

## Attachment A

# **CM at Risk Agreement for Preconstruction and Construction Phase Services**

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## Fresno County Courthouse Renovation

Superior Court of California

County of Fresno



ADMINISTRATIVE OFFICE  
OF THE COURTS

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OFFICE OF COURT CONSTRUCTION  
AND MANAGEMENT

**STANDARD AGREEMENT**

JUDICIAL COUNCIL OF CALIFORNIA, ADMINISTRATIVE OFFICE OF THE COURTS

AGREEMENT NUMBER
FEDERAL EMPLOYER ID NUMBER

THIS AGREEMENT is made and entered into this \_\_\_ day of \_\_\_\_ (“Effective Date”), in the State of California, by and between the parties identified below.

In this agreement (the “Agreement”), the term “Contractor” refers to Contractor and the term “AOC” refers to the Judicial Council of California, Administrative Office of the Courts.



Incorporated into this Agreement herewith, and attached hereto, are the following Contract Documents: (1) Exhibit A, Statement of Work; (2) Exhibit B, Payment Provisions; (3) Exhibit C, General Terms and Conditions; (4) Exhibit D, Acceptance and Signoff Form; (5) Exhibit E, Subcontractors to Contractor; (6) Exhibit F, Contractor’s Key Personnel; (7) Exhibit G, project Feasibility Report; (8) Exhibit H, Division 00700 - General Conditions Of The Contract For Construction, and Exhibit J Maintenance Responsibilities During Construction Period.

As further set forth further in Exhibit A, the Statement of Work, the Contractor shall, as authorized, provide Preconstruction Services and Construction Management at Risk services with a **maximum not to exceed price** for the Fresno County Courthouse Renovation in Fresno County, California.

The Work to be performed under this Agreement will be authorized in three (3) phases: Preliminary Plan Phase, Working Drawing Phase, and a Construction Phase. By entering into this Agreement, the AOC authorizes the Preliminary Plan Phase (starting in Design Development). The AOC has the sole and unilateral right to authorize the Working Drawing Phase and Construction Phase, and said authorizations shall be made, in the form of an Amendment to this Agreement authorizing the appropriate Phase and funding specified herein, which shall be signed by the Contractor.

The Work is hereby authorized and funded through performance of the Preliminary Plan Phase, for the firm fixed price as set forth in Exhibit B, Payment Provisions.

This Agreement shall commence upon the Effective Date, as set forth above, and shall complete upon final payment and release of final retention by the AOC.

AOC’S SIGNATURE	CONTRACTOR’S SIGNATURE
<b>Judicial Council of California, Administrative Office of the Courts</b>	CONTRACTOR’S NAME <i>(if Contractor is not an individual person, state whether Contractor is a corporation, partnership, etc.)</i>
BY <i>(Authorized Signature)</i> 	BY <i>(Authorized Signature)</i> 
PRINTED NAME AND TITLE OF PERSON SIGNING <b>Grant Walker Senior Manager, Business Services</b>	PRINTED NAME AND TITLE OF PERSON SIGNING
ADDRESS <b>455 Golden Gate Avenue San Francisco, CA 94102</b>	ADDRESS

**Administrative Office of the Courts Use Only**

<b>Fund Title</b>	<b>Program/ Category</b>	<b>Item</b>	<b>Chapter</b>	<b>Statute</b>	<b>Fiscal Year</b>	<b>Object of Expenditure</b>	<b>Amount</b>

Amount Encumbered by this Document:	Prior Amount Encumbered for this Contract:	Total Amount Encumbered to Date:
\$0.00	\$0.00	\$0.00

I hereby certify upon my own personal knowledge that budgeted funds are available for the period of the expenditure stated above.

SIGNATURE OF ACCOUNTING OFFICER 	DATE
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**Exhibit A of Attachment A**

**STATEMENT OF WORK**

**1. Project Description**

Contractor shall, as authorized, provide the Services specified in this statement of work (“Statement of Work”, “SOW”) in connection with a public works project for a judicial branch facility to be located in Fresno, California in accordance with the scope of the Project, which is more particularly described in Exhibit G, Project Program (the “Project”).

**2. Definitions**

For the purposes of this Agreement, the following definitions shall apply. Additional definitions are made throughout the Agreement and in Exhibit H, General Conditions of the Contract for Construction (Document 00700). During the Construction Phase of the Agreement, the defined terms of Exhibit H, General Conditions of The Contract for Construction (Document 00700) shall take precedence over those of Exhibit A.

- A. ACCEPTANCE: is the written acceptance issued by the AOC after the Contractor has completed a deliverable, submittal, phase, or other contract requirement, in compliance with this Agreement.
- B. ACQUISITIONS PHASE: is a pre-design phase that typically includes site capacity studies, topographic survey, and geotechnical investigation.
- C. AOC (State): is the Judicial Council of California, Administrative Office of the Courts.
- D. ARCHITECT or ENGINEER: The architect, engineers and other professional consultants under contract to the AOC to provide design and construction documentation, and construction administration services for the project.
- E. BASIC SERVICES: means and includes Services of a general nature that shall be performed and provided throughout all Phases of this Agreement.
- F. BID PACKAGE: is a set of documents that contain the Statement of Work, specifications, a request for price, required schedule, drawings, and General and Supplementary conditions for a portion of the construction work.
- G. CONSTRUCTION DOCUMENTS: are approved final working drawings and specifications, and the General Conditions of the Contract for Construction, including General, Supplementary and other Conditions as may be developed for the Project, that set forth in detail all of the requirements for construction of the entire Project.

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- H. CONSTRUCTION MANAGER AT RISK (Contractor) (CM@R): is the Contractor selected to review and participate in the production of the Construction Documents and who agrees to perform the work identified in the Contract Documents. The Contractor shall solicit trade bids from trade contractors on a competitive basis and enter into contracts with these trade contractors to perform their trade work. The individual, partnership, corporation, association, joint venture, or any combination thereof, who has entered into a contract with the AOC to do the Work, identified as such in the Agreement, and referred to throughout the Contract as if singular in number. The term "Contractor" means the Contractor or the Contractor's representative.
- I. CONSTRUCTION PHASE: is the entire construction period for the Project and encompasses pre-construction-start meetings and ends with Final Acceptance by the AOC of all punch list items.
- J. CONSTRUCTION BUDGET: is the budget amount established by the AOC that represents the maximum authorized cost for the Direct Cost of the construction work, FF&E (modular and free-standing furniture, furnishings, and equipment), escalation, insurance, Contractor's Construction Phase Services and CM@R contingency. The Construction Budget does not include fees for professional architectural and engineering services, AOC inspection, testing and inspection services, or AOC contingency.
- K. CONTRACTOR (Construction Manager at Risk)(CM@R): is the individual, partnership, corporation, association, joint venture, or any combination thereof, who has entered into a contract with the AOC to do the Work, identified as such in the Agreement, and referred to throughout the Contract as if singular in number. The Contractor is selected to review and participate in the production of the construction documents and who agrees to perform the work identified in the Contract Documents. The Contractor shall solicit bids from trade subcontractors on a competitive basis and enter into contracts with these subcontractors to perform their trade work. The term "Contractor" means the Contractor or the Contractor's representative.
- L. CONTRACTOR (CM@R) CONTINGENCY: is the contingency identified in the Agreement which is to be used by the Contractor, upon AOC review, to pay for extra work due to conflicts, ambiguities or omissions in the Contract Documents or in the subcontractor bid packages. The contingency amount included in the GMAX shall be computed at 3% of the Direct Cost of the Work.
- M. CONTRACT SUM: is the Contract Sum is stated on the Coversheet as the "Total Amount Encumbered to Date", and includes any authorized adjustments made by Change Order, and is, at all times during the term of the Contract, the total amount payable by the State to the Contractor under the Contract Documents for all goods, services, and expenses rendered or to be rendered under the Agreement.

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- N. COURT: Superior Court of California, County of Fresno
- O. COVERSHEET: is the face page of the Agreement that includes the AOC as the contracting Entity, and also includes the “Total Amount Encumbered to Date”.
- P. DELIVERABLE: means and includes any tangible item provided or to be provided under this Agreement. A Deliverable does not include Services.
- Q. DESIGN DOCUMENT(s): mean and include written documents specifying the attributes, characteristics, and requirements of the building to be constructed, including its site, as specified in Exhibit G, the Project Program and as further developed and elaborated upon by the AOC’s Architect or Engineer throughout the design process described in this Agreement.
- R. DIRECT COST: shall mean costs necessarily incurred by the Contractor in the proper performance of the work in the construction phase, as set forth in Article 6.7.1 of Exhibit H, General Conditions of The Contract For Construction and in Exhibit J Maintenance Responsibilities During Construction Period.
- S. ENERGY EFFICIENCY MEASURES: are elements of the design that minimizes energy consumption, integrates passive and active design elements, while meeting the operational needs of the facility.
- T. FLOOR AREA: is a measurement of the design using methods and definitions set forth in the 1996 edition of the Building Owners and Managers Association publication titled “Standard Method for Measuring Floor Area in Office Buildings,” or such other standards as may be adopted by the AOC.
- U. FURNITURE VENDOR is a third party under contract with the AOC, if so retained, which may be responsible for providing furniture and equipment specifications, and for supplying and installing furniture and related items under a separate agreement (the “Furniture Procurement and Installation”) agreement.
- V. GENERAL CONDITIONS OF THE CONTRACT FOR CONSTRUCTION: is the AOC Document Exhibit H, General Conditions of The Contract For Construction (Document 00700), which is a part of the Contract between the AOC and the Contractor that determines the roles and responsibilities of the various parties during the Construction Phase and additionally those responsibilities for maintenance, as provided for in Exhibit J.
- W. GUARANTEED MAXIMUM PRICE (GMAX): is the maximum price that the AOC and the Contractor agree upon as payment for managing and for supplying and installing all the work as shown in the completed Construction Documents. The GMAX is the sum of the direct costs of the Contractor for construction of the Project, General and Supplementary Conditions, Performance and Payment Bonds, insurance other than coverage provided by the AOC provided owner controlled

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insurance program, Contractor fee for construction, Contractor overhead and profit, and Contractor Contingency. Contractor Preconstruction fees, fees for professional architectural and engineering services, inspection, testing services, modular and freestanding furniture (unless otherwise included and AOC contingency are not included in the GMAX.

- X. Not used.
- Y. MASTER PROJECT SCHEDULE: means a schedule document provided by the Contractor as specified in Exhibit A, Article A.3.
- Z. NIC (NOT AUTHORIZED IN CONTRACT): means that the Services for a particular Phase of the Work have yet to be authorized. Services so identified are within the scope of this Agreement, provided that the AOC authorizes said Phase.
- AA. PHASE: is a distinct portion of the Work to be provided under this Agreement, as specified in the Statement Of Work.
- BB. PRELIMINARY PLAN PHASE: is the initial design phase, typically developed in two distinct stages, Schematic Design and Design Development.
- CC. PRE-SCHEMATIC / STUDY PHASE: is a pre-design phase that typically includes program development and security risk assessment.
- DD. PROJECT: means and includes the Work specified this Agreement, as necessary to provide for the construction specified in Exhibit G, Project Program.
- EE. PROJECT REQUIREMENT(S): means and includes the written requirements pertaining to the Project that are provided in Exhibit G, the Project Program.
- FF. RECORD DOCUMENTS: are the Construction Documents, amended to show the Project as it was constructed. Record Documents include any significant changes or clarifications to the Construction Documents resulting from the construction process.
- GG. SERVICE: means and includes obligations that are performed or are to be performed under this Agreement. A Service may or may not result in the provision of Deliverable(s).
- HH. STATE (AOC): is the Judicial Council of California, Administrative Office of the Courts.
- II. STOP SERVICES ORDER: is a written notice, delivered in accordance with this Agreement, by which the AOC may require the Contractor to stop all, or any part, of the Services under this Agreement, for the period set forth in the Stop Services Order. The Stop Services Order shall be specifically identified as such and shall

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indicate that it is issued pursuant to the Stop Services provision in section C.12 of Exhibit C.

- JJ. **SUBCONTRACTOR:** is any third party, individual, partnership, corporation, association, joint venture, or any combination thereof, that has entered into a contract with the Contractor or who serves as an agent of Contractor in performance of the Work.
- KK. **SUSTAINABLE BUILDING MEASURES:** are elements of the design that result in minimizing pollution, resource waste, and environmental impacts associated with facility construction operation and, if applicable, demolition.
- LL. **WORK:** means and includes the provision of Services and/or Deliverables under this Agreement.
- MM. **WORKING DRAWING PHASE:** is a phase that includes working drawings, technical specifications, addenda, general conditions, supplementary conditions, bidding requirements, the bid proposal developed to set forth in detail all aspects of the design, function and construction, and the bidding of the Project.

### **3. Schedule Of Work**

The schedule applicable to the provision of the Services under this Agreement is provided in Exhibit A of Attachment A – the contract schedule (“Contract Schedule”). Contractor agrees that said schedule is subject to modification based upon the requirements of the project and project participants’ input into realistic, achievable completion dates. Actual start and completion dates will be inserted for each Phase as this Agreement is amended to authorize subsequent Phases.

### **4. Basic Services**

#### **A. General**

Contractor agrees to provide or perform, as Basic Services, the Services and tasks set forth in this section A.4 and any other services that are necessary, normal, customary, or incidental to the performance of Contractor’s responsibilities under any Phase of this Agreement.

