in the numbered sections of this Agreement and the provisions contained in the Exhibits, the provisions of the Exhibits shall prevail over those in the numbered sections.

33. **REGISTRATION**

COUNTY hereby notifies CONTRACTOR that no contractor or subcontractor may be listed on a bid proposal for a public works project unless registered with the Department of Industrial Relations pursuant to Labor Code § 1725.5 [with limited exceptions from this requirement for bid purposes only under Labor Code § 1771.1(a)]; no contractor or subcontractor may be awarded a contract for public work on a public works unless registered with the Department of Industrial Relations pursuant to Labor Code § 1725.5; and this project is subject to compliance monitoring and enforcement by the Department of Industrial Relations.



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Agreement for Services of Independent Contractor between the Santa Barbara County Flood Control & Water Conservation District and Filippin Engineering.

IN WITNESS WHEREOF, the parties have executed this Agreement to be effective on the date executed by COUNTY.

**ATTEST:**

Mona Miyasato  
County Executive Officer  
Ex Officio Clerk of Board of Directors  
of the Santa Barbara County Flood  
Control and Water Conservation District

**SANTA BARBARA COUNTY FLOOD  
CONTROL & WATER CONSERVATION  
DISTRICT:**

By: \_\_\_\_\_  
Deputy Clerk

By: \_\_\_\_\_  
Joan Hartmann, Chair, Board of  
Directors

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

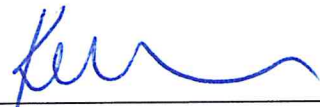
**RECOMMENDED FOR APPROVAL:**

Santa Barbara County Flood Control  
& Water Conservation District

**CONTRACTOR:**

Filippin Engineering

By:   
Scott D. McGolpin  
Public Works Director

By:   
Authorized Representative

Name: Kelly Wheeler  
Title: Vice President


**APPROVED AS TO FORM:**

Michael C. Ghizzoni  
County Counsel

**APPROVED AS TO ACCOUNTING FORM:**

Theodore A. Fallati, CPA  
Auditor-Controller

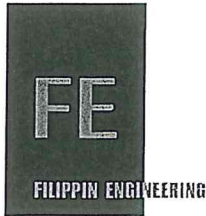
By:   
Deputy County Counsel

By:   
Deputy

**APPROVED AS TO FORM:**

Ray Aromatorio, ARM, AIC  
Risk Manager

By:   
Risk Management



## EXHIBIT A

### STATEMENT OF WORK

March 20, 2017

Santa Barbara County Flood Control & Water Conservation District  
130 E. Victoria Street #200  
Santa Barbara, CA 93101  
Attn: Ms. Karen Sullivan

**SUBJECT: PROPOSAL FOR CONSTRUCTION MANAGEMENT AND INSPECTION SERVICES FOR AIRPORT DITCH PROJECT**

Dear Ms. Sullivan:

Thank you for the opportunity to submit our proposal to perform construction management and inspection for the Airport Ditch Project for the Santa Barbara County Flood Control and Water Conservation District (Flood Control). Filippin Engineering (FE) proposes a team that has performed these services on similar projects, including multiple projects with Santa Barbara County Flood Control and Water Conservation District (Flood Control).

#### UNDERSTANDING OF THE PROJECT

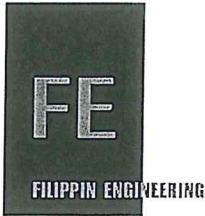
FE's understanding of the project is based upon our initial look at the 30% project plans and subsequent emails with you. Our staffing, approach, and proposed services are based on our understanding of these documents and conversations. It is our understanding the project includes installation of approximately 2,270 linear feet of 60" polypropylene storm drain, filling in an existing ditch, and grading approximately 2,270 of a new channel. The project is located in the Orcutt, near the Santa Maria Airport, along Skyway Drive. We anticipate the time frame for this project will be starting construction in early August, and bidding in mid-April.

#### PROJECT STAFFING

The following are short biographies on our proposed staff:

**Kelly Wheeler, P.E., Principal Construction Manager:** Ms. Wheeler is a registered civil engineer with over 17 years of design and construction experience. She has been the Resident Engineer on a number of Flood Control projects including Lower Mission Creek Reaches 1A-1, 1A-2, 2A, and 2B-1, San Pedro Transition Structure, Montecito Creek Fish Passage, and North Avenue Storm Drain - West Phase Projects. Because of her familiarity with County staff and procedures, she will be responsible for the project management, construction management, and construction administration tasks for this assignment. She will also be available to the rest of the FE Team and County Project Manager for any on-call tasks required.

