

AGREEMENT FOR SERVICES OF INDEPENDENT CONTRACTOR

THIS AGREEMENT (hereafter Agreement) is made by and between the Santa Barbara County Flood Control and Water Conservation District, a political subdivision of the State of California (hereafter COUNTY) and **Filippin Engineering** with an address at 354-D South Fairview, 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, STE 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 February 25, 2020 and end performance upon completion, but no later than June 30, 2021 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

- A. 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.
- B. This certification is a material representation of fact relied upon by COUNTY. If it is later determined that CONTRACTOR did not comply with 2 C.F.R. pt. 180, subpart C and 2 C.F.R. pt. 3000, subpart C, in addition to remedies available to the California Governor's Office of Emergency Services and COUNTY, the Federal Government may pursue available remedies, including but not limited to suspension and/or debarment.
- C. This Agreement is a covered transaction for purposes of 2 C.F.R. pt. 180 and 2 C.F.R. pt. 3000. As such CONTRACTOR is required to verify that none of the contractor, its principals (defined at 2 C.F.R. § 180.995), or its affiliates (defined at 2 C.F.R. § 180.905) are excluded (defined at 2 C.F.R. § 180.940) or disqualified (defined at 2 C.F.R. § 180.935).

- D. CONTRACTOR must comply with 2 C.F.R. pt. 180, subpart C and 2 C.F.R. pt. 3000, subpart C and must include a requirement to comply with these regulations in any lower tier covered transaction it enters into.
- E. The bidder or proposer agrees to comply with the requirements of 2 C.F.R. pt. 180, subpart C and 2 C.F.R. pt. 3000, subpart C while this offer is valid and throughout the period of any contract that may arise from this offer. The bidder or proposer further agrees to include a provision requiring such compliance in its lower tier covered transactions.

9. MANDATORY DISCLOSURE

CONTRACTOR must disclose, in a timely manner, in writing to the COUNTY all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the award. CONTRACTOR is required to report certain civil, criminal, or administrative proceedings to the System for Award Management (SAM) located at www.sam.gov. Failure to make required disclosures can result in any of the remedies described in 2 CFR §200.338 Remedies for noncompliance, including suspension or debarment. (See also 2 CFR part 180 and 31 U.S.C. 3321.)

10. 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.

11. 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. CONTRACTOR must promptly disclose to COUNTY, in writing, any potential conflict of interest. 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.

12. 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.

13. 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.

14. USE OF U.S. DEPARTMENT OF HOMELAND SECURITY (DHS) LOGO

CONTRACTOR shall not use the DHS seal(s), logos, crests, or reproductions of flags or likenesses of DHS agency officials without specific FEMA pre- approval

15. 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.

16. 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.

17. ACCESS TO RECORDS

The following access to records requirements apply to this Agreement:

- A. CONTRACTOR agrees to provide COUNTY, the California Governor's Office of Emergency Services, the FEMA Administrator, the Comptroller General of the United States, or any of their authorized representatives access to any books, documents, papers, and records of the CONTRACTOR which are directly pertinent to this Agreement for the purposes of making audits, examinations, excerpts, and transcriptions.
- B. CONTRACTOR agrees to permit any of the foregoing parties to reproduce by any means whatsoever or to copy excerpts and transcriptions as reasonably needed.
- C. CONTRACTOR agrees to provide the FEMA Administrator or his authorized representatives access to construction or other work sites pertaining to the work being completed under the Agreement.

18. INDEMNIFICATION AND INSURANCE

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

19. 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.

20. EQUAL EMPLOYMENT OPPORTUNITY

During the performance of this Agreement, CONTRACTOR agrees as follows:

- A. CONTRACTOR will not discriminate against any employee or applicant for employment because of race, color, religion, sex, or national origin. CONTRACTOR will take affirmative action to ensure that applicants are employed, and that employees are treated during employment without regard to their race, color, religion, sex, or national origin. Such action shall include, but not be limited to the following: Employment, upgrading, demotion, or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. CONTRACTOR agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided setting forth the provisions of this nondiscrimination clause.
- B. CONTRACTOR will, in all solicitations or advertisements for employees placed by or on behalf of CONTRACTOR, state that all qualified applicants will receive considerations for employment without regard to race, color, religion, sex, or national origin.
- C. CONTRACTOR will send to each labor union or representative of workers with which he has a collective bargaining agreement or other contract or understanding, a notice to be provided advising the said labor union or workers' representatives of CONTRACTOR'S commitments under

this section, and shall post copies of the notice in conspicuous places available to employees and applicants for employment.

- D. CONTRACTOR will comply with all provisions of Executive Order 11246 of September 24, 1965, and of the rules, regulations, and relevant orders of the Secretary of Labor.
- E. CONTRACTOR will furnish all information and reports required by Executive Order 11246 of September 24, 1965, and by rules, regulations, and orders of the Secretary of Labor, or pursuant thereto, and will permit access to his books, records, and accounts by the administering agency and the Secretary of Labor for purposes of investigation to ascertain compliance with such rules, regulations, and orders.
- F. In the event of CONTRACTOR'S noncompliance with the nondiscrimination clauses of this Agreement or with any of the said rules, regulations, or orders, this Agreement may be canceled, terminated, or suspended in whole or in part and CONTRACTOR may be declared ineligible for further Government contracts or federally assisted construction contracts in accordance with procedures authorized in Executive Order 11246 of September 24, 1965, and such other sanctions as may be imposed and remedies invoked as provided in Executive Order 11246 of September 24, 1965, or by rule, regulation, or order of the Secretary of Labor, or as otherwise provided by law.
- G. CONTRACTOR will include the portion of the sentence immediately preceding paragraph (1) and the provisions of paragraphs (1) through (7) in every subcontract or purchase order unless exempted by rules, regulations, or orders of the Secretary of Labor issued pursuant to section 204 of Executive Order 11246 of September 24, 1965, so that such provisions will be binding upon each subcontractor or vendor. CONTRACTOR will take such action with respect to any subcontract or purchase order as the administering agency may direct as a means of enforcing such provisions, including sanctions for noncompliance: Provided, however, that in the event a contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the administering agency CONTRACTOR may request the United States to enter into such litigation to protect the interests of the United States.

21. 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.

22. NO 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.

23. 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.

24. 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.

25. 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.

26. REMEDIES FOR NONCOMPLIANCE

In the event COUNTY determines, in its sole discretion, that CONTRACTOR is not in compliance with the terms and conditions set forth herein, COUNTY may:

- A. Require payments as reimbursements rather than advance payments;
- B. Withhold authority to proceed to the next phase until receipt of evidence of acceptable performance within a given period of performance;
- C. Require additional, more detailed financial reports;
- D. Require additional project monitoring;
- E. Requiring CONTRACTOR to obtain technical or management assistance; or
- F. Establish additional prior approvals.

27. 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.

28. TIME IS OF THE ESSENCE

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

29. 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.

30. 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.