Contractor agrees to:

1. Provide sufficient number(s) of specialists and other workers with requisite skills and experience as appropriate for the successful completion of the Project.
2. Perform the Services in collaboration with the AOC, the Court, the AOC’s selected Architect(s) and/or Engineer(s), and other third parties as identified by the AOC.



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3. Prepare, organize, and distribute monthly progress reports in a timely manner in a format acceptable to the AOC.
4. Conduct Project Status Meetings with the AOC, Court representatives, other third party professionals and consultants working with the AOC, and/or State or local agencies as needed and directed by the nature of the work or as directed by the AOC during the course of the Work. The frequency and location of the Project status meetings will be as agreed with the AOC, however, Project Status Meetings shall be held not less than on a monthly basis. The location of the meetings will typically be in the locale of the Project or at the AOC's Fresno Office unless otherwise agreed.
5. Review and analyze drawings and documents prepared by AOC consultants, and make recommendations to the AOC regarding such documents.
6. Review the geotechnical investigation and report on the selected site as directed by the AOC.
7. Develop, maintain, and regularly update a Master Project Schedule of Project activities as applicable to the Project. The Master Project Schedule shall include, but not be limited to: Project design and construction activities; due dates of contractual obligations; Project meetings; dates for submission for required milestones; CEQA mitigations, actions, and deadlines; Peer and Constructability Reviews; review times assumptions; property acquisition, and escrow closing deadlines; dates for AOC or agency submittals, reviews, and/or approvals including the Interim Facilities Panel, Judicial Council, Department of Finance, and Public Works Board review and approval meetings; Peer Reviews; Access Compliance and State Fire Marshal review submittals and response to comments; 'back-check' submittals and approvals; bidding activities and approvals and the development of the GMAX; Notice to Proceed for Construction Phase; activities and milestones during construction; Commissioning Activities; Furniture, Fixtures and Equipment ordering, delivery, outfitting, and installation; technology, communications, and A/V equipment ordering, delivery, outfitting and installation; punchlist preparation, punchlist work, and punchlist sign-off; move-in, occupancy, and initiation of Court operations; and Project Closeout. This schedule shall be reviewed with the AOC at all project meetings, must be approved by the AOC, and shall be updated by Contractor at each submittal. Contractor shall incorporate appropriate detailed design phase information from the schedule prepared by the Architect. The Master Schedule shall be in a Gantt chart format prepared using the latest version of Primavera, unless otherwise agreed by the AOC. The Contractor shall provide an updated Master Project Schedule to the AOC within ten (10) days of commencement of each Phase and at other times when significant changes are made to the schedule or as requested by

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the AOC.

8. Provide all Deliverables and Project correspondence in Adobe Acrobat.pdf format, Microsoft Word.doc format, and AutoCAD.dwg format, as indicated in this Agreement, or as agreed upon with the AOC, throughout the term of this Agreement.
9. Provide estimated construction cost breakdowns of the Project per the requirements of this Section 4 Subsection B.
10. Attend milestone review meetings with the AOC and Project team immediately before commencing each Project phase listed in section A.4 of this exhibit. At the milestone review meetings, assist the AOC in identifying goals for the upcoming work, examine the performance of the Project team against the goals in the preceding phase, and propose corrective measures as necessary or appropriate.
11. Conduct value analysis and, constructability reviews and peer review workshops; provide documentation of the findings and action items from each activity; maintain a database of actions taken or resolution of each finding or action item.
12. Document and Consult with the AOC if the Contractor becomes aware of deficiencies, errors or omissions in the Construction Documents for the Project developed by the Architect or the AOC regardless of whether the deficiency became apparent before or after final approval of the Construction Documents by the AOC, Architect, and the Contractor at the end of the Working Drawings Phase and suggest satisfactory methods for correction of such deficiencies.
13. Assist the Architect in providing Construction Documents which, at a minimum, reflect compliance with AOC standards and the Project Programs; and assist the AOC by advising of any perceived non-conformance to applicable statutes, building codes, regulations, rules, guidelines, and requirements.
14. Monitor, and obtain where responsible, construction-related approvals, including, but not limited to, written approvals by the State Fire Marshal, California Corrections Authority, and the Division of the State Architect (“DSA”) Access Compliance Unit.
15. Provide all necessary materials, facilities, and ancillary services (such as cleanup) necessary for provision of the Services not being provided by the Subcontractor(s) when necessary for the performance of the Services during construction and for completion of the construction.

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16. Provide a written description of Contractor's quality control program ("QC Program") commencing with the Preliminary Plan Phase. The QC Program shall be designed to advance the goal of achieving a quality Project, within schedule and budget, in compliance with the terms of this Agreement, In conjunction with the Contractor's QC Program, and prior to the commencement of any demolition or construction, Contractor shall provide a written Project Safety Plan which shall describe how the Contractor will protect the building occupants at all times. Contractor shall submit the QC Program to the AOC within 20 days of commencement of each phase. The AOC shall have the right to review the QC Program, and use of said program is subject to the AOC's written approval. At a minimum the following shall apply:

- (i) The QC Program shall cover all activities affecting quality performed by Contractor and Contractor's Subcontractors.
- (ii) The Contractor shall provide the AOC access to its records documenting implementation of the QC Program ("QC Records"). Contractor shall retain and maintain identifiable, legible, and retrievable QC Records for the duration of the Project. Contractor shall submit QC records to the AOC upon the completion of each phase of the work.
- (iii) As part of its QC Program, and at a minimum the Contractor shall ensure that all drawings and specifications shall be reviewed and checked by at least one professional trained in the same discipline as the professional who prepared the drawings and specifications, with the goals of:
  - (a) Advising AOC of the completeness of the drawings and specifications;
  - (b) Assuring a high level of construction quality; and
  - (c) Avoiding change orders to construction contracts, which are caused by conflicts, ambiguities, inaccuracies, and deficiencies in the construction drawings and specifications.
- (iv) The QC Program will identify the specific methodology that will be used to cross-check drawings of the various disciplines for completeness and accuracy at each submittal stage.

B. Preliminary Plan Phase:

- 1. During this phase Contractor shall, in coordination with the AOC, the Architect or Engineer and other third parties (as necessary and authorized by the AOC), provide the following:

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- (i) Constructability Reviews: After reviewing the Feasibility Report and in consultation with the AOC and the Architect, the Contractor shall make recommendations and provide information and cost comparisons regarding construction materials, methods, systems, and phasing, to ensure efficient construction and best use of the construction budget to meet the prioritized goals. After reviewing all design documents for completeness and coordination, the Contractor shall make appropriate recommendations cost comparisons regarding, construction materials and methods, to ensure efficient construction. Constructability Review shall be conducted on the Final Program Document, 100% Schematic Design and 100% Design Development documents.
- (ii) Not used
- (iii) Value Analysis: Contractor shall conduct value analysis workshops at 100% Schematic Design and 100% Design Development stage. Contractor is responsible for confirming, at the end of each stage, in writing to the AOC, that all Project and construction costs have been identified. Contractor shall lead the activities of the AOC, Architect, and other project participants in a value analysis and verify the cost-effectiveness of the design. Contractor shall demonstrate to the satisfaction of the AOC and shall certify in writing to the AOC, that the Design Documents and/or Construction Documents, at the end of each of these stages, are in conformance with the requirements of the Project Program and quality standards set by the AOC, and that Contractor's current total cost estimate for construction of the Project is equal to or less than the Construction Budget.
- (iv) Cost Control Management: Contractor shall prepare, based upon Design Documents prepared by the Architect or Engineer and identified by the AOC, its own cost estimate of the total construction cost of the Project at several times, as specified in this SOW. Contractor shall compare their cost estimate with the cost estimate independently prepared by the Architect or Engineer for these same design documents and endeavor to resolve discrepancies in the estimates to the satisfaction of the AOC, and with the goal that both cost estimates are less than or equal to the AOC's Construction Budget. Contractor shall recommend, if necessary, appropriate modifications of the Design Documents to lower both the Contractor's and the Architect or Engineer's independent estimates to amounts equal to or lower than the Construction Budget. Contractor's cost estimates shall be provided according to ASTM Unifomat II standards and as specified below, and arranged in Unifomat format (a building systems organization format). Construction cost estimates

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shall be developed/updated and submitted as a part of each of the following submittals:

- (a) 100% Final Program Document, 50% and 100% Schematic Design and 50% and 100% Design Development; Uniform format elemental categories and detailed to Level 3;
- (b) Each cost estimate shall:
  - (1) Reflect the best professional estimate of actual costs anticipated.
  - (2) Establish internal estimating allowances, consistent with good professional practice, appropriate to the phase of development. Larger allowances are assumed held at early phases gradually diminishing to zero at completion of final cost estimate.
  - (3) Adjust reported cost values to contract ENR CCCI value. Do not advance costs to the estimated start of construction, mid-point of construction or to present day values unless otherwise directed by the AOC. Questions regarding the calculation of ENR CCCI values shall be reviewed with the AOC Project Manager.
- (v) Authorization to proceed with each succeeding step in the design process is contingent upon the AOC's written Acceptance of both the Architect or Engineer's and Contractor's independent cost estimates, which when evaluated separately, must both be equal to or less than the Construction Budget.
- (vi) Life Cycle Cost Analysis. A Life Cycle Cost Analysis shall be performed/updated on design alternatives for building enclosure, HVAC, and Electrical (normal and low-voltage) systems at 100% Schematic Design and 100% Design Development, and submitted to the AOC.

Life Cycle Cost Analysis shall include, but is not limited to:

- Initial cost of system;
- Energy consumption costs, based on the energy analysis prepared by the Architect;
- Maintenance and custodial costs;
- Life expectancy (may require life expectancy of subsystems)

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- Replacement costs (if applicable)
  - Total cost of ownership over twenty-five (25) years.
2. Approvals: Contractor shall monitor all regulatory approvals required during the Preliminary Plan Phase.
  3. Upon successful provision of all Deliverables and Services of the Preliminary Plan Phase, The AOC will issue a written communication that the Preliminary Plan Phase is complete.
- C. Working Drawing Phase: (NIC)
1. The AOC shall have the option of authorizing the Working Drawings Phase. If authorized, the Contractor shall in coordination with the AOC, the Architect or Engineer, and other third parties (as necessary and authorized by the AOC), provide the following:
    - (i) Value Analysis: Conduct value analysis workshops at 50% and 90% Working Drawing stages to confirm that all project and construction costs have been identified. Lead the activities of AOC, Architect, and other project participants in the value analysis and verify the cost-effectiveness of the design and the conformance of the design or construction documents to the Project budget program, and quality standards set by the AOC.
    - (ii) Life Cycle Cost Analysis A Life Cycle Cost Analysis shall be updated on design alternatives for building enclosure, HVAC, and Electrical (normal and low-voltage) systems at 50% Working Drawing stage, and submitted to the AOC.

Life Cycle Cost Analysis shall include, but is not limited to:

      - Initial cost of system;
      - Energy consumption costs, based on the energy analysis prepared by the Architect;
      - Maintenance and custodial costs;
      - Life expectancy (may require life expectancy of subsystems)
      - Replacement costs (if applicable)
      - Total cost of ownership over twenty-five (25) years.

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- (iii) Constructability Reviews: After reviewing all design documents for completeness and coordination, the Contractor shall make recommendations and provide information and cost comparisons regarding construction materials, methods, systems, and phasing, to ensure efficient construction. Constructability reviews shall be conducted on 50% and 90% Working Drawing documents.
- (iv) Cost Control Management: Contractor shall prepare, based upon Design Documents prepared by the Architect or Engineer and identified by the AOC, its own cost estimate of the total construction cost of the Project at several times, as specified in this SOW. Contractor shall compare their cost estimate with the cost estimate independently prepared by the Architect or Engineer for these same design documents and endeavor to resolve discrepancies in the estimates to the satisfaction of the AOC, and with the goal that both cost estimates are less than or equal to the AOC's Construction Budget. Contractor shall recommend, if necessary, appropriate modifications of the Design Documents to lower both the Contractor's and the Architect or Engineer's independent estimates to amounts equal to or lower than the Construction Budget. Contractor's cost estimates shall be provided according to ASTM Uniformat II standards and as specified below, and arranged in Uniformat format (a building systems organization format). Construction cost estimates shall be developed/updated and submitted as a part of each of the following submittals:
- (a) Working Drawings;
- (1) 50% milestone; Uniformat format elemental categories and detailed to Level 4;
  - (2) 90% milestone; Uniformat format elemental categories and detailed to Level 4 and additionally in CSI format.

Each cost estimate shall:

- Reflect the best professional estimate of actual costs anticipated.
- Establish internal estimating allowances, consistent with good professional practice, appropriate to the phase of development. Larger allowances are assumed held at early phases gradually diminishing to zero at completion of final cost estimate.
- Adjust reported cost values to contract ENR CCCI value. Do not advance costs to the estimated start of construction, mid-point of construction or to present day values unless otherwise directed by the AOC. Questions regarding the calculation of ENR CCCI values

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shall be reviewed with the AOC Project Manager.