Because of the number of Flood Control projects this year and uncertainty of timing, I have provided short biographies of multiple inspectors that could be working on the project, all located in the



geographical area. **Please note that on this particular project, FE is currently scheduling Raul Estrada for this assignment**, as it should end approximately when Lower Mission Creek, Reach 2A is completed, he has prior experience on Flood Control projects, and resides in the Orcutt area. We will work closely with Flood Control staff to select appropriate staffing as project schedules finalize, and are confident that all of our staff has the experience, knowledge, and skill set to perform well. We pride ourselves in working with clients to select the best fit on each assignment, and this is no exception.

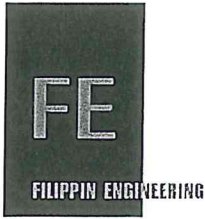
**Raul Estrada, Senior Construction Inspector:** Raul has extensive experience working as a construction management consultant for various Public Works projects. Most recently, he is performing the construction inspection on the Lower Mission Creek, Reach 2A project. He has also assisted Flood Control with inspection of the Las Vegas San Pedro Improvement Project, and worked on office engineering for Ms. Wheeler's current Flood Control projects, including Lower Mission Creek Reach 1A-2 (under the Mason Street Bridge Project). Prior to those recent assignments, he completed inspection on the Mud Lakes Siphon project, an HDD HDPE double-barrel siphon in Santa Maria, and a 2-year highway improvement project for Caltrans District 5 OSC that involved the construction of seven new bridge structures, one bridge widening, MSE wall, retaining walls, and tie-back wall.

**Marco Pecile, Senior Construction Inspector:** Mr. Pecile has been with Filippin Engineering for 7 years, and in the construction industry for over 16 years, including staffing a number of Flood Control Projects. Recently, he served as construction inspector on the Mason Street Bridge and Lower Mission Creek, Reach 1A-2 project, and has completed the Lower Mission Creek Reach 1A-1, Montecito Creek Fish Passage, and North Avenue Storm Drain projects with Ms. Wheeler and Flood Control Staff. Previously Mr. Pecile was employed with Kenney Construction, serving as the operations manager, project manager and estimator during his tenure, and Granite Construction as a project engineer/estimator.

**Dean Johe, CPESC, QSD, QSP, Senior Construction Inspector:** Mr. Johe is a lifelong resident of California's Central Coast, and is a seasoned professional with over 30 years of construction industry experience. He has held field supervision positions with several of the nation's largest General Contractors, as well as a General Superintendent position at Diablo Canyon Power Plant, and was Inspection Supervisor for the City of Camarillo's Public Works Department where he was responsible for project coordination, quality control, and supervision of construction activities on numerous Public Works projects. With Filippin Engineering, Dean has performed inspection on a wide variety of projects, including numerous bridge and channel improvement projects. Dean performed inspection work on the San Pedro Transition Structure project,

**Wes Nanasy, Senior Construction Inspector:** Mr. Nanasy joined Filippin Engineering after working for Cal Portland Construction and MGE Underground. His focus has been management of municipal infrastructure projects from start to finish for agencies such as Caltrans, County of Santa Barbara, County of San Luis Obispo, City of Solvang, City of Pismo Beach, City of Grover Beach, City of Arroyo Grande, and City of Lompoc. Mr. Nanasy is currently working directly for the City of Arroyo Grande performing in-house inspection.

Resumes for our staff are available upon request.



## PROJECT APPROACH

Currently, the plans are at roughly an 30% level. It is assumed, for purposes of this proposal, that due to the Flood Control schedule, FE will not be performing any constructability review or bid phase assistance tasks. Should Flood Control wish FE to participate in coordinating assembly of this package, Ms. Wheeler can assist on an as-needed, time & materials basis, or Flood Control can provide additional scope of work items for pricing.

For the purposes of this proposal, the following project phases have been identified with the associated items of work that our project team plans on performing.