31. CHANGES

- A. **Notice.** The primary purpose of this clause is to obtain prompt reporting of COUNTY conduct that CONTRACTOR considers to constitute a change to this contract. Except for changes identified as such in writing and signed by COUNTY, the Contractor shall notify the COUNTY in writing promptly, within five (5) calendar days from the date that the Contractor identifies any Government conduct (including actions, inactions, and written or oral communications) that the

CONTRACTOR regards as a change to the contract terms and conditions. On the basis of the most accurate information available to the Contractor, the notice shall state

- i. The date, nature, and circumstances of the conduct regarded as a change;
 - ii. The name, function, and activity of each Government individual and CONTRACTOR official or employee involved in or knowledgeable about such conduct;
 - iii. The identification of any documents and the substance of any oral communication involved in such conduct;
 - iv. In the instance of alleged acceleration of scheduled performance or delivery, the basis upon which it arose;
 - v. The particular elements of contract performance for which CONTRACTOR may seek an equitable adjustment under this clause, including:
 - What line items have been or may be affected by the alleged change;
 - What labor or materials or both have been or may be added, deleted, or wasted by the alleged change;
 - To the extent practicable, what delay and disruption in the manner and sequence of performance and effect on continued performance have been or may be caused by the alleged change;
 - What adjustments to contract price, delivery schedule, and other provisions affected by the alleged change are estimated; and
 - vi. CONTRACTOR'S estimate of the time by which COUNTY must respond to CONTRACTOR'S notice to minimize cost, delay or disruption of performance.
- B. Continued Performance.** Following submission of the required notice, CONTRACTOR shall diligently continue performance of this Agreement to the maximum extent possible in accordance with its terms and conditions as construed by the CONTRACTOR.
- C. COUNTY Response.** COUNTY shall promptly, within ten (10) calendar days after receipt of notice, respond to the notice in writing. In responding, COUNTY shall either --
- i. Confirm that the conduct of which CONTRACTOR gave notice constitutes a change and when necessary direct the mode of further performance;
 - ii. Countermand any communication regarded as a change;
 - iii. Deny that the conduct of which CONTRACTOR gave notice constitutes a change and when necessary direct the mode of further performance; or
 - iv. In the event the Contractor's notice information is inadequate to make a decision, advise CONTRACTOR what additional information is required, and establish the date by which it should be furnished and the date thereafter by which COUNTY will respond.
- D. Equitable Adjustments.**
- i. If the COUNTY confirms that COUNTY conduct effected a change as alleged by the CONTRACTOR, and the conduct causes an increase or decrease in the CONTRACTOR'S cost of, or the time required for, performance of any part of the work under this

Agreement, whether changed or not changed by such conduct, an equitable adjustment shall be made --

- In the contract price or delivery schedule or both; and
 - In such other provisions of the Agreement as may be affected.
- ii. The Agreement shall be modified in writing accordingly. The equitable adjustment shall not include increased costs or time extensions for delay resulting from CONTRACTOR'S failure to provide notice or to continue performance as provided herein.

32. 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.

33. 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.

34. COMPLIANCE WITH FEDERAL LAWS, REGULATIONS, AND EXECUTIVE ORDERS

This is an acknowledgement that FEMA financial assistance will be used to fund this Agreement. CONTRACTOR will only use FEMA funds as authorized herein. CONTRACTOR will comply with all applicable federal law, regulations, executive orders, FEMA policies, procedures, and directives.

35. 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.

36. 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.

37. 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.

38. 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.

39. 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.

40. BYRD ANTI-LOBBYING AMENDMENT, 31 U.S.C. § 1352 (AS AMENDED)

CONTRACTOR shall file the required certification in EXHIBIT D. Each tier certifies to the tier above that it will not and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal contract, grant, or any other award covered by 31 U.S.C. § 1352. Each tier shall also disclose any lobbying with non-Federal funds that takes place in connection with obtaining any Federal award. Such disclosures are forwarded from tier to tier up to the recipient.

41. CONTRACT WORK HOURS AND SAFETY STANDARDS ACT

- A. **Overtime requirements.** No contractor or subcontractor contracting for any part of the contract work which may require or involve the employment of laborers or mechanics shall require or permit any such laborer or mechanic in any workweek in which he or she is employed on such work to work in excess of forty hours in such workweek unless such laborer or mechanic receives compensation at a rate not less than one and one-half times the basic rate of pay for all hours worked in excess of forty hours in such workweek.
- B. **Violation; liability for unpaid wages; liquidated damages.** In the event of any violation of the clause set forth in paragraph (1) of this section CONTRACTOR and any subcontractor responsible therefore shall be liable for the unpaid wages. In addition, such contractor and subcontractor shall be liable to the United States (in the case of work done under contract for the District of Columbia or a territory, to such District or to such territory), for liquidated damages. Such liquidated damages shall be computed with respect to each individual laborer or mechanic, including watchmen and guards, employed in violation of the clause set forth in paragraph (1) of this section, in the sum of \$10 for each calendar day on which such individual was required or permitted to work in excess of the standard workweek of forty hours without payment of the overtime wages required by the clause set forth in paragraph (1) of this section.
- C. **Withholding for unpaid wages and liquidated damages.** COUNTY shall upon its own action or upon written request of an authorized representative of the Department of Labor withhold or cause to be withheld, from any moneys payable on account of work performed by the contractor or subcontractor under any such contract or any other Federal contract with the same prime contractor, or any other federally-assisted contract subject to the Contract Work Hours and Safety Standards Act, which is held by the same prime contractor, such sums as may be determined to be necessary to satisfy any liabilities of such contractor or subcontractor for unpaid wages and liquidated damages as provided in the clause set forth in paragraph (2) of this section.

- D. **Subcontracts.** CONTRACTOR or subcontractor shall insert in any subcontracts the clauses set forth in paragraph (1) through (4) of this section and also a clause requiring the subcontractors to include these clauses in any lower tier subcontracts. The prime contractor shall be responsible for compliance by any subcontractor or lower tier subcontractor with the clauses set forth in paragraphs (1) through (4) of this section.

42. CLEAN AIR ACT

- A. CONTRACTOR agrees to comply with all applicable standards, orders or regulations issued pursuant to the Clean Air Act, as amended, 42 U.S.C. § 7401 et seq.
- B. CONTRACTOR agrees to report each violation to the California Environmental Protection Agency and understands and agrees that the California Environmental Protection Agency will, in turn, report each violation as required to assure notification to the COUNTY, Federal Emergency Management Agency, and the appropriate Environmental Protection Agency Regional Office.
- C. CONTRACTOR agrees to include these requirements in each subcontract exceeding \$150,000 financed in whole or in part with Federal assistance provided by FEMA.

43. FEDERAL WATER POLLUTION CONTROL ACT

- A. CONTRACTOR agrees to comply with all applicable standards, orders or regulations issued pursuant to the Federal Water Pollution Control Act, as amended, 33 U.S.C. 1251 et seq.
- B. CONTRACTOR agrees to report each violation to the California State Water Resources Control Board and understands and agrees that the California State Water Resources Control Board will, in turn, report each violation as required to assure notification to the COUNTY, Federal Emergency Management Agency, and the appropriate Environmental Protection Agency Regional Office.
- C. CONTRACTOR agrees to include these requirements in each subcontract exceeding \$150,000 financed in whole or in part with Federal assistance provided by FEMA.

44. PROCUREMENT OF RECOVERED MATERIALS

- A. In the performance of this Agreement, CONTRACTOR shall make maximum use of products containing recovered materials that are EPA- designated items unless the product cannot be acquired—
- i. Competitively within a timeframe providing for compliance with the contract performance schedule;
 - ii. Meeting contract performance requirements; or
 - iii. At a reasonable price.
- B. Information about this requirement, along with the list of EPA-designate items, is available at EPA's Comprehensive Procurement Guidelines web site, <https://www.epa.gov/smm/comprehensive-procurement-guideline-cpg-program>.

45. NO OBLIGATION BY FEDERAL GOVERNMENT

The Federal Government is not a party to this Agreement and is not subject to any obligations or liabilities to the non-Federal entity, CONTRACTOR, or any other party pertaining to any matter resulting from the Agreement.

46. PROGRAM FRAUD AND FALSE OR FRAUDULENT STATEMENTS OR RELATED ACTS

CONTRACTOR acknowledges that 31 U.S.C. Chap. 38 (Administrative Remedies for False Claims and Statements) applies to the CONTRACTOR'S actions pertaining to this Agreement.

47. 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 project 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.