- (v) Develop Supplementary Conditions (with AOC and Architect participation and subsequent AOC written approval) that address the Project conditions, modify the General Conditions as appropriate and as agreed upon by the AOC.
  - (vi) Authorization to proceed with each succeeding step in the design process is contingent upon the AOC's written Acceptance of both the Architect or Engineer's and Contractor's independent cost estimates, which when evaluated separately, must both be equal to or less than the Construction Budget.
  - (vii) Approvals: Contractor shall monitor all regulatory approvals required during the Working Drawing Phase.
  - (viii) Contractor shall provide the Master Schedule for Construction of the Project, which shall, unless modified by a subsequent amendment to this Agreement, be completed on or before nine hundred seventy (970) calendar days from the date of Notice to Proceed with Construction. The Master Schedule for the Construction Phase of the Project shall be provided to the AOC, and is subject to the AOC's written approval. Preparation of the Master Schedule for the Construction Phase will take into consideration sufficient time for the AOC to authorize said stage, including any time necessary for the AOC to obtain approval of funding.
2. Upon successful completion of all activities and the successful provision of all deliverables of the Working Drawings Phase specified above, the AOC, the Architect, and the CM shall, in a written and signed document, designate the names, versions, and revision numbers of the final Construction Documents and Master Schedule for the Construction Phase of the Project.
  3. Upon the AOC's written approval of the final Design Documents, the Design Documents are incorporated into and become an integral part of the Construction Documents, and upon approval of the Master Schedule applicable to the Construction Phase, the Contractor is authorized to begin the activities of the Subcontractor Bid Package stage:
  4. Subcontractor Bid Package Stage

The AOC shall be provided, in writing, with a plan for the division of the construction activities of the Construction Phase work into bid packages.

- (i) Bid packages shall be logical, inclusive and distinct.
- (ii) Bid packages shall be sufficiently comprehensive to secure



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competitive bids for provision of all of the Construction Phase work of the Project, as documented in the approved Construction Documents.

- (iii) Each bid package shall include a statement of work specifying all work to be performed by that subcontractor for the portion of the work as shown in the Construction Documents to be solicited, and shall include a schedule or due dates that requires the performance of the work within the timeframe envisioned for such work in the Master Project Schedule for the Construction Phase of the Project. Bid packages shall only solicit fixed price bids or Time and Materials bids with a fixed not-to-exceed amount.
- (iv) Individual packages shall, if the AOC so directs, include a number of additive or deductive alternates acceptable to the AOC. If the bid packages developed include alternates that require the selection and use of particular other alternate(s) in order to ensure the constructability of the Project, the Contractor shall identify them, in writing, to the AOC.
- (v) Each bid package shall, at a minimum, include any flow down provisions of this Agreement, including but not limited to Article 4 and Article 11, section 11.2 of Exhibit H, General Conditions Of The Contract For Construction (Document 00700) applicable to the Subcontractor's performance for the Contractor.
- (vi) If the AOC elects to provide the Construction Phase insurance by an owner controlled insurance program (OCIP) each bid package shall include a description of the OCIP and the subcontractor's responsibilities to comply with its provisions.
- (vii) If appropriate, the Master Project Schedule will be provided in trade Contractor bid package. The Trade bid package shall include sufficient information regarding the timing of work being bid to ensure that the Project can be constructed within the approved Master Schedule for the Construction Phase of the Work, and shall provide terms and conditions that will inform prospective Subcontractors that they will be bound to performance within such time periods.
- (viii) Contractor may include, in the bid packages, legal terms and conditions standard to the Contractor for the type and duration of the Subcontractor engagements contemplated by this Agreement, however, such terms and conditions shall not be such that they shall be considered onerous and likely to result in higher bid prices.
- (ix) All bid packages shall be provided to the AOC as a single deliverable,

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and are subject to review by the AOC.

- (x) Notwithstanding AOC's review of the bid packages, Contractor warrants the bid packages developed shall conform to the provisions of this Agreement. Any omissions, errors, or ambiguities in the bid packages shall be construed against the Contractor and in favor of the AOC.
5. Bidding of the Project: Upon written approval of the AOC, Contractor shall competitively bid the subcontractor bid packages and shall comply with the applicable state statutes and the Exhibit H, General Conditions Of The Contract For Construction (Document 00700) and the Supplementary Conditions as agreed upon by the AOC and Contractor. Contractor shall:
- (i) Advertise in trade venues acceptable to the AOC, including venues in the local Project area. Local advertising and other outreach should encourage participation of local subcontractors and vendors in the prequalification process. The Contractor shall solicit qualifications from a sufficient number of subcontractors for each bid package to ensure at least 3 qualified subcontractors result from this solicitation. Contractor shall prequalify at least three (3) qualified subcontractors for each bid package, and present such evidence of prequalification to the AOC.
  - (ii) When the AOC has agreed in writing that at least 3 Qualified Subcontractors for a bid package have been selected, issue said bid package to the prequalified subcontractors.
  - (iii) Receive bids for bid packages. Verify completeness of each bid submittal. Verify that the proposer has agreed to be bound by the flow down terms and provisions. Verify that the proposer has agreed to perform within a period of time that will allow completion of the Project in accordance with the Master Schedule. Provided that the bid complies with all of the above, the bid shall be considered a conforming bid. If insufficient conforming bids are received, unless otherwise directed in writing by the AOC, Contractor shall repeat steps (i) and (ii) above until three (3) conforming bids have been received.
  - (iv) When sufficient conforming bids have been received, the Contractor, under the observation of the AOC and the Architect, shall identify that combination of bids and alternates as the AOC may elect to accept that has lowest cost while ensuring the constructability of the Project.
  - (v) If the combination of bids and AOC-accepted alternates and all direct

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costs of the Contractor for construction of the Project including General and Supplementary Conditions, Performance and Payment Bonds, Contractor fee for construction, Contractor overhead and profit, Allowance for Furniture, Fixtures and Equipment and Contractor contingency results in a GMAX that is less than or equal to the Construction Budget plus 10%, the AOC shall have the option to proceed with the Construction Phase of the Project. Contractor shall, upon authorization of the Construction Phase by the AOC, provide the Construction Services. Contractor shall warrant the Subcontractor bid packages against ambiguities, conflicts, or omissions in, and guarantee to the AOC that the total Project shall be built for the available construction budget where the aggregate of all trade contractor bids, including any authorized alternatives, shall be less than, but close to, the construction budget as may have been modified by the AOC.

- (vi) If the GMAX exceeds the Construction Budget plus 10%, the AOC shall have the option to terminate this agreement, provide additional funds as required to authorize the Project, or, at the AOC's option and as an negotiated service, have the Architect or Engineer and Contractor repeat the appropriate and necessary activities of the Working Drawings Phase, with the goal of modifying the Design Documents or period of proposed construction to reduce the total cost of the resultant combination of bids and alternates to less than or equal to the Construction Budget. Contractor shall endeavor to mitigate any time lost due to rebids or due to the time needed for the AOC to obtain any additional funding when revising the Master Schedule for the Construction Phase of the Project. This re-bidding process may, if the resultant combination of bids and alternates having the lowest total cost exceeds the Construction Budget plus 10% be repeated a second time at the discretion of the AOC, and the AOC shall have the same options specified above.
  - (vii) If the second re-bid fails to produce a total construction cost less than or equal to the Construction Budget plus 10%, this Agreement may be terminated by the AOC.
  - (viii) In the event of termination, Contractor shall be paid in full for all Services provided through the end of the Working Drawing Phase, and neither party shall have any further claims or liability for damages to the other with regard to the Services so provided.
6. Contractor agrees to, upon authorization by the AOC, execute an amendment to this Agreement authorizing performance of the Construction Phase of the Project for a GMAX, as defined in this Agreement.

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7. When requested by the AOC, the Contractor will respond to Public Record Act (PRA) requests for all PRA requests initially submitted to the AOC or the Contractor. The Contractor will provide the AOC with documentation of their response to any PRA request.

D. Construction Phase: (NIC)

1. Upon AOC's decision to authorize the Construction Phase of this Agreement, Contractor agrees to execute an Amendment to this Agreement with all of its exhibits and attachments completed in accordance with the approved Construction Documents and the Master Schedule which shall include Exhibit H. Contractor agrees that it shall provide the Construction Services and shall be responsible for the construction of the Project and provision of the Construction Phase Services, in accordance with this Agreement and the terms and conditions of Exhibit H, according to the schedule specified in the Master Schedule. Contractor shall be paid not more than the GMAX price for the provision of the construction and said Services. Payments will be made in accordance with Exhibit B and H as applicable.
2. Contractor agrees that it shall utilize the Subcontractors responsible for the bid / alternates selection that resulted in the GMAX price to perform the Construction work. If the value of the subcontract is greater than one half of one percent of the GMAX, then that Subcontractor shall be a listed subcontractor as required by the Public Contract Code, section 4100 et seq and Exhibit E shall be amended to document as Subcontractors.
3. Contractor shall enter into contracts with the accepted low responsive Subcontractor bidders for each bid package and proceed with the provision of the Construction Phase Services and Construction Work, according to the provisions of the bid packages and Exhibit H.
4. The Contractor shall conduct a preconstruction conference with the subcontractors, Architect, Inspector of Record, AOC Project Manager, OCIP Administrator (if elected by AOC) and other appropriate persons. Services include preparation of meeting agenda, preparation of construction procedures for clarifications, change orders, shop drawings, progress payments, field testing and inspection, safety program, OCIP, labor compliance program, and preparation and distribution of preconstruction conference notes.
5. Following each Project status meeting during the Construction Phase, Contractor shall prepare, organize, and distribute in a timely manner, meeting notes and lists of accomplishments and action items for review, comment, and use.

**Exhibit A of Attachment A**

CONTRACT SCHEDULE

E. **Preliminary Plan Phase**

**Program Definition Phase:**

Start Date: March 17, 2011

Completion Date: August 26, 2011

**Schematic Design Phase:**

Start date: August 29, 2011

Completion Date: December 6, 2011

**Design Development Phase:**

Start Date: December 7, 2011

Completion Date: April 26, 2012

F. **Working Drawings Phase - NIC**

1. Estimated start date: May 2012
2. Estimated completion date of 50% Construction Documents:  
2012
3. Estimated completion date of 100% Construction Documents:  
Fall 2012
4. Bidding Phase Services: Estimated start date: Fall 2012  
Estimated completion date: Late 2012

G. **Construction Phase - NIC**

1. Estimated start date of Construction: January 2013
2. Estimated completion date of Construction: fall 2015

*END OF EXHIBIT A*

**Exhibit B of Attachment A**

**PAYMENT PROVISIONS**

**1. Contract Amount**

The total amount the AOC may pay the Contractor under this Agreement will not exceed the Contract Amount of \$ \_\_\_\_\_ as set forth in this Exhibit.

**A. Compensation – Preliminary Plans and Working Drawing Phase Services**

1. The compensation for all Services provided for the following Phases shall be a firm, fixed price as follows which includes all travel and living expenses and any other costs incidental to providing the Services.

- (i) Preliminary Plan/Schematic Phase \$ \_\_\_\_\_
- (ii) Preliminary Plan/Design Development \$ \_\_\_\_\_
- (iii) Pre-Construction Pre-Maintenance Phase-in \$ \_\_\_\_\_
- (iv) Working Drawing Phase (NIC) \$ \_\_\_\_\_

**B. Compensation – Construction Phase Services (NIC)**

1. The compensation for all Services with regard to this Phase shall be at the maximum price that follows:

- (i) Direct Cost of the work (estimated) \$ \_\_\_\_\_  
(See Attachment H, Article 6.7.1.)

Construction phase services  
(See Exhibit H, Article 6.7.2.  
Based on \_\_\_\_% x \$ \_\_\_\_\_  
Estimated Direct Cost of the Work)

Contractor Contingency  
Based on 3% of Direct Cost \$ \_\_\_\_\_

Guaranteed Maximum Price  
(Sum of Direct Cost, construction phase services,  
and contractor contingency) \$ \_\_\_\_\_

Maintenance Services During Construction  
(See Attachment J, Based on \_\_\_\_% x  
(Estimated Direct Cost of the Maintenance) \$ \_\_\_\_\_

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- (ii) In the event that Direct Cost of work as result of accepted bids and alternates varies from the amount shown in (i) above, only the Contractor Contingency shall be recalculated by the same percentage as stated above. The Construction phase services fee shall remain unchanged.

C. Allowance for Permit Fees

- 1. The Contractor shall secure and pay for, and the AOC shall compensate Contractor for the permits, fees, and services specified as “Paid by State” in the Miscellaneous Project Costs section of Attachment C.

D. Payment of Liquidated Damages

- 1. The liquidated damages for the Contractor’s failure to complete Work of the Project within the construction duration as agreed and determined at the commencement of the Project pursuant to Exhibit H, General Conditions of The Contract for Construction (Document 00700) Section 7.3 Liquidated Damages is \$2,000.<sup>00</sup> per calendar day. Liquidated Damages will not apply to Maintenance Phase-out.

**2. Method of Payment**

A. Method of Payment – Preliminary Plan and Working Drawing Phase Services

- 1. The Contractor shall submit an invoice, in a form provided by or approved by the AOC, to the address specified below for the Work successfully completed and approved for that month, billed as a percentage of the total fixed price for the Services of that Phase.

Upon receipt of the invoice, AOC will either approve the invoice for payment or give the Contractor specific written reasons why part or all of the payment is being withheld and what remedial actions the Contractor must take to receive the withheld amount.

- 2. Such invoices shall clearly indicate:
  - (i) The Contract number;
  - (ii) A unique invoice number;
  - (iii) The Contractor's name and address;
  - (iv) Taxpayer identification number;
  - (v) Name of the Phase of the Project being invoiced;

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- (vi) Brief description of the Work performed in the billing period;
- (vii) Percentage of the Phase being billed in the invoice as a percent and in dollars;
- (viii) Amount of Retention to be withheld from the invoice;
- (ix) Net amount to be paid for the invoice;
- (x) Percentage of the total Phase billed to date, expressed as a percent and in dollars;
- (xi) Total amount of Retention withheld to date.
- (xii) Preferred remittance address, if different from the mailing address;
- (xiii) The original signature of the authorized representative of the Contractor.