### Pre-Construction Services:

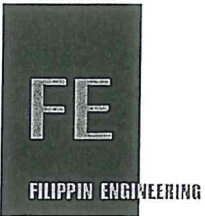
Prior to the start of construction, the FE team will perform the following:

- **Submittal Review** – Receive, review and/or distribute Contractor submittals prior to the project for materials submittals, shop drawings, schedules, environmental permit compliance, and any other required documentation necessary prior to project kick-off.
- **Pre-Construction Conference** – Chair the Pre-construction Conference and prepare and distribute meeting minutes.
- **Document Control** – Establish document control procedures and Construction Management procedures to ensure organized, complete, and effective construction management and documentation at the onset and throughout the project duration.

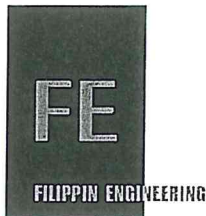
### Construction Phase Services:

Based on the size and scale of this project, we anticipate that we can provide a full-time construction inspector (8 hours/day) and a part-time construction manager on the project (16 hours/week). It has been our experience that it is prudent to start with this level of effort and back off once the Contractor demonstrates that the project is running smoothly. We believe that the necessary coordination, site observation, construction documentation, and other tasks necessary to administer a successful construction project can be accomplished within this amount of time. Additionally, since the Unit II project has the possibility of overlap in September and October, we may be able to provide some economy of scale by having our inspectors perform office engineering tasks and reduce the number of Resident Engineer hours on the project. However, we based our cost estimate in this proposal on the stand-alone level of effort, as our approach will be largely dependent upon the Contractor chosen to perform the work, and FE will closely coordinate with the County throughout the project to continually evaluate the level of effort required for a successfully administered project.

During the construction phase of the project, our team will perform construction management and observation including the following services, in addition to those requested by Flood Control staff during the course of construction. The list of services below is provided as typical services we provide during construction of similar projects that we expect will be necessary:

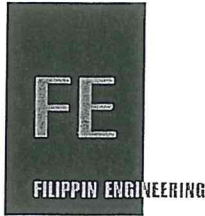


- **On-Site Management & Construction Phase Communication** - Establish and implement coordination and communication procedures among Flood Control, other County departments, permitting agencies, property owners, Filippin Engineering, and Contractors.
- **Construction Administration Procedures** – On all projects administered by Filippin Engineering, we use the Caltrans Local Assistance Procedures Manual as a basis for construction document control, modifying as necessary for any agency or funding-specific requirements. We will utilize the Construction Management procedures for reviewing and processing request for clarifications and interpretations of the Contract Documents; shop drawings, samples and other submittals; contract schedule adjustments; change order proposals; written proposals for substitutions; payment applications; and the maintenance of logs. As Flood Control’s representative at the construction site Filippin Engineering shall be the party to whom all such information shall be submitted.
- **Review of Requests for Information, Shop Drawings, & Other Submittals** - Review the Contractors' requests for information, shop drawings, samples and other submittals to determine the anticipated effect on compliance with the Project requirements, the Project and Construction Budget, and the Baseline Schedule. Forward to the County as appropriate for review of the request for clarification or interpretation, shop drawing, sample, or other submittals, along with Filippin Engineering’s comments. Filippin Engineering comments shall not relate to design considerations, but rather to matters of constructability, cost, sequencing, scheduling, and time of construction. Return all information received from the County in a timely manner to the Contractor.
- **Change Order Management** - The FE Team approach in managing change orders involves the Construction Manager/Inspector constantly communicating with the Contractor to ensure that project issues are surfaced and addressed in a timely manner. If an issue does arise where the Contractor feels it is out of the contract requirements, the Construction Manager/Inspector will assess the concern promptly and coordinate with the Contractor and County Project Manager to evaluate the Notice of Potential Claim (NOPC). The FE Construction Manager will assist the County Project Manager through the formal processing of any NOPCs on the project. The FE Team approach is to continually work to resolve any project claims prior to completion of the contract in an effort to avoid arbitration or litigation at the end of the project.
- **Claims Assistance** - The FE Team will strive to resolve all NOPCs in a timely manner and avoid the claims resolution process. However, in the event that the FE Team and the Contractor cannot agree to resolve a potential claim, the FE Team will assist the County in resolving that claim. This task will include researching the project records to obtain any pertinent information and analyzing and summarizing the facts in a claim summary report that includes a recommended course of action for the County. If, after review of the claim summary report, the County and the Contractor still cannot come to a settlement, the FE Team will assist the County in developing a strategy that could involve resolving the claim by way of negotiation, a dispute resolution board, arbitration, or litigation on a time and materials basis.
- **Jobsite Progress Meetings** – Conduct weekly progress meetings to review progress and quality, notify the attendees of any contractor deficiencies, determine availability of labor, material, and equipment for upcoming work, coordinate utility outages and site disruptions, and address coordination matters. Additional special meetings may be required to address special issues