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 the Board of the
Santa Barbara County Flood Control
& Water Conservation District

By: _____

Deputy Clerk

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

By: _____


Gregg Hart, Chair of the Board
of Directors

Date: _____

RECOMMENDED FOR APPROVAL:

Scott D. McGolpin
Public Works Director


By: _____


Deputy

CONTRACTOR:

Filippin Engineering

By: _____


Authorized Representative

Name: _____

Kelly Wheeler

Title: _____

Vice President

APPROVED AS TO FORM:

Michael C. Ghizzoni
County Counsel

By: 
Deputy County Counsel

APPROVED AS TO ACCOUNTING FORM:

Betsy M. Schaffer, CPA
Auditor-Controller

By: 
Deputy

APPROVED AS TO FORM:

Ray Aromatorio, ARM, AIC
Risk Manager

By: 
Risk Management



EXHIBIT A STATEMENT OF WORK

January 22, 2020

W.O. 200401

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

SUBJECT: PROPOSAL TO PROVIDE CONSTRUCTABILITY REVIEW FOR RANDALL ROAD DEBRIS BASIN PROJECT

Dear Mr. Frye,

Thank you for the opportunity to submit our proposal to perform Constructability Review services for the County of Santa Barbara Flood Control and Water Conservation District's (Flood Control) Randall Road Debris Basin Improvements Project. Filippin Engineering and its staff have completed projects of similar scope and are well qualified to assist with all aspects of the project.

PROJECT UNDERSTANDING / ASSUMPTIONS

FE's understanding of the project is based upon Flood Control's Project Schedule, updated on 01-13-20, as well as information available online that describes the project. It is our understanding that this project includes construction of a new debris basin over 8 properties on Randall Road on 8 acres of property along San Ysidro Creek and associated improvements with a construction cost of approximately \$5M - \$8M. Our constructability review services will include the scope of work provided below along with meeting with Flood Control and/or Designer or Project Manager prior to finalizing a constructability memo that summarizes our comments. It is our understanding that the following milestone schedule and assumptions are applicable to the work:

- 60% PS&E delivery at end of June 2020, with two weeks of County review time in which FE would complete internal review. It is our understanding that this milestone would include review of plans, specifications, and bid sheet.
- 90% PS&E delivery in November 2020, with two weeks of County review time in which FE would complete internal review. It is our understanding that this milestone would include review of plans, specifications, and bid sheet.
- 100% PS&E delivery in March 2021, with two weeks of County review time in which FE would complete checking that comments from previous review were incorporated (no anticipated new comments at 100% is expected)

We are flexible in working with Flood Control to meet the specific needs that may arise throughout the design phase of the project. We also understand that this work may be subject to reimbursement and we will comply with any auditing or billing instructions given as they arise.

PROJECT APPROACH & SCOPE OF SERVICES

The main objective of the constructability review is to minimize potential change orders and schedule delays during construction by ensuring that the construction documents are adequately coordinated, substantially complete, and buildable. To accomplish these goals in the most efficient manner possible, we propose the following approach to the project:



Kickoff Meeting – The purpose of this meeting was to review the desired project scope and deliverables, clarify issues, establish working relationships, and review and verify mutual understanding of the project goals. We can also cover budget or funding constraints (project and consultant budgets), time constraints (project and consultant), and other project specific items (i.e. project history, specific design elements, etc.).

Site Visits – Our project team will conduct on-site visits as necessary to become familiar with the surroundings and photo document the critical features. Visiting the site gives the team an opportunity to identify additional problems and concerns that may not be apparent from a site map or archival data.

Constructability Review – FE generally follows the Caltrans Constructability Review Checklists, however, we find that these lists are not always comprehensive and project specific, so we also review project documents for the following at the 60% submittal:

- **General**
 - Review overall clarity and consistency of the documents, specifications, and plans.
 - Review measurement and payment language is adequate, and check specifically that pay items in the bid tabulation are covered in the specifications, and that all the required work is covered by the pay items. We do not typically run full quantity estimates during our reviews, but do rough checks to make certain that there are no red flags that would indicate that quantities are either not verifiable or should be checked further.
 - Review the work shown on the plans is adequately covered in the Special Provisions or the Standard Specifications.
 - Review that the specifications allow for work efficiency, when appropriate.
 - Confirm appropriate standard specifications are referenced and check for standardization of details on the contract documents.
 - Confirm necessary details, cross sections, and typical sections are covered in the plans and consistent with the specifications.

- **Environmental/Permitting**
 - Review project report and technical studies to ensure that any necessary mitigations or inspections included in the environmental document and technical studies are included in the contract work.
 - Check local agency requirements for disposal of demolition items (i.e. is recycling included or required, and can any materials be salvaged for use).
 - Review and ensure SWPPP and Water Pollution Control is adequately specified and defined.
 - Cross check that appropriate permits are provided, and conditions of approval incorporated into the bid package.
 - Confirm that any environmental agency construction windows and impacts are outlined clearly.

- **Staging/Phasing**
 - Confirm workable construction staging plans are complete and shown adequately.
 - Review site logistics and constraints and confirm limitations of access for the work is reasonable and clearly conveyed.
 - Confirm temporary construction easements are adequate.
 - Confirm available stockpiling areas are identified and appropriate.
 - Confirm haul routes are identified and review turnaround areas, if applicable.
 - Confirm temporary fencing is adequate and identified.

- **Grading/Earthwork**
 - Confirm removal limits are clearly shown.
 - Confirm sawcutting limits are specified.



- Confirm earthwork and paving quantities using the original ground surface model provided, and the designer's alignments, profiles, super elevation, typical cross sections, and contour grades.
- **Scheduling**
 - Review that scheduling requirements are included in the contract and will be adequate to manage the project and give forecast for future impacts to the public.
 - Confirm that impacts of construction windows required by environmental requirements are clear and taken into account in the overall construction schedule.
 - Confirm that the engineers estimate and working days on the project generally seem appropriate or if further analysis should be completed.
- **Utilities**
 - Review that known underground facilities are adequately shown on the plans and necessary potholing or protection is included in the contract documents.
 - During our onsite visits, we will note any surface features that would indicate additional utilities from that shown on the plans.
 - Review that utility clearances and cover are adequate.
 - For any utility relocations, confirm coordination with utility owners has been completed or is in process.
 - Identify possible utility conflicts or areas that potholing prior to bidding may be appropriate.
 - Confirm sequencing of utilities and road and structures work.
- **Structures**
 - Check that the Special Provisions and details are job specific.
 - Check for rebar congestion and constructability of rebar placement.
 - Consider working area needs around structures.
 - Review for clarity of installation.
 - Cross check design with utility conflicts and support.
 - Confirm consistency between the structures and layout plans.
- **Drainage**
 - Review potential drainage problems through the temporary construction areas.
 - Check drainage system design to ensure ease of maintenance.
 - Ensure offsite drainage has been considered beyond the construction limits.
 - Review drainage interface with adjoining facilities.
- **Geotechnical**
 - Review subsurface soils information is adequate and any necessary compaction and inspections are clear in the documents.
 - Check recommendations on foundations, settlement estimates, slope design, and subsurface conditions and groundwater control for adequacy of information and incorporation of pertinent information and requirements into the bid documents. A brief technical memorandum will be prepared by our project's Engineering Geologist.

60% Constructability Review Memo –The FE team will create a spreadsheet that organizes comments on the above topics by category, and reference to plan sheet or specification section. We propose that we will create a draft of these comments before meeting with the Flood Control and/or Design Team to review any questions that have arisen during the initial review, then subsequently finalize the comments and accompanying memo in a format complete for County and Design Team response and tracking.



90% Constructability Review Memo & Coordination –At the 90% milestone, the FE team will review that the comments previously made were incorporated into the documents, as well as do a cursory review of the items listed in the constructability scope to identify if there are any further comments to make the set more biddable. We also will participate in a meeting with the County to review any other items necessary going into the 100% document preparation and confirm if there are any questions that arose during the 60% review. Subsequently, we will finalize the 90% comments and accompanying memo in a format complete for County and Design Team response and tracking.

100% Constructability Review & Coordination –At the 100% milestone, the FE team will review that the comments previously made were incorporated into the documents. At this phase, it is expected that questions would have been asked and comments addressed, so minimal time is included. However, if during this phase it is evident that more scope should be addressed such as doing a quantity takeoff, etc., the FE team will recommend additional scope to the County at that time based on a project specific basis.

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. Our proposed services will be performed on a time and materials not to exceed 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, we estimate that the fee required for our services will be approximately **\$23,922**. The following table illustrates the breakdown of our scope of work.