3. Retention:

The AOC shall withhold payment of an amount equal to 10 percent from all payments made for invoices submitted as above and paid. Upon successful completion of all of the activities and provision of all deliverables of a Phase, Contractor shall submit an Acceptance and Signoff Form (Exhibit D) detailing the amount of each individual retention, with a total of all retentions, to the Project Manager. The AOC's Project Manager shall review the Acceptance and Signoff Form, and, applying the Acceptance Criteria, will either approve the Form in full, or give the Contractor specific written reasons why approval is being withheld, and return to the Contractor. Upon receipt of an AOC signed Acceptance and Signoff form, the Contractor shall submit an invoice for the retentions to the address specified below.

Such invoices shall clearly indicate:

- (i) The Contract number; \_\_\_\_\_
- (ii) A unique invoice number;
- (iii) The Contractor's name and address;
- (iv) Taxpayer identification number;
- (v) Name of the Phase for which the retentions are being invoiced;



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- (vi) Amounts of each individual retention, with a total of all retentions;
- (vii) Preferred remittance address, if different from the mailing address;
- (viii) The original signature of the authorized representative of the Contractor.

**B. Method of Payment - Construction Phase**

- 1. Refer to the Exhibit H, General Conditions Of The Contract For Construction (Document 00700).

**C. Invoices furnished by the Contractor under this Agreement must be in the form specified above and must be submitted for approval to:**

[tbd] , Project Manager  
Office of Court Construction and Management  
Administrative Office of the Courts  
2424 Ventura Street  
Fresno, CA 93721

- D. The AOC will endeavor to pay invoices within thirty (30) days after receipt of a correct, itemized invoice. In no event shall the AOC be liable for interest or late charges for any late payments.
- E. Payment shall be made by the AOC to the Contractor at the address specified on the invoice.
- F. The AOC may withhold full or partial payment to the Contractor in any instance in which the Contractor has failed or refused to satisfy any material obligation provided for under this Agreement.

**3. Disallowance**

If the Contractor claims or receives payment from the AOC that is later disallowed by the AOC, the Contractor shall promptly refund the disallowed amount to the AOC upon the AOC's request. At its option, the AOC may offset the amount disallowed from any payment due or that may become due to the Contractor under this Agreement or any other agreement.

**4. Payment Does Not Imply Acceptance of Work**

The granting of any payment by the AOC, or the receipt thereof by the Contractor, shall in no way lessen the liability of the Contractor to correct unsatisfactory work in

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connection with this Agreement.

**5. Release of Claims**

The acceptance by the Contractor of its final payment due under this Agreement shall be and shall operate as a release to the State and the AOC of all claims and all liability to the Contractor for everything done or furnished in connection with this Agreement (including every act and neglect of the AOC), with the exception of any claims that are expressly identified by the Contractor as outstanding as of the date of Contractor's submission of Contractor's final application for payment. Contractor's failure to identify any such claims shall operate as a release of all claims.

*END OF EXHIBIT B*

**Exhibit C of Attachment A**

**GENERAL TERMS AND CONDITIONS**

**1. Effective Date of Agreement**

This Agreement is effective on the Effective Date set forth on the Agreement Coversheet; however, the Contractor is not authorized to begin work until the AOC delivers a written "Notice to Proceed" to the Contractor. The AOC will issue the Notice to Proceed only after the Contractor delivers evidence of insurance to the AOC that is consistent with the insurance requirements in this Agreement. If the Contractor begins work before delivery of the Notice to Proceed, that work will be at the Contractor's risk and expense and subject to all terms and conditions of this Agreement except those terms and conditions inconsistent with the Contractor's assumption of that risk and expense. If a Notice to Proceed is delivered, then work performed before delivery will be treated for all purposes as though it were performed after delivery.

**2. Submitting False Claims; Monetary Penalties**

The AOC shall be entitled to remedy any false claims, as defined in California Government Code section 12650 *et seq.*, made to the AOC by the Contractor or any Subcontractor under the standards set forth in Government Code section 12650 *et seq.* Any Contractor or Subcontractor who submits a false claim shall be liable to the AOC for three times the amount of damages that the AOC sustains because of the false claim. A Contractor or Subcontractor who submits a false claim shall also be liable to the AOC for (a) the costs, including attorney fees, of a civil action brought to recover any of those penalties or damages, and (b) a civil penalty of up to \$10,000 for each false claim.

**3. Responsibility for Equipment and Real Property**

The AOC shall not be responsible for any damage to persons or property as a result of the use, misuse, or failure of any equipment used by the Contractor, or by any of its employees or agents, even though such equipment is furnished, rented, or loaned to the Contractor by the AOC.

**4. Independent Contractor**

- A. Independent Contractor. The Contractor shall be, and is, an independent contractor, is not an employee or agent of the AOC, and is not covered by any employee benefit plans provided to the AOC's employees. The Contractor is, and shall be, liable for its own acts and omissions as well as those of its employees, its Subcontractors and its agents. Nothing in this Agreement shall be construed as creating an employment or agency relationship between the AOC and the Contractor. Unless otherwise specified in this Agreement, the Contractor will determine the method, details and means of performing its responsibilities with regard to the Services, including, without limitation, exercising full control over the employment, direction, compensation and discharge of all persons

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assisting the Contractor in the performance of the Services. The Contractor shall be solely responsible for all matters relating to the payment of its employees, including compliance with social security, withholding, any and all employee benefits, and all regulations governing such matters.

- B. Payment of Income Taxes. The Contractor shall pay, when due, all applicable income taxes, including estimated taxes, incurred as a result of the compensation paid by the AOC to the Contractor for the Services. The State is exempt from federal excise taxes and no payment will be made for any taxes levied on the Contractor's or any Subcontractor's employees' wages. The Contractor agrees to indemnify, defend and hold the AOC harmless for any claims, costs, losses, fees, penalties, interest or damages (including attorney fees and costs) suffered by the AOC resulting from the Contractor's failure to comply with this provision. The AOC may offset any taxes paid by the AOC as a result of the Contractor's breach of this provision.

**5. Contractor's Key Personnel**

- A. The Contractor shall use adequate numbers of qualified individuals with suitable training, education, experience and skill to perform the Services. The Contractor has been selected to perform the Services herein, in part, because of the skills and expertise of the key individuals and/or firms (collectively "Contractor's Key Personnel") that are listed in Exhibit F. Substitution or replacement of the individuals and/or firms identified in Exhibit F is not allowed except with written approval of the AOC
- B. If the designated lead or key person fails to perform to the satisfaction of the AOC upon written notice, the Contractor will have fifteen (15) calendar days to remove that person from the Project and replace that person with one acceptable to the AOC. All lead or key personnel for any Subcontractor must also be designated by any Subcontractor and are subject to all conditions stated in this section.
- C. The Contractor shall be responsible for all costs associated with replacing any of Contractor's Key Personnel, including the additional costs to familiarize replacement personnel with the Services. If the Contractor does not furnish replacement personnel acceptable to the AOC, the AOC may terminate this Agreement for cause.
- D. Prior to the authorization of any Phase of the Agreement, the parties will agree upon any Key Personnel applicable to that Phase. Said personnel shall be documented in Exhibit F.

**6. Standard of Care**

The Contractor, its officers, agents, employees, Subcontractors, consultants and any persons or entities for whom Contractor is responsible, shall provide all Services pursuant to this Agreement in accordance with the requirements of this Agreement and in a manner consistent with the standard of care under California law applicable to those who specialize in providing such services for projects of the type, scope, and complexity of the Project. The AOC's Acceptance of any submittals, deliverables, or other work product of the Contractor shall not be construed as assent that Contractor has complied, nor in any way relieve the Contractor of, compliance with (i) the applicable standard of care or (ii) applicable statutes, regulations, rules, guidelines, and requirements.

**7. AOC's Quality Assurance Plan**

The AOC or its agent may evaluate Contractor's performance under this Agreement. Such evaluation may include assessing Contractor's compliance with all Agreement terms and performance standards. Any deficiencies in the Contractor's performance that the AOC determines are severe or continuing and that may place performance of the Agreement in jeopardy if not corrected, will be reported to the Contractor's principal. The report may include recommended improvements and corrective measures to be taken by the Contractor. If the Contractor's performance remains unsatisfactory, the AOC may, without limitation, terminate this Agreement for cause or impose other penalties as specified in this Agreement. Any evaluation of Contractor's performance conducted by the AOC shall not be construed as an Acceptance of the Contractor's work product or methods of performance. Contractor shall be solely responsible for the quality, completeness, and accuracy of the work product that Contractor and its Subcontractors deliver under this Agreement. Contractor shall not rely on AOC to perform any quality control review of Contractor's work product, as such review shall be conducted by Contractor.

**8. Subcontracting and Employee Qualifications**

- A. The Contractor is prohibited from subcontracting this Agreement or any part of it, except to the Subcontractors set forth in Exhibit E, unless such subcontracting is first approved by the AOC in a written instrument executed and approved in the same manner as this Agreement. An agreement made in violation of this section shall confer no rights on any party and shall be null and void.
- B. When required by this Agreement or if requested by the AOC, the Contractor shall provide documentation that a proposed Subcontractor has been qualified to the satisfaction of the AOC, and is experienced and able to perform that portion of the Services. The Contractor shall require all Subcontractors to comply with the provisions of this Agreement. If requested by the AOC, the Contractor shall provide copies of all Contractors' agreements with its Subcontractors to the AOC. The AOC's review of subcontracts shall in no way relieve the Contractor of any of its responsibilities and obligations under this Agreement.

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- C. Contractor shall, in the course of the work, engage only Subcontractors and employees who possess, and will maintain in good standing during the performance of the Services, valid and applicable licenses where the State of California or this Agreement requires that the work to be performed by that Subcontractor or employee must be performed by a licensed person or entity.
- D. The Contractor expressly acknowledges that its Subcontractors are not third party beneficiaries of this Agreement.

**9. Personnel Performance and Security Requirements** The Contractor shall ensure that all Contractor and Subcontractor Personnel comply with the requirements of Attachment K.

**10. Indemnification**

The Contractor agrees, to the fullest extent permitted by law, to indemnify, defend (with counsel satisfactory to the AOC), and hold harmless (collectively, "Indemnify") the State, the Judicial Council of California, the Administrative Office of the Courts, the State's trial courts, appellate courts, justices, judges, subordinate judicial officers, court executive officers, court administrators, and any and all of their officers, agents, contractors, representatives, volunteers and employees (individually, an "Indemnified Party") from any and all claims, lawsuits, losses, costs (including attorney fees and costs), liabilities, and damages arising from, related to or in connection with, in whole or in part, any of the following: (a) the Contractor's or any of its employees' or Subcontractors' negligent acts, omissions, or intentional misconduct; (b) the Contractor's breach of its obligations under this Agreement; (c) the Contractor's or any of its employees' or Subcontractors' violation of any applicable law, rule, or regulation; and/or (d) any claim or lawsuit by a third party, contractor, subcontractor, supplier, worker, or any other person, firm, or corporation furnishing or supplying work, Services, materials, or supplies in connection with the performance of this Agreement who may be injured or damaged by the Contractor or any of its Subcontractors or employees, when such claim arises from, is related to, or is in connection with, the Contractor's performance of this Agreement. This article does not require the Contractor to Indemnify an Indemnified Party for such portion of any loss, cost, liability, or damage that arises solely from the negligence or intentional misconduct of the Indemnified Party.

**11. Insurance**

- A. General Requirements: During the Preliminary Plan Phase and the Working Drawing Phase:
  - 1. The insurance required under this section 11.A shall remain in force until the beginning of the Construction Phase at which time the provisions Article 11 of Exhibit H, General Conditions Of The Contract For Construction (Document 00700) will apply.

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2. Contractor shall maintain insurance issued by an insurance company or companies that are rated “A-VII” or higher by A. M. Best’s key rating guide and that are authorized to do business in the State of California.
3. For all insurance policies required by this Section 11, Contractor shall declare any deductible or self-insured retention (SIR). Any deductible or SIR shall be clearly stated on the appropriate certificate of insurance.
4. If self-insured, the Contractor agrees to administer its self-insurance program in a commercially reasonable manner so as to ensure the availability of funds to cover losses required to be insured against by Contractor under the terms of this Section 11.
5. The Contractor shall, prior to commencement of Preliminary Plan Phase and Working Drawing Phase Services, provide to the AOC certificates of insurance, on forms acceptable to the AOC, as evidence that the required insurance is in full force and effect. For the insurance required under the terms of section 11.B.1 and 11.B.2 each certificate of insurance shall specifically provide verification that the State of California, Judicial Council of California, Administrative Office of the Courts, and the their respective elected and appointed officials, judges, officers, employees and agents have been added as additional insureds, but only as respects liability assumed by the Contractor under the terms of this Agreement, or liability arising out of the performance of the Services.
6. The certificates of insurance shall be addressed as follows:  
  
Contract Specialist  
Administrative Office of the Courts, Business Services  
455 Golden Gate Avenue  
San Francisco, CA 94102
7. All insurance shall be in force until the beginning of the Construction Phase. If any of the required insurance expires during the Preliminary Plan Phase or Working Drawing Phase, the Contractor shall immediately renew or replace the required insurance and provide a new current certificate of insurance or be declared in breach of Contract. The AOC reserves the right to withhold all progress payments until the breach is cured to the satisfaction of the AOC. Renewal insurance certificates must be tendered to the AOC at least 10 following the expiration of the required insurance.
8. The Contractor, and any insurer providing insurance required under the terms of this section 11.B.1 and 11.B.2 shall waive any right of recovery or subrogation it may have against the State of California, Judicial Council of California, Administrative Office of the Courts, and the their respective

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elected and appointed officials, judges, officers, employees and agents for loss or damage related to the Service, or for any liability arising out of the Services performed by the Contractor under this Agreement.