and conditions and to address special coordination conditions. FE will chair these meetings, conduct each meeting according to published agenda, and have minutes prepared and promptly distributed. Minutes will detail action items, the discussions that ensued, and announce the time and date of the next meeting.

- **Contractor's Construction Schedule** - Filippin Engineering shall review each Contractor's Construction Schedule and shall verify that the schedule is prepared in accordance with the requirements of the Contract Documents and that it establishes completion dates that comply with the requirements of the approved Baseline Schedule. In addition, we will track conformance with the project schedule, requiring submission of a make-up schedule if necessary to keep the project on track for completion within the time deadlines.
- **Progress Payments** - Filippin Engineering shall review the payment applications submitted by each Contractor and determine whether the amount requested reflects the progress of the Contractor's work. Filippin Engineering shall make appropriate adjustments to each payment application and shall prepare and forward to Flood Control a Progress Payment Report. The Report shall state the total contract price, payments to date, current payment requested, retainage and actual amounts owed for the current period.
- **Photographs** - Provide photographic documentation of project site prior to, during, and after construction.
- **Laboratory Testing Services** – Provide, schedule and manage all laboratory testing services with the materials testing laboratory. We have partnered with Fugro, Inc. to provide the materials testing for this project, and have estimated the scope of services based upon the 30% plans. We will also work with Fugro to reduce the testing to a minimum after the Contractor has established their means and methods of compaction for the grading and trenching operations and is getting consistently passing results. Fugro's proposal is attached for reference on their intended scope of work and associated cost.
- **Reports** - Prepare weekly statements of working days and daily observation reports. Prepare any other reports related to field services requested by County staff.
- **Field Observation** - Provide full-time detailed field observation services to verify compliance and conformance with the contract documents. Daily construction reports will be completed.
- **Traffic Control and Public Safety** – Coordinate with County of Santa Barbara for review of traffic control and public safety plans. Monitor throughout construction for compliance with the approved plans and safety laws and regulations. Review all detour, lane closures, temporary access, signing, delineation and traffic control. Report deficiencies to Contractor.
- **Public Relations** – Perform public relations and outreach as necessary to the surrounding community. We are sensitive to the need to be good neighbors, being proactive, responsive, and informative.
- **Coordination** – Perform coordination between the Flood Control, permitting agencies, property owners, materials testing laboratory, project environmental coordinator, and other stakeholders or agencies as necessary throughout the project.
- **Labor Compliance** – Perform labor compliance checks as recommended by the Caltrans Construction Manual and the Caltrans Local Assistance Procedures Manual, including labor compliance interviews for the prime contractor and subcontractors, review of certified payrolls,



and notifications of any observed labor non-compliances so that sanctions can be imposed per County (and/or Caltrans, per standard specifications as applicable) policy.

#### Close-out Services:

We anticipate the need for the following services during the construction close-out phase:

- **Reports** - Prepare reports that may be required during the final acceptance and project closeout.
- **Final Inspection and Punch list** - Provide final inspection and prepare list of project construction deficiencies for resolution by Contractor.
- **Construction Approval/Acceptance** - Make recommendations to Flood Control regarding final project approval and acceptance.
- **Final Payment** - Make recommendations regarding Contractor's final progress payment request. Prepare final progress payment report for submission to the Flood Control.
- **Project Closeout** - Prepare documentation needed for project closeout. Deliver all project documentation to Flood Control.
- **Final Report** – Provide the County with a project final report that summarizes key information on the project.