RESOURCE ALLOCATION MATRIX - (CONSTRUCTABILITY REVIEW)			
	Principal Construction Manager	Senior Construction Inspector	Cost
Kickoff Meeting	6		\$ 1,170.00
Site Visit	4	4	\$ 1,368.00
60% PS&E Review	24	24	\$ 8,208.00
60% Memo Preparation	8	8	\$ 2,736.00
60% Coordination & Meeting	6		\$ 1,170.00
90% PS&E Review	16	10	\$ 4,590.00
90% Memo Preparation	10		\$ 1,950.00
90% Coordination	6		\$ 1,170.00
100% Review	8		\$ 1,560.00
Total Hours	88	46	\$ 23,922.00
HOURLY RATE	\$ 195.00	\$ 147.00	
Total Fee	\$ 17,160.00	\$ 6,752.00	\$ 23,922.00
TOTAL FEE ESTIMATE FOR SERVICES			\$ 23,922.00

We have estimated the cost of our services based on our understanding at this time of the scope and complexity of the work. However, with constructability review services specifically, the level of effort can be throttled to accommodate budget constraints, and still provide as much value as possible. For example, if the County would like to reduce fee, scope can be modified to focus on specific concerns like pay item quantities/clauses or clear incorporation of grading limits, and reduce time on other items such as time spent on looking at clarity of rebar layout for structures or cross sections. We welcome County comment on the need for reduced or expanded services based on County constraints, and we can update our proposal accordingly.



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.

Sincerely,
FILIPPIN ENGINEERING

A handwritten signature in black ink that reads 'Kelly R. Wheeler'.

Kelly R. Wheeler, P.E.
Vice President

RESOURCE ALLOCATION MATRIX - (CONSTRUCTABILITY REVIEW)				
	Principal Construction Manager	Senior Construction Inspector	Cost	
Kickoff Meeting	6		\$ 1,170.00	
Site Visit	4	4	\$ 1,368.00	
60% PS&E Review	24	24	\$ 8,208.00	
60% Memo Preparation	8	8	\$ 2,736.00	
60% Coordination & Meeting	6		\$ 1,170.00	
90% PS&E Review	16	10	\$ 4,590.00	
90% Memo Preparation	10		\$ 1,950.00	
90% Coordination	6		\$ 1,170.00	
100% Review	8		\$ 1,560.00	
Total Hours	88	46	\$ 23,922.00	
HOURLY RATE	\$ 195.00	\$ 147.00		
Total Fee	\$ 17,160.00	\$ 6,762.00	\$ 23,922.00	
TOTAL FEE ESTIMATE FOR SERVICES			\$ 23,922.00	



January 27, 2020

W.O. 200402

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

SUBJECT: PROPOSAL TO PROVIDE CONSTRUCTABILITY REVIEW FOR ROMERO CREEK DEBRIS BASIN IMPROVEMENTS PROJECT

Dear Mr. Frye,

Thank you for the opportunity to submit our proposal to perform Constructability Review services for the County of Santa Barbara Flood Control and Water Conservation District's (Flood Control) Romero Creek Debris Basin Improvements Project. Filippin Engineering and its staff have completed projects of similar scope and are well qualified to assist with all aspects of the project.

PROJECT UNDERSTANDING / ASSUMPTIONS

FE's understanding of the project is based upon Flood Control's Project Schedule, updated on 01-13-20, by COM3 Consulting, 30% cost estimate dated 01/10/20, and 30% plans (9 sheets, not dated). It is our understanding that this is an estimated \$2.2M project that includes grading a new access road, grading and excavation, constructing grouted rock structures, placement of rip rap, and construction of debris walls. Our constructability review services will include the scope of work provided below along with meeting with Flood Control and/or Designer or Project Manager prior to finalizing a constructability memo that summarizes our comments. It is also our understanding that Flood Control would like FE to create the "upfront" portion of the specifications that includes using the County's standard template and updating to include project specific information for the Bid Book, Notice to Bidders, Special Provisions, and update of Table of Contents to include the Technical Provisions, Standard Details and Plans List, and Informational Handout sections.

It is our understand that the following milestone schedule and assumptions are applicable to the work:

- 65% PS&E delivery at end of May 2020, with two weeks of County review time in which FE would complete internal review. It is our understanding that this milestone would include review of plans, specifications, and bid sheet.
- Prepare Draft 65% Front End specifications for County review. We anticipate this scope can be completed in approximately two weeks time from the end of the review of the plans and specifications.
- 95% PS&E delivery in October 2020, with two weeks of County review time in which FE would complete internal review. It is our understanding that this milestone would include review of plans, specifications, and bid sheet.
- Update 65% Front End specifications to 95%. This will include incorporation of comments and information from the 65% phase.
- 100% PS&E delivery in February 2021, with two weeks of County review time in which FE would complete checking that comments from previous review were incorporated (no anticipated new comments at 100% is expected)
- Prepare final 100% Front End specifications to accompany the bid documents.

It is also our understanding that these deliverables will be coordinated at the same time as the San Ysidro and Cold Springs Debris Basin Projects. We are flexible in working with Flood Control to meet the specific needs that may arise.



We also understand that this work may be subject to reimbursement and we will comply with any auditing or billing instructions given as they arise.

PROJECT APPROACH & SCOPE OF SERVICES

The main objective of the constructability review is to minimize potential change orders and schedule delays during construction by ensuring that the construction documents are adequately coordinated, substantially complete, and buildable. To accomplish these goals in the most efficient manner possible, we propose the following approach to the project:

Kickoff Meeting – The purpose of this meeting was to review the desired project scope and deliverables, clarify issues, establish working relationships, and review and verify mutual understanding of the project goals. We can also cover budget or funding constraints (project and consultant budgets), time constraints (project and consultant), and other project specific items (i.e. project history, specific design elements, etc.).

Site Visits – Our project team will conduct on-site visits as necessary to become familiar with the surroundings and photo document the critical features. Visiting the site gives the team an opportunity to identify additional problems and concerns that may not be apparent from a site map or archival data.

Constructability Review – FE generally follows the Caltrans Constructability Review Checklists, however, we find that these lists are not always comprehensive and project specific, so we also review project documents for the following at the 65% submittal:

- **General**
 - Review overall clarity and consistency of the documents, specifications, and plans.
 - Review measurement and payment language is adequate, and check specifically that pay items in the bid tabulation are covered in the specifications, and that all the required work is covered by the pay items. We do not typically run full quantity estimates during our reviews, but do rough checks to make certain that there are no red flags that would indicate that quantities are either not verifiable or should be checked further.
 - Review the work shown on the plans is adequately covered in the Special Provisions or the Standard Specifications.
 - Review that the specifications allow for work efficiency, when appropriate.
 - Confirm appropriate standard specifications are referenced and check for standardization of details on the contract documents.
 - Confirm necessary details, cross sections, and typical sections are covered in the plans and consistent with the specifications.
- **Environmental/Permitting**
 - Review project report and technical studies to ensure that any necessary mitigations or inspections included in the environmental document and technical studies are included in the contract work.
 - Check local agency requirements for disposal of demolition items (i.e. is recycling included or required, and can any materials be salvaged for use).
 - Review and ensure SWPPP and Water Pollution Control is adequately specified and defined.
 - Cross check that appropriate permits are provided, and conditions of approval incorporated into the bid package.
 - Confirm that any environmental agency construction windows and impacts are outlined clearly.
- **Staging/Phasing**
 - Confirm workable construction staging plans are complete and shown adequately.