9. All required insurance policies shall contain a provision that coverage will not be cancelled without 30 days prior written notice to the AOC.
10. The Contractor shall be responsible for, and may not recover from the AOC, any deductible or self-insured retention contained within the insurance.
11. In the event the Contractor fails to keep in effect at all times the specified insurance coverage, the AOC may, in addition to any other remedies it may have, terminate this Contract upon the occurrence of such event, subject to the provisions of this Contract.
12. Any insurance required under section 11.B.1 and 11.B.2 shall be endorsed to be primary and non-contributing to any insurance or programs of self-insurance maintained by the State of California or the AOC.
13. The AOC reserves the right to request certified copies of the insurance policies required under the terms of this section 11.

B. Insurance Requirements for the Preliminary Plan and Working Drawing Phases:

Prior to the commencement of the Preliminary Plan Services and the Working Drawing Services the Contractor shall furnish to the AOC with evidence that the of following insurance is in force:

1. Commercial General Liability: Commercial general liability insurance (and if required excess liability or umbrella liability insurance) written on an occurrence form with limits of not less than \$5,000,000 per occurrence and \$5,000,000 annual aggregate for bodily injury and property damage liability combined. The policy shall include coverage for liabilities arising out of premises, operations, independent contractors, products, completed operations, personal and advertising injury liability assumed under an insured contract, and professional services provided in connection with the Preliminary Plan Phase and Working Drawing Phase Services. This insurance shall apply separately to each insured against whom claim is made or suit is brought subject to the insurance policy limit of liability.
2. Commercial Automobile Liability: Automobile Liability insurance with limits of not less than \$1,000,000 per accident. Such insurance shall cover liability arising out of the operation of a motor vehicle, including owned, hired, and non-owned motor vehicles, assigned to or used in connection with the performance of the Services.



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3. **Workers' Compensation:** Statutory workers' compensation insurance providing coverage for all its employees who will be engaged in the performance of the Services, including special coverage extensions where applicable, and employer's liability insurance with limits of liability of not less than \$1,000,000 for each accident, \$1,000,000 as the aggregate disease policy limit, and \$1,000,000 as the disease limit for each employee.
  4. **Professional Liability.** As an alternative to including professional liability for insurance within the coverage provided by the Commercial General Liability policy, Contractor may provide separate Professional Liability insurance covering the Contractor's acts, errors or omissions committed or alleged to have been committed which arise out of rendering or failure to render the Services provided under the terms of this Agreement. The policy shall provide limits of not less than \$5,000,000 per claim or per occurrence and \$5,000,000 annual aggregate. If the policy is written on a "claims made" form, the Contractor shall continue such coverage, either through policy renewals or the purchase of an extended discovery period, if such extended coverage is available, for not less than three (3) years from the date of completion of the Work which is the subject of this Agreement. The retroactive date or "prior acts inclusion date" of any such "claims made" policy must be no later than the date that activities commence pursuant to this Agreement.
- C. **Insurance Requirements for the Construction Phase:** refer to Exhibit H, General Conditions of the Contract for Construction (Document 00700).
- D. Neither the AOC, nor any officer or employee of the AOC, shall be liable for any loss or damage that may happen to the Work, or any part thereof; nor to any of the materials or other items used or employed in performing the Work; nor for injury to any person or persons, either workers or the public, for damage to property from any cause which might have been prevented by the Contractor, or the Contractor's employees or agents, against all of which injuries or damages the Contractor shall properly guard. The Contractor shall indemnify and hold harmless the AOC, and all officers and employees of the AOC, from all suits, actions or claims brought for, or on account of injuries or damages received or sustained by any person or persons, by or from the Contractor, the Contractor's employees or agents, in construction of the Work, or by or in consequence of the Contractor's failure to properly guard the same, or by or as a result of any act or omission of the Contractor, the Contractor's employees or agents. In addition to any remedy authorized by law, moneys due the Contractor under the Contract, as considered necessary by the AOC, may be retained until disposition has been made of such suits, actions, or claims for damages; however, this provision shall not be construed as precluding the AOC from enforcing any right of offset the AOC may have to any such moneys.

- E. **NO PERSONAL LIABILITY:** Neither the AOC, nor any other officer or employee of the AOC will be personally responsible for liabilities arising under the Contract.

## **12. Stop Services Order**

- A. The AOC may, at any time, by delivery of a Stop Services Order to the Contractor, require the Contractor to stop all, or any part, of the Services pursuant to this Agreement, for a period up to ninety (90) days after the Stop Services Order is delivered to the Contractor, and for any further period to which the parties may agree. The Stop Services Order shall be specifically identified as such and shall indicate it is issued under this section. Upon receipt of the Stop Services Order, the Contractor shall immediately comply with its terms and take all reasonable steps to minimize the incurrence of costs allocable to the Services covered by the Stop Services Order during the period of Services stoppage.
- B. The AOC shall not be liable to the Contractor for any costs, expenses, or loss of profits because of the Stop Services Order issued under this provision unless expressly specified in the Stop Services Order.

## **13. Force Majeure**

Neither party shall be liable to the other for any delay in or failure of performance, nor shall any such delay in or failure of performance constitute default, if such delay or failure is caused by Force Majeure. Force Majeure, for purposes of this paragraph, is defined as follows: acts of war and acts of God, such as earthquakes, floods, and other natural disasters, such that performance is impossible.

## **14. Termination for Cause**

If the AOC determines that the Contractor has failed to perform in accordance with the terms and conditions of this Agreement, the AOC may terminate all or part of the Agreement for cause. This termination shall be effective if Contractor does not cure its failure to perform within ten (10) days (or more, if authorized in writing by the AOC) after receipt of a notice of intention to terminate from the AOC specifying the failure in performance.

## **15. Termination for Non-Appropriation of Funds**

The Contractor acknowledges that funding for this Agreement is conditioned upon appropriation by the California Legislature and allocation by the Judicial Council of California, and/or sale of lease revenue or other bonds, of sufficient funds to support the activities described in this Agreement. By written notice to the Contractor, the AOC may immediately terminate this Agreement, in whole or in part, for lack of appropriation of funds, or other withdrawal, reduction or limitation in any way of the AOC's budget, funding or financial resources.

**16. Termination for Convenience**

The AOC shall have the option, in its sole discretion, to terminate this Agreement, in whole or in part, at any time during the term hereof, for convenience and without cause, upon written notice to the Contractor. The notice shall specify the date on which termination shall become effective.

**17. Actions of the Contractor Upon Termination**

Immediately upon receipt of any notice of termination of this Agreement, the Contractor shall commence and perform, with diligence, all actions necessary on the part of the Contractor to effect the termination of this Agreement on the date specified by the AOC and to minimize the liability of the Contractor and the AOC to third parties as a result of termination. All such actions shall be subject to the prior approval of the AOC, at the AOC's sole discretion. Such actions shall include, without limitation:

- A. Halting the performance of all Services under this Agreement on the date(s) and in the manner specified by the AOC.
- B. Not placing any further orders or entering into any subcontracts for materials, Services, equipment or other items.
- C. Canceling any and all existing orders and terminating any and all subcontracts.
- D. Assigning to the AOC any or all of the Contractor's right, title, and interest under the existing orders and subcontracts.
- E. Settling all outstanding liabilities and all claims arising out of the cancellation of orders and termination of subcontracts.
- F. Completing performance of any Services that the AOC designates to be completed prior to the date of termination specified by the AOC.
- G. Providing to the AOC any tangible work product and Data created in the course of the performance of Services hereunder.

**18. Effect of Termination**

In addition to any other remedies and actions set forth in this Agreement, if this Agreement is terminated for cause, non-appropriation of funds, or for convenience, the following will apply:

- A. **Payment Upon Termination.** The AOC shall pay for Contractor's Services satisfactorily performed through the effective date of termination; in no event shall Contractor's compensation under this Section exceed the reasonable value of the performed Services, based on the Contractor's progress of the Services performed and the proportionate corresponding value of the Contract Amount. Additionally, the Contractor shall not be entitled to recover its anticipated profit

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on any work not performed pursuant to said termination.

- B. Offset and Deduction. The AOC may deduct from any payment upon termination:
1. All payments previously made by the AOC for Services covered by the Contractor's final invoice.
  2. The amount of any undisputed claim that the AOC may have against the Contractor in connection with this Agreement.
  3. In instances in which the AOC reasonably determines that the cost of any Services is excessive and if excessive due to costs incurred to remedy or replace defective materials or rejected Services, the AOC will pay the difference between the invoiced amount and the AOC's reasonable estimate of the reasonable cost of replacing the materials or performing the invoiced Services in compliance with the requirements of this Agreement.

**19. Ownership of Data**

1. Everything created, developed or produced in the course of the Contractor's performance of the Services, including, without limitation, all drawings and specifications, reports, records, files, documents, memoranda, schedules, recordings, information and other materials or data (collectively, "Data") in any form, prepared, or in the process of being prepared, are works made for hire by the Contractor for the AOC and are the sole property of the AOC without further employment or the payment of additional compensation to the Contractor. The AOC owns all of the right, title and interest, in and to the Data, including, without limitation, all trademarks, copyrights, trade secrets, patents, and any and all other intellectual property rights therein (collectively, the "Intellectual Property Rights"). To the extent that any of the Data or the Intellectual Property Rights therein are not works for hire, the Contractor hereby irrevocably assigns its entire right, title and interest in and to all such Data and the Intellectual Property Rights therein, to the AOC. At the AOC's request, the Contractor will assist the AOC in the AOC's prosecution, perfection, and registration of any or all Intellectual Property Rights in the Data. The Contractor irrevocably appoints the AOC as its attorney in fact, coupled with an interest, to take all actions and execute and file all documents that the AOC deems necessary to perfect the AOC's interest and Intellectual Property Rights in the Data as set forth herein.
2. The AOC shall be entitled to access copies of the Data in whatever form, including, without limitation CAD, all times during the term of the Agreement. Any such Data in the possession of the Contractor or in the

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possession of any Subcontractor upon completion or termination of the Agreement shall be immediately delivered to the AOC. If any Data are lost, damaged or destroyed before final delivery to the AOC, the Contractor shall replace them at its own expense and the Contractor assumes all risks of loss, damage or destruction of or to such Data.

**20. Proprietary or Confidential Information of AOC**

- A. The Contractor understands and agrees that, in the performance of the Services under this Agreement or in contemplation thereof, the Contractor may have access to private or confidential information which may be owned or controlled by, or otherwise in the possession of, the AOC and that such information may contain proprietary or confidential details, the disclosure of which to third parties may be damaging to the AOC. The Contractor agrees that all information disclosed by the AOC to the Contractor shall be held in confidence and used only in the performance of the Agreement. The Contractor shall exercise the same standard of care to protect such information as the Contractor uses to protect its own proprietary information and in any case no less than a reasonably prudent person or entity would use to protect its own proprietary data.
- B. It is understood, however, that the Contractor may disclose the AOC's confidential information on a "need to know" basis to the Contractor's employees, the Contractor's Subcontractors, and the Subcontractors' employees, and as required by law. Contractor shall execute written agreements with its Subcontractors that bind each Subcontractor and its employees to the confidentiality provisions set forth in this Agreement.
- C. The Contractor shall acquire no right or title to the confidential information. The Contractor agrees not to use the confidential information for any purpose except to provide the Services. Notwithstanding the foregoing, the Contractor may disclose the confidential information: (i) to the extent necessary to comply with any law, rule, regulation or ruling applicable to it or as appropriate to respond to any summons or subpoena applicable to it; provided, however, that the Contractor first gives reasonable notice of its intention to disclose in order for the AOC to seek a protective order; or (ii) to the extent necessary to enforce its rights under this Agreement.
- D. The Contractor agrees that monetary damages are inadequate to remedy any breach or threatened breach of this Section and, accordingly, consents to injunctive relief for any breach or threatened breach hereof without the posting of any bond.

**21. Audit and Retention of Records**

- 1. The Contractor shall permit authorized representatives of the AOC and/or its designee at any reasonable time to inspect, copy, or audit any and all

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records and documentation related to the performance of the Agreement, including records related to billings and other financial records. The Contractor shall allow the auditor(s) access to such records during normal business hours and shall allow the auditor(s) to interview any employees or others who might reasonably have information related to such records. Further, the Contractor agrees to include the same right of the AOC to audit records and interview staff in any subcontract related to performance of this Agreement. The Contractor shall maintain, and shall require its Subcontractors to maintain, all records and documentation related to the performance of this Agreement, including records related to billings and other financial records, in an accessible location and condition for a period of not less than three (3) years after final payment is received pursuant to this Agreement or until after final audit has been resolved, whichever is later. The Contractor shall adequately protect all records against fire or other damage. The State of California, or any state agency or entity having an interest in the subject of this Agreement, shall have the same rights conferred upon the AOC by this section. Further, Contractor shall be subject to examination and audit by the AOC Auditor. The examination and audit shall be confined to those matters connected with the performance of this agreement, including, but not limited to, the cost of administering this agreement (Government Code Section 8546.7).