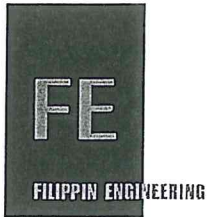
#### **PROPOSED FEE AND METHOD OF PAYMENT**

We have estimated the cost of our services based on our understanding at this time of the scope and complexity of the work. However, because our services will be performed on a time and materials basis, it is possible that our actual charges could exceed the amount we have estimated. Likewise, if actual construction time is less, our costs will also be less. During the performance of our services, the need for additional or expanded services will be monitored and communicated to the County by the Project Manager.

We have estimated our Construction Phase services based on the following:

- Based conversations with Flood Control staff, we estimate that the project will be completed in 60 working days, or 12 weeks.
- One full time inspector for the duration of the project. FE complies with all prevailing wage requirements for this assignment for inspector time.
- One part time construction manager for the project. It is estimated that with full time inspection help, the construction manager can accomplish the necessary tasks on the project in 16 hours per week, or the equivalent of 2 days/week.
- We have not budgeted additional fees for working extended hours, holidays, or weekends. Should extended hours be required, overtime rates (1.3 times the normal billing rate) will apply.

Our proposed services will be performed on a time and materials basis and will be billed monthly at the rates shown in the table below. Charges for "time" include professional, technical and clerical support services provided by Filippin Engineering. "Materials" include all reimbursable expenses, such as photocopies, FAX transmissions, postage, shipping/delivery, mileage, plots, prints, maps/documents and outside consultant fees.



Based on our understanding of your requirements and our experience with similar projects, we estimate that the fee required for our services will be approximately **\$144,690**. The following tables illustrates the breakdown of our fee per task and phase.

Task	Principal Construction Manager, \$183	Senior Construction Inspector, \$133	Estimated Fee
Pre-Construction Phase	40	20	\$9,980
Construction Phase	192	480	\$98,976
Post-Construction Phase	20	10	\$4,990
Materials Testing Services	(Consultant Cost +5%)		\$30,744
<b>TOTAL</b>	<b>252</b>	<b>510</b>	<b>\$144,690</b>

We look forward to working with you on this project. If you have any questions or would like to discuss our qualifications further, please don't hesitate to call me at (805) 448-5619. If this proposal is acceptable, please send the County's agreement to 354-D S. Fairview Ave., Goleta, CA 93117.

Thank you,

Kelly R. Wheeler, P.E.  
Vice President  
RCE 64522

Attachments





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## **Fugro USA Land, Inc.**

4820 McGrath Street, Suite 100  
Ventura, California 93003  
Tel: 1 805 650 7000  
Fax: 1 805 650 7010  
www.fugro.com

March 20, 2017

Project No.: 04.62179048

Filippin Engineering, Inc.  
345-D South Fairview Avenue  
Goleta, CA 93117

Attention: Kelly Wheeler, Principal Engineer

Subject: Proposal for Construction Materials Testing Services, Santa Maria Airport Ditch Improvements Project, Santa Barbara County, California

Dear Ms. Wheeler:

Fugro is pleased to present this proposal for construction materials testing services to Filippin Engineering for the Santa Maria Airport Ditch Improvements Project, Santa Barbara County, California. On the basis of your March 14, 2017 email, we propose the following tasks.

### **SCOPE OF SERVICES**

**Task 1 – Construction Materials Testing.** We will provide periodic construction materials testing services as requested and directed by Filippin Engineering staff.

- In-place density testing of pipeline trench backfill and Channel Improvement backfill;
- Portland Cement Concrete (PCC) Sampling; and
- Other tests as requested by Filippin Engineering personnel.

**Task 2 – Project Coordination and Reporting.** We propose to prepare a report summarizing the results of our in-place density field and laboratory testing. We will provide daily field reports and a final report of construction activities.

### **ESTIMATED FEE AND SCHEDULE**

We will provide our services on a time and materials basis in accordance with our current Fee Schedule. Since Fugro does not have control over the contractor's schedule, cost estimates given prior to the beginning of construction are made in good faith based on our experience with similar projects. Fugro acknowledges that this project is subject to prevailing wage rates and will comply with all prevailing wage requirements.