- Review site logistics and constraints and confirm limitations of access for the work is reasonable and clearly conveyed.
- Confirm temporary construction easements are adequate.
- Confirm available stockpiling areas are identified and appropriate.
- Confirm haul routes are identified and review turnaround areas, if applicable.
- Confirm temporary fencing is adequate and identified.
- **Grading/Earthwork**
 - Confirm removal limits are clearly shown.
 - Confirm sawcutting limits are specified.
 - Confirm earthwork and paving quantities using the original ground surface model provided, and the designer's alignments, profiles, super elevation, typical cross sections, and contour grades.
- **Scheduling**
 - Review that scheduling requirements are included in the contract and will be adequate to manage the project and give forecast for future impacts to the public.
 - Confirm that impacts of construction windows required by environmental requirements are clear and taken into account in the overall construction schedule.
 - Confirm that the engineers estimate and working days on the project generally seem appropriate or if further analysis should be completed.
- **Utilities**
 - Review that known underground facilities are adequately shown on the plans and necessary potholing or protection is included in the contract documents.
 - During our onsite visits, we will note any surface features that would indicate additional utilities from that shown on the plans.
 - Review that utility clearances and cover are adequate.
 - For any utility relocations, confirm coordination with utility owners has been completed or is in process.
 - Identify possible utility conflicts or areas that potholing prior to bidding may be appropriate.
 - Confirm sequencing of utilities and road and structures work.
- **Structures**
 - Check that the Special Provisions and details are job specific.
 - Check for rebar congestion and constructability of rebar placement.
 - Consider working area needs around structures.
 - Review for clarity of installation.
 - Cross check design with utility conflicts and support.
 - Confirm consistency between the structures and layout plans.
- **Drainage**
 - Review potential drainage problems through the temporary construction areas.
 - Check drainage system design to ensure ease of maintenance.
 - Ensure offsite drainage has been considered beyond the construction limits.
 - Review drainage interface with adjoining facilities.
- **Geotechnical**
 - Review subsurface soils information is adequate and any necessary compaction and inspections are clear in the documents.



- Check recommendations on foundations, settlement estimates, slope design, and subsurface conditions and groundwater control for adequacy of information and incorporation of pertinent information and requirements into the bid documents. A brief technical memorandum will be prepared by our project's Engineering Geologist.

65% Constructability Review Memo –The FE team will create a spreadsheet that organizes comments on the above topics by category, and reference to plan sheet or specification section. We propose that we will create a draft of these comments before meeting with the Flood Control and/or Design Team to review any questions that have arisen during the initial review, then subsequently finalize the comments and accompanying memo in a format complete for County and Design Team response and tracking.

65% Draft Front End Specification Preparation – the FE team will take the package delivered at 65% and incorporate the project specific information into the County's template for the Bid Book, Notice to Bidders, Special Provisions, and update of Table of Contents to include the Technical Provisions, Standard Details and Plans List, and Informational Handout sections. This stage will likely include a coordination meeting with the Program/Project Manager to obtain the most recent information for these sections.

95% Constructability Review Memo & Coordination –At the 95% milestone, the FE team will review that the comments previously made were incorporated into the documents, as well as do a cursory review of the items listed in the constructability scope to identify if there are any further comments to make the set more biddable. We also will participate in a meeting with the County to review any other items necessary going into the 100% document preparation and confirm if there are any questions that arose during the 65% review. Subsequently, we will finalize the 95% comments and accompanying memo in a format complete for County and Design Team response and tracking.

95% Draft Front End Specification Preparation – the FE team will take the comments received at 65% and update with current information for the Bid Book, Notice to Bidders, Special Provisions, and Table of Contents. This stage will also include an additional coordination meeting with the Program/Project Manager as necessary.

100% Constructability Review & Coordination –At the 100% milestone, the FE team will review that the comments previously made were incorporated into the documents. At this phase, it is expected that questions would have been asked and comments addressed, so minimal time is included. However, if during this phase it is evident that more scope should be addressed such as doing a quantity takeoff, etc., the FE team will recommend additional scope to the County at that time based on a project specific basis.

100% Draft Front End Specification Preparation – the FE team will take the comments received at 90% and update with current information for the Bid Book, Notice to Bidders, Special Provisions, and Table of Contents. This scope will also include assembly of the standard details to be incorporated into the bid documents.

INFORMATION TO BE PROVIDED BY OTHERS

In order to complete the scope of work detailed above, it is our understanding that the following items will be completed and provided by others throughout the course of the work:

- 65%, 95%, and 100% documents to be provided in either hard copy or electronic copy by the County or the Designer.
- Bid Item List, including items and quantities, to be prepared by Designer; Front End specification services will include placement of this into the document, but since the Bid Item List should correspond to the technical specifications, we anticipate this to be in the scope of the Designer.



- Informational Handout – we anticipate items typically incorporated into the Information Handout, such as copies of the permits, geotechnical reports, or record drawing information for existing facilities, would be provided to the FE team.
- Standard Details and Plan List – we anticipate that the Designer would provide a list of the references to Standard Details and Plans for assembly and incorporation into the technical section of the document. If this scope should be added, the FE team can include performance of this portion in the 65%, 95%, and 100% review stages.

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. Our proposed services will be performed on a time and materials not to exceed 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, we estimate that the fee required for our services will be approximately \$17,289. The following table illustrates the breakdown of our scope of work.

RESOURCE ALLOCATION MATRIX - (CONSTRUCTABILITY REVIEW & UP FRONT SPECIFICATION PREPARATION)			
	FILIPPIN ENGINEERING		Cost
	Principal Construction Manager	Senior Construction Inspector	
Kickoff Meeting	2		\$ 390.00
Site Visit	4	4	\$ 1,368.00
65% PS&E Review	8	12	\$ 3,324.00
65% Memo Preparation	4	8	\$ 1,956.00
65% Coordination & Meeting	3		\$ 585.00
65% Front End Preparation & Coordination	10	10	\$ 3,420.00
95% PS&E Review	6	8	\$ 2,346.00
95% Memo Preparation	4		\$ 780.00
95% Coordination	2		\$ 390.00
95% Front End Preparation & Coordination	6		\$ 1,170.00
100% Review	4		\$ 780.00
100% Front End Preparation & Coordination	4		\$ 780.00
Total Hours	57	42	\$ 17,289.00
HOURLY RATE	\$ 195.00	\$ 147.00	
Total Fee	\$ 11,115.00	\$ 6,174.00	\$ 17,289.00
TOTAL FEE ESTIMATE FOR SERVICES			\$ 17,289.00

We have estimated the cost of our services based on our understanding at this time of the scope and complexity of the work. However, with constructability review services specifically, the level of effort can be throttled to accommodate budget constraints, and still provide as much value as possible. For example, if the County would like to reduce fee, scope can be modified to focus on specific concerns like pay item quantities/clauses or clear incorporation of grading limits, and reduce time on other items such as time spent on looking at clarity of rebar layout for structures or cross sections. We welcome County comment on the need for reduced or expanded services based on County constraints, and we can update our proposal accordingly.

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.



Sincerely,
FILIPPIN ENGINEERING

A handwritten signature in black ink that reads 'Kelly R. Wheeler'. The signature is fluid and cursive, with a long horizontal stroke at the end.

Kelly R. Wheeler, P.E.
Vice President



January 27, 2020

W.O. 200403

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

SUBJECT: PROPOSAL TO PROVIDE CONSTRUCTABILITY REVIEW FOR COLD SPRINGS DEBRIS BASIN IMPROVEMENTS PROJECT

Dear Mr. Frye,

Thank you for the opportunity to submit our proposal to perform Constructability Review services for the County of Santa Barbara Flood Control and Water Conservation District's (Flood Control) Cold Springs Debris Basin Improvements Project. Filippin Engineering and its staff have completed projects of similar scope and are well qualified to assist with all aspects of the project.