**22. Accounting System Requirements**

The Contractor shall maintain an adequate system of accounting and internal controls that meets Generally Accepted Accounting Principles (GAAP).

**23. AOC and Fresno County Superior Court Representation**

A. AOC Project Management.

1. For the purposes of this Agreement, the AOC's authorized representative ("Project Manager") shall be:

[Name tbd]  
Office of Court Construction and Management,  
Judicial Council of California  
Administrative Office of the Courts  
2424 Ventura Street  
Fresno, CA 93721

2. All requests and communications about the Work to be performed under this Agreement shall be made through the Project Manager.

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3. The Project Manager is not authorized by the AOC to make any commitments or changes which will affect the price, terms or conditions of this Agreement absent an amendment executed by the parties.
- B. Third Party Representation. The AOC has the authority to speak on behalf of the Madera County Superior Court (and to bind such court with respect to Acceptance of deliverables and all matters hereunder).

**2. Dispute Resolution For Preliminary Plan And Working Drawing Phases**

- A. Notice of Dispute. The parties shall attempt in good faith to resolve potential disputes informally and promptly. If a dispute persists, either party may submit a written demand to the other party at the earliest practicable time that the dispute is identified (the "Demand"). The Demand shall: (i) be fully supported by detailed factual information and supporting documentation; (ii) state the specific Agreement provisions on which the Demand is based; and (iii) if the Demand involves a cost adjustment, state the exact amount of the cost adjustment accompanied by all records supporting the Demand. The Demand shall include a written statement signed by an authorized person indicating that the Demand is made in good faith, that the supporting data and documents are accurate and complete, and that the amount requested accurately reflects the adjustment for which the submitting party believes the other party is responsible. To assist the other party in its review of the Demand, the submitting party shall comply with reasonable requests for additional information. The receiving party shall provide a written response to the submitting party's Demand stating a decision as to whether the receiving party accepts or rejects the Demand. Failure by the receiving party to provide such a response shall be deemed a decision by the receiving party constituting a rejection of the Demand.
- B. Senior Level Negotiations. Upon written request by either party after the receipt of a Demand, the parties shall attempt to resolve the dispute by negotiations between the principal (or equivalent) of the Contractor and the designated representative of the AOC. The principal (or equivalent) of the Contractor and the designated representative of the AOC shall meet as often as they deem reasonably necessary to exchange information and attempt to resolve the Demand within thirty (30) days after the Demand was initially delivered.
- C. Mediation. If the senior level negotiations do not result in resolution of the dispute within thirty (30) days after the Demand was received, the parties shall submit their dispute to mediation prior to any party initiating an action in court.
- D. Litigation. If, after mediation pursuant to Section C.23(c), the parties have not resolved the dispute, the receiving party's decision made pursuant to Section C.23(a) will be conclusive and binding regarding the dispute unless the submitting party commences an action in a court of competent jurisdiction to contest such decision within ninety (90) days following the conclusion of such

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mediation or one (1) year following the accrual of the cause of action, whichever is later. In the event of litigation of a dispute arising from or related to this Agreement, the prevailing party shall be entitled to recover reasonable attorney fees and costs.

- E. Confidentiality. All negotiations conducted pursuant to this Section C.23 are confidential and shall be treated as compromise and settlement negotiations to which California Evidence Code Section 1152 applies. The mediation shall be confidential and shall be subject to the provisions of California Evidence Code Sections 703.5 and 1115 through 1128.
- F. Continuation of Work. Pending the final resolution of any dispute arising under, related to, or involving this Agreement, Contractor agrees to diligently proceed with the performance of this Agreement, including the delivery of deliverables or providing of Services, in accordance with the AOC's instructions. Contractor's failure to diligently proceed in accordance with the AOC's instructions will be considered a material breach of this Agreement.
- G. See Exhibit H, General Conditions Of The Contract For Construction (Document 00700) for Dispute Resolution during the Construction Phase.

### 3. Certifications

By executing this Agreement, Contractor certifies under penalty of perjury that the following are true at the time of execution of this Agreement and shall remain true during the performance of this Agreement:

- A. Nondiscrimination/No Harassment Provisions and Compliance.
  - 1. Nondiscrimination. The Contractor and its Subcontractors shall not unlawfully discriminate against any employee or applicant for employment because of race, creed, religion, color, national origin, ancestry, physical or mental disability or Acquired Immune Deficiency Syndrome or HIV status (AIDS/HIV status), medical condition, marital status, age (over 40), sex, sexual orientation, gender identity, or domestic partner status. The Contractor and its Subcontractors shall ensure that the evaluation and treatment of employees and applicants for employment are free of such discrimination.
  - 2. No Harassment. The Contractor and its Subcontractors shall not engage in unlawful harassment, including sexual harassment, with respect to any persons with whom the Contractor or its Subcontractors interact in the performance of this Agreement. The Contractor and its Subcontractors shall take all reasonable steps to prevent harassment from occurring.
  - 3. FEHA. The Contractor shall comply with the provisions of the Fair



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Employment and Housing Act, California Government Code, Sections 12990 *et seq.*, and the applicable regulations promulgated under California Code of Regulations, title 2, Sections 7285 *et seq.* The applicable regulations of the Fair Employment and Housing Commission implementing California Government Code, Section 12990, set forth in chapter 5 of division 4 of title 2 of the California Code of Regulations, are incorporated into this Agreement by reference and made a part of it as if set forth in full.

4. Compliance with Americans with Disabilities Act. The Contractor complies with applicable provisions of the Americans with Disabilities Act (“ADA”) of 1990 (42 U.S.C. Section 12101 *et seq.*), which prohibits discrimination on the basis of disability, as well as with all applicable regulations and guidelines issued pursuant to the ADA.
  5. Notice to Labor Organizations. The Contractor and any of its Subcontractors shall give written notice of their obligations under this clause to labor organizations with which they have a collective bargaining or other agreement.
  6. Compliance. The Contractor shall include the nondiscrimination, no harassment, and compliance provisions of this section in any and all subcontracts issued to perform Services under this Agreement. Contractor has, unless exempt, complied with the nondiscrimination program requirements. (Government Code, Section 12990 (subdivisions a-f) and CCR, Title 2, Section 8103 *et seq.*)
- B. Prohibited Financial Conflict of Interest. The Contractor and its Subcontractors presently have no interest and will not acquire any interest which would present a conflict of interest pursuant to California Government Code sections 1090 *et seq.* and 87100 *et seq.* during the performance of Services pursuant to this Agreement. The Contractor further certifies that, to the best of its knowledge after due inquiry, no employees or agents of the AOC are now, nor in the future will they be, in any manner interested directly or indirectly in this Agreement, or in any profits expected to arise from this Agreement, as set forth in California Government Code sections 1090 *et seq.* and 87100 *et seq.*
- C. Conflict of Interest for Former AOC Employees. The Contractor certifies and shall require any Subcontractor to certify to the following: Former AOC employees will not be awarded a contract for two (2) years from the date of separation if that employee had any part of the decision making process relevant to the contract, or for one year from the date of separation if that employee was in a policy making position in the same general subject area as the proposed contract within the twelve (12) month period of his or her separation from AOC service.

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- D. Contractor shall not, without specific written approval in advance from the AOC in the form of an Amendment to this Agreement, self-perform any Construction-Phase construction work. Contractor shall not subcontract or in any manner cause said work to be done by any entity in which the Contractor, its parent or associate companies, or any of Contractor's owned or controlled subsidiaries have a financial or other business interest,
- E. **Covenant Against Gratuities.** No gratuities, in the form of entertainment, gifts, or otherwise, were offered by the Contractor or any agent, director, or representative of the Contractor, to any officer, official, agent, or employee of the AOC with a view toward securing this Agreement or securing favorable treatment with respect to any determinations concerning the performance of this Agreement. For breach or violation of this provision, the AOC will have the right to terminate this Agreement, either in whole or in part, and any loss or damage sustained by the AOC in procuring, on the open market, any items which the Contractor agreed to supply, shall be borne and paid for by the Contractor. The rights and remedies of the AOC provided in this provision shall not be exclusive and are in addition to any other rights and remedies provided by law or under this Agreement.
- F. **Drug-Free Workplace.** The Contractor will provide a drug-free workplace as required by California Government Code Sections 8355 through 8357.
- G. **National Labor Relations Board.** No more than one (1) final, unappealable finding of contempt of court by a federal court has been issued against the Contractor within the immediately preceding two (2) year period because of the Contractor's failure to comply with an order of the National Labor Relations Board.
- H. **Brokerage Or Contingent Fees.** No person or selling agency has been employed or retained to solicit or secure this Agreement upon an understanding or agreement for a commission, percentage, brokerage or contingent fee.
- I. **Computer Software Use.** Contractor has appropriate systems and controls in place to ensure that State funds will not be used in the performance of this Agreement for the acquisition, operation or maintenance of computer software in violation of copyright laws.

#### **4. Limitation on Publication**

The Contractor shall not publish or submit for publication any article, press release, or other writing relating to the Contractor's Services for the AOC without prior review and written permission by the AOC. The AOC review shall be completed within thirty (30) days of submission to the Project Manager and, if permission is denied, the AOC shall provide its reasons for denial in writing.

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**5. General**

- A. **Survival.** The termination or expiration of the Agreement shall not relieve either party of any obligation or liability accrued hereunder prior to or subsequent to such termination or expiration, nor affect or impair the rights of either party arising under the Agreement prior to or subsequent to such termination or expiration, except as expressly provided herein.
- B. **Limitation on Publication.** The Contractor shall not publish or submit for publication any article, press release, or other writing relating to the Contractor's Services for the AOC without prior review and written permission by the AOC, which consent shall be in the AOC's sole discretion.
- C. **Remedies Cumulative.** All remedies provided for in this Agreement are cumulative and may be exercised individually or in combination with any other remedy available hereunder.
- D. **Assignment.** The Services to be performed by the Contractor are personal in nature and neither this Agreement nor any duties or obligations hereunder may be assigned or delegated by the Contractor unless specifically identified as such in this Agreement or consented to in advance by the AOC by written instrument executed and approved in the same manner as this Agreement. Except as otherwise provided herein, all of the terms, provisions and conditions of the Agreement shall be binding upon and inure to the benefit of the parties and their respective successors, assigns and legal representatives. Any assignment in violation hereof shall be null and void.
- E. **Waiver.** Any waiver of any term of this Agreement must be in writing and executed by an authorized representative of the waiving party and shall not be construed as a waiver of any succeeding breach of the same or other term of this Agreement.
- F. **Severability.** The provisions of this Agreement are separate and severable. Should any court hold that any provision of this Agreement is invalid, void or unenforceable, then (i) the validity of other provisions of this Agreement shall not be affected or impaired thereby, and (ii) such provision shall be enforced to the maximum extent possible so as to effect the reasonable intent of the parties and shall be reformed without further action by the parties to the extent necessary to make such provision valid and enforceable.
- G. **Compliance with Laws.** The Contractor shall keep itself fully informed of all municipal, county, state, and federal laws in any manner affecting the performance of this Agreement, and must at all times comply, at no expense to the AOC, with such local codes, ordinances, and regulations and all applicable laws as they may be amended from time to time. The Contractor shall procure and keep in full force during the term of this Agreement any and all permits and

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licenses necessary to accomplish the Services contemplated in this Agreement at no expense to the AOC.

- H. Time is of the Essence. Time is of the essence in this Agreement.
- I. Governing Law; Jurisdiction. This Agreement shall be governed by California law without regard to any conflict of law rules that would direct the application of the laws of any other jurisdiction. The Contractor irrevocably consents to personal jurisdiction in California.
- J. Agreement Construction. Headings or captions to the provisions of this Agreement are solely for the convenience of the parties, are not part of this Agreement, and shall not be used to interpret or determine the validity of this Agreement. Any ambiguity in this Agreement shall not be construed against the drafter, but rather the terms and provisions hereof shall be given their reasonable interpretation.
- K. Notices to the Parties. All notices, requests, demands, and other communications hereunder must be in writing and will be deemed to have been duly given when hand delivered or five (5) days after being deposited in the United States mail, if mailed by certified or registered mail, return receipt requested, postage prepaid, to the following contact information or at such other address as delivered by like notice:

To the AOC: [Name tbd]  
Office of Court Construction and Management,  
Judicial Council of California  
Administrative Office of the Courts  
2424 Ventura Street  
Fresno, CA 93721

With a copy to: Business Services Senior Manager  
Judicial Council of California  
Administrative Office of the Courts  
455 Golden Gate Avenue  
San Francisco, CA 94102

To the Contractor: [TBD]

- L. Amendments. This Agreement may not be modified or amended, except by written instrument executed and approved in the same manner as this Agreement.

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- M. Public Contract Code References. References to the Public Contract Code are provided for Contractor's convenience only and shall not imply that the Public Contract Code applies to the AOC, but rather shall be used to define the Contractor's obligations under the particular contract provision in which such code section is referenced. The AOC is not subject to the Public Contract Code.
- N. Entire Agreement. This Agreement, consisting of the Agreement Coversheet and all exhibits thereto, constitutes the entire agreement between the parties and supersedes all previous modifications, agreements, proposals, negotiations, representations, and commitments, both oral and written, between the parties.

*END OF EXHIBIT C*

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Exhibit D of Attachment A

**ACCEPTANCE AND SIGN-OFF FORM**

Description of Deliverable provided by Contractor:

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**Date submitted:** \_\_\_\_\_

Work is:

1) Submitted on time:  yes  no. If no, please note length of delay and reasons.