Our estimates may not coincide with the actual construction duration or contractor's productivity, nor reflect the final scope of our involvement. The Filippin Engineering staff will have control over the frequency of our site visits and testing, and ultimately the fee for our services. We estimate that we are able to perform these services for an estimated fee of \$29,280. Our fee is summarized below by task:

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**Task 1 – Construction Materials Testing**

In-Place Density Testing – Storm Drain Backfill and Structure Backfill	
12 site visits @ 8 hrs/visit @ \$105/hr	\$ 10,080
Open Channel	
15 site visits @ 8 hrs/visit @ \$105/hr	\$ 12,600
Portland Cement Concrete (PCC) Sampling	
3 site visits @ 6 hrs/visit @ \$105/hr	\$ 1,890
Laboratory Testing	
Modified Proctor – 4 @ \$275/each	\$ 1,100
Concrete Cylinders – 12 @ \$30/each	\$ 360
Equipment, Vehicles and Material (estimated)	\$ 1,000

**Task 2 – Project Coordination and Reporting**

Construction Services Manager – 10 hrs @ \$150/hr	\$ 1,500
Final Report (estimated)	\$ 750

Estimated time includes travel

**Total Estimated Fee for Services Described Above \$ 29,280**

**SITE SAFETY**

The safety of the contractor's workmen and the project is solely the contractor's responsibility. Our density testing, special inspection and observation services constitute a professional engineering activity and are not to be construed as supervision or direction of the contractor's work or workmen. Our activities will be conducted in a manner that clearly indicates that we are not directing or supervising construction operations or personnel, and thus we are not responsible for job site or safety.

**CLOSURE**

We appreciate the opportunity to submit this proposal and look forward to working with Filippin Engineering on this project. If you have any questions or require additional information, please contact the undersigned. We would be pleased to meet with you to discuss and review the proposed scope of services and associated level of effort.

Sincerely,

FUGRO USA LAND, INC.

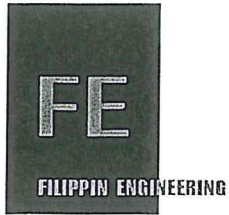
Ed Sullivan  
Construction Services Manager

## EXHIBIT B

### PAYMENT ARRANGEMENTS

#### Periodic Compensation (with attached Schedule of Fees)

- A. For CONTRACTOR services to be rendered under this Agreement, CONTRACTOR shall be paid a total contract amount, including cost reimbursements, not to exceed **\$144,690**.
- B. Extra Work required to complete the project may be authorized only if CONTRACTOR receives written approval by the COUNTY's designated representative as identified in Paragraph 1 of the Agreement at the same rate per unit as defined in **Attachment B1**. The total amount of this contingency fund is 10% of the agreement amount or **\$14,469**.
- C. Payment for services and /or reimbursement of costs shall be made upon CONTRACTOR's satisfactory performance, based upon the scope and methodology contained in **EXHIBIT A** as determined by COUNTY. Payment for services and/or reimbursement of costs shall be based upon the costs, expenses, overhead charges and hourly rates for personnel, as defined in **Attachment B1** (Schedule of Fees). Invoices submitted for payment that are based upon **Attachment B1** must contain sufficient detail to enable an audit of the charges and provide supporting documentation if so specified in **EXHIBIT A**.
- D. **Monthly**, CONTRACTOR shall submit to the COUNTY DESIGNATED REPRESENTATIVE an invoice or certified claim on the County Treasury for the service performed over the period specified. These invoices or certified claims must cite the assigned Board Contract Number. COUNTY DESIGNATED REPRESENTATIVE shall evaluate the quality of the service performed and if found to be satisfactory and within the cost basis of **Attachment B1** shall initiate payment processing. COUNTY shall pay invoices or claims for satisfactory work within 30 days of receipt of correct and complete invoices or claims from CONTRACTOR.
- E. COUNTY's failure to discover or object to any unsatisfactory work or billings prior to payment will not constitute a waiver of COUNTY's right to require CONTRACTOR to correct such work or billings or seek any other legal remedy.
- F. CONTRACTOR shall comply with the California Labor Code, including but not limited to the payment of prevailing wage when required. The general prevailing wage rates determined by the Director of Industrial Relations, for the county or counties in which the work is to be done, are on file at the office of the Santa Barbara County Flood Control & Water Conservation District, 130 E. Victoria Street, Suite 200, Santa Barbara, CA 93101. Copies of these general prevailing wage rates shall be made available to any interested party on request. Changes, if any to the general prevailing wage rates will be available at the same location. The prevailing wage rates are also available from the California Department of Industrial Relations' Internet web site at <http://www.dir.ca.gov/dlsr/pwd>.