PROJECT UNDERSTANDING / ASSUMPTIONS

FE's understanding of the project is based upon Flood Control's Project Schedule, updated on 01-13-20, by COM3 Consulting, 30% cost estimate dated 01/10/20, and 30% plans (9 sheets, not dated). It is our understanding that this is an estimated \$1.6M project that includes grading a new access road, grading and excavation, constructing grouted rock structures, placement of rip rap, and construction of debris walls. Our constructability review services will include the scope of work provided below along with meeting with Flood Control and/or Designer or Project Manager prior to finalizing a constructability memo that summarizes our comments. It is our understand that the following milestone schedule and assumptions are applicable to the work:

- 65% PS&E delivery at end of May 2020, with two weeks of County review time in which FE would complete internal review. It is our understanding that this milestone would include review of plans, specifications, and bid sheet.
- Prepare Draft 65% Front End specifications for County review. We anticipate this scope can be completed in approximately two weeks time from the end of the review of the plans and specifications.
- 95% PS&E delivery in October 2020, with two weeks of County review time in which FE would complete internal review. It is our understanding that this milestone would include review of plans, specifications, and bid sheet.
- Update 65% Front End specifications to 95%. This will include incorporation of comments and information from the 65% phase.
- 100% PS&E delivery in February 2021, with two weeks of County review time in which FE would complete checking that comments from previous review were incorporated (no anticipated new comments at 100% is expected)
- Prepare final 100% Front End specifications to accompany the bid documents.

It is also our understanding that these deliverables will be coordinated at the same time as the San Ysidro and Romero Creek Debris Basin Projects. We are flexible in working with Flood Control to meet the specific needs that may arise.

We also understand that this work may be subject to reimbursement and we will comply with any auditing or billing instructions given as they arise.



PROJECT APPROACH & SCOPE OF SERVICES

The main objective of the constructability review is to minimize potential change orders and schedule delays during construction by ensuring that the construction documents are adequately coordinated, substantially complete, and buildable. To accomplish these goals in the most efficient manner possible, we propose the following approach to the project:

Kickoff Meeting – The purpose of this meeting was to review the desired project scope and deliverables, clarify issues, establish working relationships, and review and verify mutual understanding of the project goals. We can also cover budget or funding constraints (project and consultant budgets), time constraints (project and consultant), and other project specific items (i.e. project history, specific design elements, etc.).

Site Visits – Our project team will conduct on-site visits as necessary to become familiar with the surroundings and photo document the critical features. Visiting the site gives the team an opportunity to identify additional problems and concerns that may not be apparent from a site map or archival data.

Constructability Review – FE generally follows the Caltrans Constructability Review Checklists, however, we find that these lists are not always comprehensive and project specific, so we also review project documents for the following at the 65% submittal:

- **General**
 - Review overall clarity and consistency of the documents, specifications, and plans.
 - Review measurement and payment language is adequate, and check specifically that pay items in the bid tabulation are covered in the specifications, and that all the required work is covered by the pay items. We do not typically run full quantity estimates during our reviews, but do rough checks to make certain that there are no red flags that would indicate that quantities are either not verifiable or should be checked further.
 - Review the work shown on the plans is adequately covered in the Special Provisions or the Standard Specifications.
 - Review that the specifications allow for work efficiency, when appropriate.
 - Confirm appropriate standard specifications are referenced and check for standardization of details on the contract documents.
 - Confirm necessary details, cross sections, and typical sections are covered in the plans and consistent with the specifications.
- **Environmental/Permitting**
 - Review project report and technical studies to ensure that any necessary mitigations or inspections included in the environmental document and technical studies are included in the contract work.
 - Check local agency requirements for disposal of demolition items (i.e. is recycling included or required, and can any materials be salvaged for use).
 - Review and ensure SWPPP and Water Pollution Control is adequately specified and defined.
 - Cross check that appropriate permits are provided, and conditions of approval incorporated into the bid package.
 - Confirm that any environmental agency construction windows and impacts are outlined clearly.
- **Staging/Phasing**
 - Confirm workable construction staging plans are complete and shown adequately.
 - Review site logistics and constraints and confirm limitations of access for the work is reasonable and clearly conveyed.
 - Confirm temporary construction easements are adequate.

- Confirm available stockpiling areas are identified and appropriate.
- Confirm haul routes are identified and review turnaround areas, if applicable.
- Confirm temporary fencing is adequate and identified.

- **Grading/Earthwork**
 - Confirm removal limits are clearly shown.
 - Confirm sawcutting limits are specified.
 - Confirm earthwork and paving quantities using the original ground surface model provided, and the designer's alignments, profiles, super elevation, typical cross sections, and contour grades.

- **Scheduling**
 - Review that scheduling requirements are included in the contract and will be adequate to manage the project and give forecast for future impacts to the public.
 - Confirm that impacts of construction windows required by environmental requirements are clear and taken into account in the overall construction schedule.
 - Confirm that the engineers estimate and working days on the project generally seem appropriate or if further analysis should be completed.

- **Utilities**
 - Review that known underground facilities are adequately shown on the plans and necessary potholing or protection is included in the contract documents.
 - During our onsite visits, we will note any surface features that would indicate additional utilities from that shown on the plans.
 - Review that utility clearances and cover are adequate.
 - For any utility relocations, confirm coordination with utility owners has been completed or is in process.
 - Identify possible utility conflicts or areas that potholing prior to bidding may be appropriate.
 - Confirm sequencing of utilities and road and structures work.

- **Structures**
 - Check that the Special Provisions and details are job specific.
 - Check for rebar congestion and constructability of rebar placement.
 - Consider working area needs around structures.
 - Review for clarity of installation.
 - Cross check design with utility conflicts and support.
 - Confirm consistency between the structures and layout plans.

- **Drainage**
 - Review potential drainage problems through the temporary construction areas.
 - Check drainage system design to ensure ease of maintenance.
 - Ensure offsite drainage has been considered beyond the construction limits.
 - Review drainage interface with adjoining facilities.

- **Geotechnical**
 - Review subsurface soils information is adequate and any necessary compaction and inspections are clear in the documents.
 - Check recommendations on foundations, settlement estimates, slope design, and subsurface conditions and groundwater control for adequacy of information and incorporation of pertinent



information and requirements into the bid documents. A brief technical memorandum will be prepared by our project's Engineering Geologist.

65% Constructability Review Memo –The FE team will create a spreadsheet that organizes comments on the above topics by category, and reference to plan sheet or specification section. We propose that we will create a draft of these comments before meeting with the Flood Control and/or Design Team to review any questions that have arisen during the initial review, then subsequently finalize the comments and accompanying memo in a format complete for County and Design Team response and tracking.

65% Draft Front End Specification Preparation – the FE team will take the package delivered at 65% and incorporate the project specific information into the County's template for the Bid Book, Notice to Bidders, Special Provisions, and update of Table of Contents to include the Technical Provisions, Standard Details and Plans List, and Informational Handout sections. This stage will likely include a coordination meeting with the Program/Project Manager to obtain the most recent information for these sections.

95% Constructability Review Memo & Coordination –At the 95% milestone, the FE team will review that the comments previously made were incorporated into the documents, as well as do a cursory review of the items listed in the constructability scope to identify if there are any further comments to make the set more biddable. We also will participate in a meeting with the County to review any other items necessary going into the 100% document preparation and confirm if there are any questions that arose during the 65% review. Subsequently, we will finalize the 95% comments and accompanying memo in a format complete for County and Design Team response and tracking.

95% Draft Front End Specification Preparation – the FE team will take the comments received at 65% and update with current information for the Bid Book, Notice to Bidders, Special Provisions, and Table of Contents. This stage will also include an additional coordination meeting with the Program/Project Manager as necessary.

100% Constructability Review & Coordination –At the 100% milestone, the FE team will review that the comments previously made were incorporated into the documents. At this phase, it is expected that questions would have been asked and comments addressed, so minimal time is included. However, if during this phase it is evident that more scope should be addressed such as doing a quantity takeoff, etc., the FE team will recommend additional scope to the County at that time based on a project specific basis.

100% Draft Front End Specification Preparation – the FE team will take the comments received at 90% and update with current information for the Bid Book, Notice to Bidders, Special Provisions, and Table of Contents. This scope will also include assembly of the standard details to be incorporated into the bid documents.

INFORMATION TO BE PROVIDED BY OTHERS

In order to complete the scope of work detailed above, it is our understanding that the following items will be completed and provided by others throughout the course of the work:

- 65%, 95%, and 100% documents to be provided in either hard copy or electronic copy by the County or the Designer.
- Bid Item List, including items and quantities, to be prepared by Designer; Front End specification services will include placement of this into the document, but since the Bid Item List should correspond to the technical specifications, we anticipate this to be in the scope of the Designer.