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2) Complete:  yes  no. If no, please identify incomplete aspects of the Work.

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3) Technically accurate:  yes  no. If no, please note corrections required.

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Please note level of satisfaction:

Poor  Fair  Good  Very Good  Excellent

Comments, if any:

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Work is accepted.

Work is unacceptable as noted above.

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

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

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

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**Exhibit E of Attachment A**

**SUBCONTRACTORS TO CONTRACTOR**

For each Subcontractor, list the Subcontractor's legal name, location of Subcontractor's main office, and Contract work to be performed.

*END OF EXHIBIT E*

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**Exhibit F of Attachment A**

**CONTRACTOR'S KEY PERSONNEL**

*END OF EXHIBIT F*



**Exhibit G of Attachment A**

**PROJECT FEASIBILITY REPORT**

Direct Cost of Work Budget: \$ 77,500,000 (Excluding Contractor Bonds, Insurance and Contingency)

General Description of the Project:

The project consists of selective renovation and structural strengthening of the existing Fresno County Courthouse. The building contains approximately 213,687 Building Gross Square Feet (BGSF) of which 153,887 square feet is currently occupied by the Superior Court. The county departments (non-court) will vacate the 8<sup>th</sup> floor, and the Court will then occupy approximately 167,000 square feet. The scope of work is envisioned to include modification and reconfiguration of central holding, administrative spaces, support spaces, public lobby, and jury assembly. The project will also provide improvements to accessibility, seismic safety, and fire and life safety systems. Work will be completed in phases while the building is occupied by the court and open to the public on a daily basis.

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**Exhibit H of Attachment A**

The Exhibit H, General Conditions of the Contract for Construction (Document 00700) are incorporated in its entirety by reference, and is attached to this Contract.

**Exhibit J of Attachment A**

**MAINTENANCE REQUIREMENTS DURING CONSTRUCTION**

1. General

- A. This Exhibit shall describe the general scope of the Facility Maintenance and operations services to be provided during the course of construction of the facility renovations. All terms and conditions of the contract as provided for in the Agreement and Exhibits A through H shall apply to this Exhibit as if referenced throughout all Exhibits, however, in the case of conflict between the Agreement including Exhibits A through H, and this Exhibit J, the Agreement and A through H shall govern.
- B. It is the intent of the AOC to develop the final maintenance service requirements in conjunction with the Contractor (CM@Risk) prior to subcontract bidding, using historical service data gathered in the pre-construction phase to most accurately define the expected requirements.

**Section A of Exhibit J**

2. Definitions

- A. “Approved Person” means a Contractor or a Subcontractor employee who (i) has been screened and approved by the AOC and (ii) when working in a specific Facility, has passed any additional Court-required screening and background check requirements which that Court requires of contractors working in that Facility pursuant to the requirements of Attachment K (Personnel Performance and Security Requirements)
- B. “Base Cost” means Contractor’s labor and Materials costs for completing a SWO. Base Cost does not include Travel Time or Travel Expenses.
- C. “Business Day” or “BD” means days of the week excluding Saturday and Sunday, as well as Contractor’s pre-established and published holidays applicable to its employees.
- D. “Clearance Date” means the date a Contractor or Subcontractor employee is approved by the AOC to become an Approved Person.
- E. “Confidential Information” means trade secrets, financial, statistical, personnel, technical, and other Data and information relating to the AOC’s or the Courts’

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business or the business of its constituents. Confidential Information does not include (i) information that is already known by the receiving party, free of obligation of confidentiality to the AOC or a Court; (ii) information that becomes generally available to the public, other than as a result of disclosure by the receiving party in breach of this Agreement; (iii) information that is independently developed by the receiving party without reference to the Confidential Information; and (iv) information that the receiving party rightfully obtains from a Third Party free of the obligation of confidentiality to the AOC or a Court.

- F. “Contract Manager” means the regional contract manager designated by the Contractor who acts as the direct liaison to the AOC’s Project Manager.
- G. “Court Liaison” means the Superior Court employee designated in an SWO to provide Court input regarding Work.
- H. “Data” means all types of raw data, articles, papers, charts, records, reports, studies, research, memoranda, computation sheets, questionnaires, surveys, and other documentation.
- I. “Day” means calendar day.
- J. “Deficiency” means a preexisting deficiency in a Facility identified by the Contractor during its walk through as specified in Section B, Paragraph G Item 6 (“Existing Facility Condition Assessments”).
- K. “DMV” means the California Department of Motor Vehicles.
- L. “DOJ” means the California Department of Justice.
- M. “Escort” means to provide an Approved Person to escort and monitor another Contractor or Subcontractor employee.
- N. “Expenses” means any cost incurred in the performance of Work.
- O. “Firm Fixed Price” or “FFP” means the fixed amount the AOC will pay the Contractor which shall compensate the Contractor for of the following:
  - 1. all Training
  - 2. all Management and Support Staff
  - 3. all Preventative Maintenance
  - 4. all Escorting required in the performance of Firm Fixed Price Work

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- P. “Firm Fixed Price Work” means Work which is included in the Firm Fixed Price.
- Q. “Force Majeure” means an event or condition which impacts the timely performance of Work for which neither Contractor nor the AOC is liable because such event or condition was unforeseeable and beyond the control of the party. Acts of Force Majeure include, but are not limited to:
1. Acts of God or the public enemy;
  2. Acts or omissions of any government entity;
  3. Fire or other casualty for which a party is not responsible;
  4. Quarantine or epidemic;
  5. Strike or defensive lockout;
  6. Unusually severe weather conditions; and
  7. Earthquakes with a magnitude greater than 6.0 on the Richter scale.
- R. “Full Performance Period” means the duration of the Construction Agreement from Notice to Proceed to Notice of Completion.
- S. “Full Time Equivalent” means a position requiring an annual minimum of 1840 productive work hours performing Work. The 1840 work hours do not include (i) any paid or non-paid time off, or (ii) any time spent performing business not related to this Agreement.
- T. “Master Maintenance Plan” or “MP” is defined in Section B, Paragraph F Item 2 (“Maintenance Master Plan (MP)”).
- U. “Normal Working Hours” means between 6:00 AM and 6:00 PM, Monday thru Friday, excluding State Holidays.
- V. “OCCM” means the AOC’s Office of Court Construction and Management.
- W. “OERS” means the AOC’s Office of Emergency Response and Security.
- X. “Phase-In Costs” means the cost to mobilize personnel and equipment necessary to assume the maintenance responsibilities of the facility including Facility Transition and Maintenance Plan (MP) preparation required by Section B, Paragraph G Item 6 in its entirety.
- Y. “Phase-In Period” means the period between the Effective Date of the Agreement and the Full Performance Date.

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- Z. “Phase-Out Period” means the sixty (60) day period immediately after the Notice of Completion of the Period of Performance.
- AA. “Preventative Maintenance” or “PM” means the routine, predictable, and expected industry standard maintenance of systems and equipment, providing required testing and certification, and to prolong the service life of the system or equipment. All Preventative Maintenance is included in the Firm Fixed Price Work.
- BB. “Priority 1” refers to a condition that is immediately or potentially critical—a condition requiring immediate attention to return a Facility to normal operations or a condition that will become immediately critical if not corrected expeditiously. Such conditions necessitate the need to stop accelerated deterioration or damage, to correct a safety hazard that imminently threatens loss of life or serious injury to persons, or to remediate intermittent function and service interruptions as well as potential safety hazards. Such conditions may include but are not limited to major flooding, substantial damage to roofs or other structural building components, or hazardous material exposure. Depending on the scope and impact, a severe deterioration in life safety protection may also be considered a Priority 1 condition.
- CC. “Priority 2” refers to a condition that is necessary to repair, but is not yet critical. Such conditions require correction to preclude deterioration, potential loss of function or service, or associated damage or higher costs if further deferred.
- DD. “Priority 3” refers to a condition that is recommended to repair. Such repairs will reduce long-term maintenance or repair costs, will improve the functions of a facility, and will support improved court operations.
- EE. “Priority 4” refers to a condition that means does not meet current codes or standards, although it did comply at the time of initial construction. Such conditions are legally nonconforming and are generally not required to be modified to meet current code requirements.
- FF. “Priority 5” refers to a condition where equipment or materials are beyond rated life, but are still serviceable. The condition is currently adequate but cannot be expected to function as designed in the future.
- GG. “Priority 6” refers to a condition where hazardous materials, such as asbestos or lead based paints, are currently managed in place but not yet remediated.

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- HH. "Project" refers to all activity relative to an individual Service Work Order issued pursuant to this Agreement, including the Work of Contractor and its Subcontractors.
- II. "Project Manager" means the AOC staff member designated in an SWO to manage Work associated with an SWO.
- JJ. "Related Entity" means a corporation, firm, joint venture, or other entity in which the Contractor, its parent organization, a Contractor subsidiary, or any entity controlled by a parent organization or subsidiary of Contractor has an interest.
- KK. "RPIE" means real property installed equipment. RPIE is equipment which is part of the basic functionality of the building, such as HVAC, elevator, pumps, and motors.
- LL. "Regional Manager" means the assigned regional manager from the Facility Management Unit of AOC.
- MM. "Restricted Areas" means (i) all areas within a Facility that are not generally accessible to the public, including judges' chambers, all non-public restrooms, elevators, break rooms, and corridors, and other non-public spaces that are dedicated for use only by judges or Court staff and employees, and (ii) public areas of a Facility during non-business hours that are subject to security screening during normal business hours.
- NN. "Risk Management Unit" means the AOC Risk Management Unit.
- OO. "Sentinel Event" means any unexpected occurrence involving death, serious psychological injury, serious property damage, or the risk thereof. The phrase, "or the risk thereof" includes any circumstance where the continuous or repeated exposure to substantially same general conditions would carry a significant chance of a serious adverse outcome. Sentinel Events specifically include each of the following: (i) loss of life, (ii) serious injury to Court staff or Court users, (iii) physical damage or the eminent threat to the Facility resulting from fire or lightning, windstorm or hail, smoke, explosion, riot or riot attending a strike, civil commotion, aircraft or vehicle impact, vandalism, leakage or accidental discharge of water pipes of any kind, the weight of snow, ice or sleet, water damage, collapse, or sudden mechanical failure of mechanical equipment, (iv) unusual health patterns resulting from environmental contamination especially due to asbestos, mold, lead, pesticides, metals, or other agents that might be found in waste streams, in disposal sites, or other accessible locations.

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- PP. “Service Work Order” or “SWO” refers to a written or electronic document that specifies a individual facility maintenance task or set of tasks ordered by the AOC, and any special instruction applicable to the performance of those tasks.
- QQ. “State Holidays” means New Year’s Day, Martin Luther King Day, Lincoln’s Birthday, Presidents’ Day, Cesar Chavez Day, Memorial Day, Independence Day, Labor Day, Columbus Day, Veterans Day, Thanksgiving, the day after Thanksgiving, and Christmas. If a State Holiday falls on a Saturday or Sunday, it may be observed on the prior Friday or subsequent Monday as indicated by the Regional Manager.
- RR. “Subcontractor” means any individual, firm, partnership, agent, or corporation having a contract, purchase order, or agreement with the Contractor, or with any Subcontractor of any tier, for the performance of any part of this Agreement. When the AOC refers to Subcontractor(s) in this document, for purposes of this Agreement and unless otherwise expressly stated, the term “Subcontractor” includes, at every level and/or tier, all subcontractors, sub-consultants, agents, suppliers, and/or materialmen.
- SS. “SWO Issuance Time” means the date and time an SWO is issued to the Contractor.
- TT. “Third Party” refers to any individual, association, partnership, firm, company, corporation, consultant, subcontractor, or combination thereof (including joint ventures), which is not a party to this Agreement.
- UU. “Transition Date” means the date when full responsibility for the Facility is transferred to Contractor.
- VV. “Travel Expenses” means expenses incurred by Contractor or Subcontractor employees while traveling in connection with the Work. Travel expenses include items such as mileage, food, and hotel rooms.
- WW. “Travel Time” means salary or wages to be paid to a Contractor or Subcontractor employee for time spent traveling to or from a Facility to perform Work.
- XX. “Work” means any facility-related services or work requested by the AOC.



**Section B: Scope of Work**

1. General

- A. The Contractor shall provide proactive maintenance and repair services, timely response, identification of facility needs, complete operations management services, conscientious environmental stewardship, and responsible fiscal administration with respect to the Facility. The Contractor shall provide all management, supervision, personnel, labor, materials, supplies, tools, vehicles, equipment (except as otherwise provided), and other items and services necessary to perform all Work. The Contractor shall plan, schedule, coordinate and be responsible for the efficient, effective, economical, and satisfactory operation of the Facility, scheduled and unscheduled maintenance in the Facility, and repair of equipment and systems located in the Facility. The Contractor shall provide other related Work, as further described below.

2. Firm Fixed Price Work.

The following Work shall be included in the Firm Fixed Price.

- A. Training.
1. Contractor shall provide all Approved Persons a minimum of one hour of sexual harassment training each year. Each Approved Person's initial sexual harassment training will be completed within one month of his or her Clearance Date. The syllabus and format of the training will be mutually agreed by the AOC and the Contractor.
  2. The Contractor will maintain records of all training required pursuant to this Agreement and will provide the records to the AOC upon request.
- B. Management and Support Staff.
1. Management and Support Staff. Management and Support Staff. The Contractor will provide all Management and Support Staff necessary to fulfill the maintenance requirements of this Agreement.
  2. Maintenance Engineering. The Contractor shall provide mechanical, environmental, and electrical engineering expertise needed to perform: (i) system or component assessment, (ii) historical data collection on major equipment items, (iii) a Preventative Maintenance program, (iv) a program to ensure reliability and maintainability of equipment, utilities, control loops, and safety/security systems, and (v) non-design drafting to maintain existing drawings to an "as-built" level.