## ATTACHMENT B1

### EXHIBIT A FILIPPIN ENGINEERING, INC. BILLING RATES EFFECTIVE JANUARY 1, 2017

#### Engineering

Engineering Technician	\$ 93.00
Senior Engineering Technician	\$ 103.00
Junior Engineer	\$ 133.00
Assistant Engineer	\$ 143.00
Associate Engineer	\$ 163.00
Senior Engineer	\$ 173.00
Principal Engineer	\$ 193.00

#### General

Technical/Clerical Support	\$ 88.00
Office Engineer	\$ 98.00
Senior Program Manager	\$ 188.00

#### Construction Management

Assistant Construction Manager	\$ 143.00
Associate Construction Manager	\$ 163.00
Senior Construction Manager	\$ 173.00
Principal Construction Manager	\$ 183.00
Senior Construction Inspector (PW)	\$ 133.00
Chief Inspector/Owner's Rep (PW)	\$ 144.00
(PW) Prevailing Wage	

Sub-Consultant	Cost + 5%
Reimbursable Expenses	Cost + 5%
Outside Consultant	Cost + 10%

Note 1: Reimbursable expenses include postage, shipping, outside plot and copy reproduction costs.

Note 2: Overtime rates for construction inspection = 1.3 X regular rate. Overtime will not be performed unless authorized in writing by the client. Overtime work is not included in the cost of this proposal.

## EXHIBIT C

### Indemnification and Insurance Requirements (For Professional Contracts)

#### INDEMNIFICATION

CONTRACTOR agrees to indemnify, defend (with counsel reasonably approved by COUNTY) and hold harmless COUNTY and its officers, officials, employees, agents and volunteers from and against any and all claims, actions, losses, damages, judgments and/or liabilities arising out of this Agreement from any cause whatsoever, including the acts, errors or omissions of any person or entity and for any costs or expenses (including but not limited to reasonable attorneys' fees) incurred by COUNTY on account of any claim except where such indemnification is prohibited by law. CONTRACTOR's indemnification obligation applies to COUNTY's active as well as passive negligence but does not apply to COUNTY's sole negligence or willful misconduct.

#### NOTIFICATION OF ACCIDENTS AND SURVIVAL OF INDEMNIFICATION PROVISIONS

CONTRACTOR shall notify COUNTY immediately in the event of any accident or injury arising out of or in connection with this Agreement. The indemnification provisions in this Agreement shall survive any expiration or termination of this Agreement.

#### INSURANCE

CONTRACTOR shall procure and maintain for the duration of this Agreement insurance against claims for injuries to persons or damages to property which may arise from or in connection with the performance of the work hereunder and the results of that work by the CONTRACTOR, his agents, representatives, employees or subcontractors.

##### A. Minimum Scope of Insurance

Coverage shall be at least as broad as:

1. **Commercial General Liability (CGL):** Insurance Services Office (ISO) Form CG 00 01 covering CGL on an "occurrence" basis, including products-completed operations, personal & advertising injury, with limits no less than \$1,000,000 per occurrence and \$2,000,000 in the aggregate.
2. **Automobile Liability:** ISO Form Number CA 00 01 covering any auto (Code 1), or if CONTRACTOR has no owned autos, hired, (Code 8) and non-owned autos (Code 9), with limit no less than \$1,000,000 per accident for bodily injury and property damage.
3. **Workers' Compensation:** as required by the State of California, with Statutory Limits, and Employer's Liability Insurance with limit of no less than \$1,000,000 per accident for bodily injury or disease.
4. **Professional Liability (Errors and Omissions) Insurance** appropriate to the CONTRACTOR'S profession, with limit of no less than \$1,000,000 per occurrence or claim, \$2,000,000 aggregate.

If the CONTRACTOR maintains higher limits than the minimums shown above, the COUNTY requires and shall be entitled to coverage for the higher limits maintained by the CONTRACTOR. Any available insurance proceeds in excess of the specified minimum limits of insurance and coverage shall be available to the COUNTY.