- Informational Handout – we anticipate items typically incorporated into the Information Handout, such as copies of the permits, geotechnical reports, or record drawing information for existing facilities, would be provided to the FE team.
- Standard Details and Plan List – we anticipate that the Designer would provide a list of the references to Standard Details and Plans for assembly and incorporation into the technical section of the document. If this scope should be added, the FE team can include performance of this portion in the 65%, 95%, and 100% review stages.

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. Our proposed services will be performed on a time and materials not to exceed 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, we estimate that the fee required for our services will be approximately \$17,289. The following table illustrates the breakdown of our scope of work.

RESOURCE ALLOCATION MATRIX - (CONSTRUCTABILITY REVIEW & UP FRONT SPECIFICATION PREPARATION)			
	FILIPPIN ENGINEERING		Cost
	Principal Construction Manager	Senior Construction Inspector	
Kickoff Meeting	2		\$ 390.00
Site Visit	4	4	\$ 1,368.00
65% PS&E Review	8	12	\$ 3,324.00
65% Memo Preparation	4	8	\$ 1,956.00
65% Coordination & Meeting	3		\$ 585.00
65% Front End Preparation & Coordination	10	10	\$ 3,420.00
95% PS&E Review	6	8	\$ 2,346.00
95% Memo Preparation	4		\$ 780.00
95% Coordination	2		\$ 390.00
95% Front End Preparation & Coordination	6		\$ 1,170.00
100% Review	4		\$ 780.00
100% Front End Preparation & Coordination	4		\$ 780.00
Total Hours	57	42	\$ 17,289.00
HOURLY RATE	\$ 195.00	\$ 147.00	
Total Fee	\$ 11,115.00	\$ 6,174.00	\$ 17,289.00
TOTAL FEE ESTIMATE FOR SERVICES			\$ 17,289.00

We have estimated the cost of our services based on our understanding at this time of the scope and complexity of the work. However, with constructability review services specifically, the level of effort can be throttled to accommodate budget constraints, and still provide as much value as possible. For example, if the County would like to reduce fee, scope can be modified to focus on specific concerns like pay item quantities/clauses or clear incorporation of grading limits, and reduce time on other items such as time spent on looking at clarity of rebar layout for structures or cross sections. We welcome County comment on the need for reduced or expanded services based on County constraints, and we can update our proposal accordingly.

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.



Sincerely,
FILIPPIN ENGINEERING

A handwritten signature in black ink, reading 'Kelly R. Wheeler', is positioned below the typed name. The signature is fluid and cursive, with a long horizontal stroke at the end.

Kelly R. Wheeler, P.E.
Vice President



January 27, 2020

W.O. 200404

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

SUBJECT: PROPOSAL TO PROVIDE CONSTRUCTABILITY REVIEW FOR SAN YSIDRO DEBRIS BASIN IMPROVEMENTS PROJECT

Dear Mr. Frye,

Thank you for the opportunity to submit our proposal to perform Constructability Review services for the County of Santa Barbara Flood Control and Water Conservation District's (Flood Control) San Ysidro Debris Basin Improvements Project. Filippin Engineering and its staff have completed projects of similar scope and are well qualified to assist with all aspects of the project.

PROJECT UNDERSTANDING / ASSUMPTIONS

FE's understanding of the project is based upon Flood Control's Project Schedule, updated on 01-13-20, by COM3 Consulting, 30% cost estimate dated 01/10/20, and 30% plans (9 sheets, not dated). It is our understanding that this is an estimated \$1.5M project that includes grading a new access road, grading and excavation, constructing grouted rock structures, placement of rip rap, and construction of debris walls. Our constructability review services will include the scope of work provided below along with meeting with Flood Control and/or Designer or Project Manager prior to finalizing a constructability memo that summarizes our comments. It is our understand that the following milestone schedule and assumptions are applicable to the work:

- 65% PS&E delivery at end of May 2020, with two weeks of County review time in which FE would complete internal review. It is our understanding that this milestone would include review of plans, specifications, and bid sheet.
- Prepare Draft 65% Front End specifications for County review. We anticipate this scope can be completed in approximately two weeks time from the end of the review of the plans and specifications.
- 95% PS&E delivery in October 2020, with two weeks of County review time in which FE would complete internal review. It is our understanding that this milestone would include review of plans, specifications, and bid sheet.
- Update 65% Front End specifications to 95%. This will include incorporation of comments and information from the 65% phase.
- 100% PS&E delivery in February 2021, with two weeks of County review time in which FE would complete checking that comments from previous review were incorporated (no anticipated new comments at 100% is expected)
- Prepare final 100% Front End specifications to accompany the bid documents.

It is also our understanding that these deliverables will be coordinated at the same time as the Cold Springs and Romero Creek Debris Basin Projects. We are flexible in working with Flood Control to meet the specific needs that may arise.

We also understand that this work may be subject to reimbursement and we will comply with any auditing or billing instructions given as they arise.



PROJECT APPROACH & SCOPE OF SERVICES

The main objective of the constructability review is to minimize potential change orders and schedule delays during construction by ensuring that the construction documents are adequately coordinated, substantially complete, and buildable. To accomplish these goals in the most efficient manner possible, we propose the following approach to the project:

Kickoff Meeting – The purpose of this meeting was to review the desired project scope and deliverables, clarify issues, establish working relationships, and review and verify mutual understanding of the project goals. We can also cover budget or funding constraints (project and consultant budgets), time constraints (project and consultant), and other project specific items (i.e. project history, specific design elements, etc.).

Site Visits – Our project team will conduct on-site visits as necessary to become familiar with the surroundings and photo document the critical features. Visiting the site gives the team an opportunity to identify additional problems and concerns that may not be apparent from a site map or archival data.

Constructability Review – FE generally follows the Caltrans Constructability Review Checklists, however, we find that these lists are not always comprehensive and project specific, so we also review project documents for the following at the 65% submittal:

- **General**
 - Review overall clarity and consistency of the documents, specifications, and plans.
 - Review measurement and payment language is adequate, and check specifically that pay items in the bid tabulation are covered in the specifications, and that all the required work is covered by the pay items. We do not typically run full quantity estimates during our reviews, but do rough checks to make certain that there are no red flags that would indicate that quantities are either not verifiable or should be checked further.
 - Review the work shown on the plans is adequately covered in the Special Provisions or the Standard Specifications.
 - Review that the specifications allow for work efficiency, when appropriate.
 - Confirm appropriate standard specifications are referenced and check for standardization of details on the contract documents.
 - Confirm necessary details, cross sections, and typical sections are covered in the plans and consistent with the specifications.
- **Environmental/Permitting**
 - Review project report and technical studies to ensure that any necessary mitigations or inspections included in the environmental document and technical studies are included in the contract work.
 - Check local agency requirements for disposal of demolition items (i.e. is recycling included or required, and can any materials be salvaged for use).
 - Review and ensure SWPPP and Water Pollution Control is adequately specified and defined.
 - Cross check that appropriate permits are provided, and conditions of approval incorporated into the bid package.
 - Confirm that any environmental agency construction windows and impacts are outlined clearly.
- **Staging/Phasing**
 - Confirm workable construction staging plans are complete and shown adequately.
 - Review site logistics and constraints and confirm limitations of access for the work is reasonable and clearly conveyed.
 - Confirm temporary construction easements are adequate.
 - Confirm available stockpiling areas are identified and appropriate.
 - Confirm haul routes are identified and review turnaround areas, if applicable.

- Confirm temporary fencing is adequate and identified.
- **Grading/Earthwork**
 - Confirm removal limits are clearly shown.
 - Confirm sawcutting limits are specified.
 - Confirm earthwork and paving quantities using the original ground surface model provided, and the designer's alignments, profiles, super elevation, typical cross sections, and contour grades.
- **Scheduling**
 - Review that scheduling requirements are included in the contract and will be adequate to manage the project and give forecast for future impacts to the public.
 - Confirm that impacts of construction windows required by environmental requirements are clear and taken into account in the overall construction schedule.
 - Confirm that the engineers estimate and working days on the project generally seem appropriate or if further analysis should be completed.
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 - Check recommendations on foundations, settlement estimates, slope design, and subsurface conditions and groundwater control for adequacy of information and incorporation of pertinent information and requirements into the bid documents. A brief technical memorandum will be prepared by our project's Engineering Geologist.