B. Other Insurance Provisions

The insurance policies are to contain, or be endorsed to contain, the following provisions:

1. **Additional Insured** – COUNTY, its officers, officials, employees, agents and volunteers are to be covered as additional insureds on the CGL policy with respect to liability arising out of work or operations performed by or on behalf of the CONTRACTOR including materials, parts, or equipment furnished in connection with such work or operations. General liability coverage can be provided in the form of an endorsement to the CONTRACTOR's insurance at least as broad as ISO Form CG 20 10 11 85 or if not available, through the addition of both CG 20 10 and CG 20 37 if a later edition is used).
2. **Primary Coverage** – For any claims related to this Agreement, the CONTRACTOR's insurance coverage except Professional Liability and Workers' Compensation Insurance shall be primary insurance as respects the COUNTY, its officers, officials, employees, agents and volunteers. Any insurance or self-insurance maintained by the COUNTY, its officers, officials, employees, agents or volunteers shall be excess of the CONTRACTOR's insurance and shall not contribute with it.
3. **Notice of Cancellation** – Each insurance policy required above shall provide that coverage shall not be canceled, except with notice to the COUNTY.
4. **Waiver of Subrogation Rights** – CONTRACTOR hereby grants to COUNTY a waiver of any right to subrogation which any insurer of said CONTRACTOR may acquire against the COUNTY by virtue of the payment of any loss under such insurance. CONTRACTOR agrees to obtain any endorsement that may be necessary to effect this waiver of subrogation, but this provision applies regardless of whether or not the COUNTY has received a waiver of subrogation endorsement from the insurer.
5. **Deductibles and Self-Insured Retention** – Any deductibles or self-insured retentions must be declared to and approved by the COUNTY. The COUNTY may require the CONTRACTOR to purchase coverage with a lower deductible or retention or provide proof of ability to pay losses and related investigations, claim administration, and defense expenses within the retention.
6. **Acceptability of Insurers** – Unless otherwise approved by Risk Management, insurance shall be written by insurers authorized to do business in the State of California and with a minimum A.M. Best's Insurance Guide rating of "A- VII".
7. **Verification of Coverage** – CONTRACTOR shall furnish the COUNTY with proof of insurance, original certificates and amendatory endorsements as required by this Agreement. The proof of insurance, certificates and endorsements are to be received and approved by the COUNTY before work commences. However, failure to obtain the required documents prior to the work beginning shall not waive the CONTRACTOR's obligation to provide them. The CONTRACTOR shall furnish evidence of renewal of coverage throughout the term of the Agreement. The COUNTY reserves the right to require complete, certified copies of all required insurance policies, including endorsements required by these specifications, at any time.
8. **Failure to Procure Coverage** – In the event that any policy of insurance required under this Agreement does not comply with the requirements, is not procured, or is canceled and not replaced, COUNTY has the right but not the obligation or duty to terminate the Agreement. Maintenance of required insurance coverage is a material element of the Agreement and failure to maintain or renew such coverage or to provide evidence of renewal may be treated by COUNTY as a material breach of contract.
9. **Subcontractors** – CONTRACTOR shall require and verify that all subcontractors maintain insurance meeting all the requirements stated herein, and CONTRACTOR shall ensure that COUNTY is an additional insured on insurance required from subcontractors.

10. **Claims Made Policies** – If any of the required policies provide coverage on a claims-made basis:

- i. The Retroactive Date must be shown and must be before the date of the contract or the beginning of contract work.
- ii. Insurance must be maintained and evidence of insurance must be provided for at least five (5) years after completion of the contract of work.
- iii. If coverage is canceled or non-renewed, and not replaced with another claims-made policy form with a Retroactive Date prior to the contract effective date, the CONTRACTOR must purchase “extended reporting” coverage for a minimum of five (5) years after completion of contract work.

11. **Special Risks or Circumstances** – COUNTY reserves the right to modify these requirements, including limits, based on the nature of the risk, prior experience, insurer, coverage, or other special circumstances.

Any change requiring additional types of insurance coverage or higher coverage limits must be made by amendment to this Agreement. CONTRACTOR agrees to execute any such amendment within thirty (30) days of receipt.

Any failure, actual or alleged, on the part of COUNTY to monitor or enforce compliance with any of the insurance and indemnification requirements will not be deemed as a waiver of any rights on the part of COUNTY.