65% Constructability Review Memo –The FE team will create a spreadsheet that organizes comments on the above topics by category, and reference to plan sheet or specification section. We propose that we will create a draft of these comments before meeting with the Flood Control and/or Design Team to review any questions that have arisen during the initial review, then subsequently finalize the comments and accompanying memo in a format complete for County and Design Team response and tracking.

65% Draft Front End Specification Preparation – the FE team will take the package delivered at 65% and incorporate the project specific information into the County’s template for the Bid Book, Notice to Bidders, Special Provisions, and update of Table of Contents to include the Technical Provisions, Standard Details and Plans List, and Informational Handout sections. This stage will likely include a coordination meeting with the Program/Project Manager to obtain the most recent information for these sections.

95% Constructability Review Memo & Coordination –At the 95% milestone, the FE team will review that the comments previously made were incorporated into the documents, as well as do a cursory review of the items listed in the constructability scope to identify if there are any further comments to make the set more biddable. We also will participate in a meeting with the County to review any other items necessary going into the 100% document preparation and confirm if there are any questions that arose during the 65% review. Subsequently, we will finalize the 95% comments and accompanying memo in a format complete for County and Design Team response and tracking.

95% Draft Front End Specification Preparation – the FE team will take the comments received at 65% and update with current information for the Bid Book, Notice to Bidders, Special Provisions, and Table of Contents. This stage will also include an additional coordination meeting with the Program/Project Manager as necessary.

100% Constructability Review & Coordination –At the 100% milestone, the FE team will review that the comments previously made were incorporated into the documents. At this phase, it is expected that questions would have been asked and comments addressed, so minimal time is included. However, if during this phase it is evident that more scope should be addressed such as doing a quantity takeoff, etc., the FE team will recommend additional scope to the County at that time based on a project specific basis.

100% Draft Front End Specification Preparation – the FE team will take the comments received at 90% and update with current information for the Bid Book, Notice to Bidders, Special Provisions, and Table of Contents. This scope will also include assembly of the standard details to be incorporated into the bid documents.

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In order to complete the scope of work detailed above, it is our understanding that the following items will be completed and provided by others throughout the course of the work:

- 65%, 95%, and 100% documents to be provided in either hard copy or electronic copy by the County or the Designer.
- Bid Item List, including items and quantities, to be prepared by Designer; Front End specification services will include placement of this into the document, but since the Bid Item List should correspond to the technical specifications, we anticipate this to be in the scope of the Designer.
- Informational Handout – we anticipate items typically incorporated into the Information Handout, such as copies of the permits, geotechnical reports, or record drawing information for existing facilities, would be provided to the FE team.
- Standard Details and Plan List – we anticipate that the Designer would provide a list of the references to Standard Details and Plans for assembly and incorporation into the technical section of the document. If



this scope should be added, the FE team can include performance of this portion in the 65%, 95%, and 100% review stages.

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. Our proposed services will be performed on a time and materials not to exceed 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, we estimate that the fee required for our services will be approximately \$17,289. The following table illustrates the breakdown of our scope of work.

RESOURCE ALLOCATION MATRIX - (CONSTRUCTABILITY REVIEW & UP FRONT SPECIFICATION PREPARATION)			
	FILIPPIN ENGINEERING		Cost
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65% Memo Preparation	4	8	\$ 1,956.00
65% Coordination & Meeting	3		\$ 585.00
65% Front End Preparation & Coordination	10	10	\$ 3,420.00
95% PS&E Review	6	8	\$ 2,346.00
95% Memo Preparation	4		\$ 780.00
95% Coordination	2		\$ 390.00
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Total Hours	57	42	\$ 17,289.00
HOURLY RATE	\$ 195.00	\$ 147.00	
Total Fee	\$ 11,115.00	\$ 6,174.00	\$ 17,289.00
TOTAL FEE ESTIMATE FOR SERVICES			\$ 17,289.00

We have estimated the cost of our services based on our understanding at this time of the scope and complexity of the work. However, with constructability review services specifically, the level of effort can be throttled to accommodate budget constraints, and still provide as much value as possible. For example, if the County would like to reduce fee, scope can be modified to focus on specific concerns like pay item quantities/clauses or clear incorporation of grading limits, and reduce time on other items such as time spent on looking at clarity of rebar layout for structures or cross sections. We welcome County comment on the need for reduced or expanded services based on County constraints, and we can update our proposal accordingly.

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.

Sincerely,
FILIPPIN ENGINEERING

Kelly R. Wheeler, P.E.
Vice President

RESOURCE ALLOCATION MATRIX - (CONSTRUCTABILITY REVIEW & UP FRONT SPECIFICATION PREPARATION)

		FILIPPIN ENGINEERING			Cost
	Principal Construction Manager	Senior Construction Inspector			
Kickoff Meeting	2		\$	390.00	
Site Visit	4	4	\$	1,368.00	
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TOTAL FEE ESTIMATE FOR SERVICES				\$	17,289.00

CM	Inspt
6	0
12	12
24	36
12	24
9	0
30	30
18	24
12	0
6	0
18	0
12	0
12	0

\$51,867.00

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, up to but not to exceed **\$ 75,789**.
- 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 **\$7,578.90**
- 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 website at <http://www.dir.ca.gov/dlsr/pwd>.

ATTACHMENT B1



EXHIBIT A FILIPPIN ENGINEERING, INC. BILLING RATES EFFECTIVE JANUARY 1, 2020

Engineering

Engineering Technician	\$ 100.00
Senior Engineering Technician	\$ 110.00
Junior Engineer	\$ 145.00
Assistant Engineer	\$ 155.00
Associate Engineer	\$ 165.00
Senior Engineer	\$ 180.00
Principal Engineer	\$ 195.00

General

Technical/Clerical Support	\$ 95.00
Office Engineer	\$ 105.00
Senior Program Manager	\$ 185.00

Construction Management

Assistant Construction Manager	\$ 155.00
Associate Construction Manager	\$ 165.00
Senior Construction Manager	\$ 175.00
Principal Construction Manager	\$ 195.00
Senior Construction Inspector (PW)	\$ 147.00
Chief Inspector/Owner's Rep (PW)	\$ 150.00
(PW) Prevailing Wage	

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

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

Note 2: On prevailing wage assignments, overtime rates for construction inspection = 1.3 X regular rate. Double time rates = 1.5 X regular rates. Overtime will not be performed unless authorized in writing by the client. Overtime is incurred as defined on the prevailing wage determination for construction inspector.

Note 3: Billing Rates subject to change for multiple year contracts in conjunction with labor increases, which will be calculated at an increase of 3% beginning on August 1 of each year.

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.

Exhibit D

**CERTIFICATION FOR CONTRACTS, GRANTS, LOANS, AND COOPERATIVE AGREEMENTS
(Byrd Anti-Lobbying Amendment, 31 U.S.C. § 1352 (As Amended))**

The undersigned CONTRACTOR certifies, to the best of his or her knowledge, that:

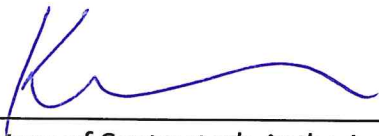
1. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

3. The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31, U.S.C. § 1352 (as amended by the Lobbying Disclosure Act of 1995). Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

CONTRACTOR, **Filippin Engineering**, certifies or affirms the truthfulness and accuracy of each statement of its certification and disclosure, if any. In addition, CONTRACTOR understands and agrees that the provisions of 31 U.S.C. § 3801 et seq., apply to this certification and disclosure, if any.



Signature of Contractor's Authorized Official

Kelly Wheeler Vice President

Name and Title of Contractor's Authorized Official

2/3/20

Date