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3. Work Review Meetings. The Contractor shall conduct a monthly review with the AOC staff. These meetings shall include essential Contractor personnel and key AOC representatives. All SWOs will be reviewed at the monthly review meeting. Contractor shall provide status reports to assist AOC management in tracking the status of work, Facility conditions, and expenditures,
  4. Data Reporting. Contractor is responsible for providing to the AOC requested data on the status of all Work in a timely manner.
  5. Dispatch. The Contractor shall provide a work reception and dispatch function twenty-four (24) hours a day, seven (7) days a week.
  6. Preventive Maintenance. The Contractor will provide the Preventive Maintenance. All Preventative Maintenance is Firm Fixed Price Work. The Contractor will be proactive and perform all PM regardless of whether the AOC issues an SWO.
- C. All Service Work Orders under the Fixed Price Threshold are Firm Fixed Price Work, except for the Work listed below.
1. Painting and graffiti removal are excluded from the Firm Fixed Priced Work, unless incidental to other Firm Fixed Price Work.
  2. Work to be funded by a Court or another Third Party rather than by the AOC is excluded from the Firm Fixed Price Work.
- D. Escorting.
1. Only Approved Persons may have unescorted access to Restricted Areas. Unscreened employees of the Contractor and Subcontractors may access Restricted Areas only if they are escorted by an Approved Person.
  2. Within thirty (30) Days of the Effective Date, the Contractor shall meet with representatives of the AOC and the Court to discuss Court-specific security issues. As part of this meeting, the Contractor shall ascertain whether that Court requires any background check or screening process in addition to the background check performed by the AOC. The Contractor shall ensure its employees and Subcontractor employees comply with any Court-specific security protocols.
  3. All Escorting shall be considered Firm Fixed Price Work.
- E. Material and Equipment Purchases
1. Replacement of Components. Replacement components and Materials must be of similar or better quality than the components replaced, considering energy efficiency, operational characteristics, power quality, control and data acquisition, maintainability, and durability. The Project Manager may

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- require replacement of components with components from the same manufacturer to maintain consistency throughout a Facility.
2. Purchases. The Contractor shall purchase and manage all Materials and equipment to be used in the performance of this Agreement. The Contractor shall purchase all Materials and equipment consistent with sound business practices, which should result in the best value for the AOC. The Contractor will be required to demonstrate that the source of the purchase is in the best interest of the AOC based on cost, delivery date, and quality of material/services provided. All purchasing records of the Contractor for Material used in the performance of the Agreement will be available for review by the AOC upon request. All items purchased under an SWO become the property of the AOC when purchased.
  3. It is the intent of the AOC that the Contractor shall purchase and manage all inventory required for the performance of the Agreement. However, the AOC reserves the right to purchase Material directly from its own supplier for use by the Contractor to perform some or all work on this Agreement. If the AOC elects this option, the Contractor will be tasked with identifying the needed Material but the purchasing will be through AOC purchase orders and contracts.
  4. Material Storage and Office Space. The Contractor will have limited space for storage of Material(s) at the Facility.
  5. Material Management. With the exception of Materials that are included in the Firm Fixed Price Work, the Contractor shall manage and charge all Material costs to a specific SWO using CAFM. Contractor shall not charge the AOC for any Materials until the Materials are utilized for a specific SWO or accepted by the AOC as part of a bench stock authorization.
  6. Warranties. The Contractor shall support the AOC warranty program by identifying warranty items, investigating facility or equipment failure, and exercising warranty or guaranty rights in coordination with the Regional Manager.
- F. Reports. The Contractor will prepare reports as required in this Agreement. Some reports will be onetime deliverables while most will require at minimum annual updates. There will also be a number of recurring reports, most of which will be required monthly. The preparation of all reports that are due prior to the Full Performance Date shall be included in the Phase-In Costs. The preparation of all other reports, as well as all updates to any reports, shall be included in the Firm Fixed Price.

G. Facility Transition and Maintenance Plans.

General

1. The Contractor shall establish both a Facility Transition Plan and Maintenance Plan (MP).
2. The objective of the transition plan is to ensure that the transition between existing maintenance providers and the Contractor is seamless and the Facility maintenance will not be interrupted by the Maintenance transition.
3. The Facility Transition Plan shall identify all training, equipment, and information needed to optimally operate and maintain the Facility until the MP is fully implemented.
4. Maintenance Plan (MP) During the Construction Period.
  - i) The objective of the MP is to ensure that proper Facility maintenance and operations are conducted to support the continued occupancy and use of the Facility, and preserve and protect the existing assets of the Facility and its systems.
  - ii) The Contractor shall develop and implement the MP, effectively charting a course for maintenance actions for the Facility during the construction period and identifying any major repairs not otherwise included in the capital project scope of work that is recommended in the construction period plus one additional year beyond completion of the Project. The MP shall define how the Contractor will perform maintenance and shall provide metrics to track performance.
5. The Contractor shall submit a draft of the Transition Plan and Maintenance Plans in one comprehensive document no later than ninety (90) days prior to the start of the Performance Period.
  - i) The submittal shall include all components required for the Transition and Maintenance Plans as specified in this Section and will further describe how the proposed Transition Plan and Maintenance Plan will interface so that maintenance will not be interrupted during transition.
6. Existing Facility Condition Surveys and Assessments
  - i) The following Surveys and Assessments are required components of the Transition and Maintenance Plan submittal.
  - ii) Existing Conditions Survey. The Contractor shall conduct such surveys as necessary to determine the required maintenance and implementation requirements of the MP.
  - iii) The Contractor and the AOC will complete a walk-through of the Facility for a baseline evaluation of the Facility. The Contractor shall identify any Deficiencies in the existing physical plant systems which it considers to be existing maintenance conditions prior to their

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assumption of maintenance duties. A list of these deficiencies shall be included as a component of the Conditions Survey component of the MP. Correction of Deficiencies will not a part of the Firm Fixed Price Work, unless the Contractor is required to remedy the Deficiency (i) as part of its required Preventative Maintenance, or (ii) is incidental to Firm Fixed Price Work. The AOC may have the Contractor perform the correction of Deficiencies, through a change order as provided in the contract. The correction of any pre-existing condition not identified as a Deficiency shall be included in the Firm Fixed Price Work and is the contractor's responsibility.

- iv) Asset Management, Tracking, and Auditing. The Contractor must confirm and accept physical inventories and asset management of RPIE. Contractor shall include this inventory as part of their Existing Conditions Survey as described in Paragraph G, Item 6 of this Section. The AOC will provide any existing known asset list for updating as required. The Contractor will use the AOC provided CAFM system for these inventories, audits, and reports.

G. Transition and Management Plan Contents.

1. The facility transition plan shall include the following elements:
  - i) Maintenance manpower requirements.
  - ii) Number of employees, if any, dedicated full time to the Facility.
  - iii) Maintenance organizational chart.
  - iv) Maintenance policy manual that defines authority and responsibilities.
  - v) Minimum skill level requirements for each position on the maintenance staff.
  - vi) Approach to providing maintenance to the Facility.
  - vii) List of the special tools and equipment that must be procured for the Facility.
  - viii) Bill of Materials that are to be stocked and available for the Facility.
  - ix) List of items to be maintained by outside organizations.
  - x) Plan to transition alarm systems, building automation systems, and other electronic monitoring systems.
  - xi) Facility access procedures for Contractor personnel to gain access to the Facility, including issuance of keys, identification cards, etc.
  - xii) Plan to work with and around hazardous materials such as asbestos, lead-based paint, etc.
2. The MP shall include:

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- i) Roof Management. The MP must include the types of roofing material(s), describe roof condition, and outline short and long term maintenance needs.
- ii) Water Management. The MP must address water management, including a cross-connection control and backflow prevention program.
- iii) Hazardous Materials. The MP must include a hazardous waste management plan to identify, sample, and analyze waste streams from new and on-going processes. The plan must provide for the collection and disposal of hazardous materials separately from household and office wastes.
- iv) Quality Control Plan (QCP)
  - (a) The objectives of quality control are (i) to ensure that all the requirements of the Agreement are met throughout the term of the Agreement and (ii) to provide the AOC the means to easily verify compliance.
  - (b) As part of the Maintenance Plan, The Contractor must provide a Quality Control Plan that describes how quality shall be maintained and to ensure the Work is provided as specified.
- v) Safety Plan.
  - (a) The Contractor must provide a program-level safety plan no less than sixty (60) Days prior to the Contract Start Date that as a minimum is compliant with the Facility Safety Guidelines established by the AOC and all local, state and federal law, codes, ordinances, and regulations..
  - (b) The Contractor must complete an initial assessment of fire/life safety conditions at the Facility utilizing the form provided by the AOC or an equivalent document provided by the Contractor.
- vi) Refrigerant Management Plan. The Contractor shall manage refrigerants to reduce use and emissions of chlorofluorocarbons (CFC).
  - (a) The refrigerant management plan shall be updated annually, on or about the anniversary of the initial plan. The refrigerant management plan shall include onsite refrigerant inventories, where refrigerants are used, and proposed plans for replacement of non-conforming equipment.

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3. Labor Disputes. The Contractor shall develop contingency procedures to minimize the impact to court operations as a result of labor unrest such as walkouts, work slowdowns, protests, and strikes, regardless of source.

H. Phase-Out

1. Sixty (60) days after the Notice of Completion of the Contract, the Contractor shall transition all the Maintenance responsibilities and services to another entity of the AOC's choosing. The Contractor shall cooperate with the AOC, Court, and/or such other entity to ensure an orderly change over.
2. During the Phase-Out Period, Contractor will deliver and assign ownership to the AOC of:
  - i) Any tangible (equipment, supplies, materials, etc) or intangible property and any computer equipment or software purchased by Contractor for the Facility using contract funds.

I. Information Technology and CAFM

1. Contract Management Documentation. Documents, correspondence, and reports related to the management of the Agreement shall be generated and maintained electronically to the maximum extent possible.
2. Information Technology. The Contractor shall use both AOC-provided and Contractor-provided software programs for integration of Facility records, maintenance records, and workflow management. Where specified, the AOC-provided programs must be used. The AOC standard office software is Microsoft Office.
  - i) When the Contractor uses a non-compatible program, it is the Contractor's responsibility to ensure the data collected is transferred to AOC software programs without any additional cost to the AOC.
  - ii) The Contractor will provide all computer hardware such as computers, monitors, printers, etc. for its personnel in quantities that will ensure timely completion of all tasks. The Contractor must provide all network connectivity required to perform these tasks. Court networks will not be available for this purpose.
  - iii) The AOC may make Contractor-requested changes or enhancements to CAFM. The Contractor will pay for those changes or enhancements which are solely or primarily for the benefit of the Contractor. The AOC will prepare a cost estimate and provide it to the Contractor prior to any changes being made.
3. CAFM. The Contractor will be tasked through CAFM, as further described in Exhibit C. The Contractor shall ensure that all Work is recorded in

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CAFM. The Contractor shall use CAFM to (i) receive, review, approve, coordinate, and track all SWOs; and (ii) log, schedule, and record all labor and associated costs and activities to each SWO. All Contractor approved employees performing Work must have access to CAFM.

4. The Contractor shall track Service Work Order requests in CAFM until the Work is functionally completed.
5. Work Closeout. The Contractor shall functionally close out all Work within two (2) Business Days of completion. The Work will not be considered complete until all required data entry work and other administrative requirements are completed. This includes reporting all changes to fixed assets to the Maintenance Engineering staff and recording all cost, Materials, equipment, subcontracted work, etc. in CAFM.
6. Training Classes for CAFM. The AOC will provide a one-time training class consisting of three (3) days of hands-on training for up to ten (10) Contractor employees on the use of CAFM. This training will be conducted in Sacramento. This training will occur during the Phase-In Period. Additionally, the Contractor will be permitted to have two (2) employees spend up to a two (2) week period of time in the Customer Service Center in Sacramento to enhance their learning of the CAFM system and to establish coordination and communications between the Contractor and the Customer Service Center. This training will occur either during the Phase-In Period or within ninety (90) Days of the Full Performance Date. All other training costs will be the responsibility of the Contractor; compensation to the Contractor for required training shall be included in the Phase-In Cost.

J. Miscellaneous Services

1. Utility System Availability. The Contractor shall maintain utility systems to ensure availability twenty-four (24) hours a day, seven (7) days a week unless specifically authorized by the AOC. The AOC may authorize downtime of utility systems in order to maximize their overall availability. Any downtime not specifically authorized shall be considered unauthorized downtime. Any situation that requires unscheduled corrective maintenance shall be considered a breakdown. Utility downtimes should be scheduled outside of Normal Working Hours to the extent possible. For additional specific requirements, see Attachment K Section 4 Paragraph 4.4 (“Disruption of Services”).
2. Major Accident, Disaster Response, and Emergencies. The Contractor shall provide effective contingency and disaster response for major accidents, disasters, and emergencies. An emergency response manager must be available twenty-four (24) hours a day, seven (7) days a week. The



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emergency response manager shall respond to the AOC through an emergency communication point of contact to be designated by AOC within one hour of notification. The emergency response manager shall assist in the performance of risk assessment and analysis; establish command and control operations; provide communications; and monitor recovery actions until relieved by the Regional Manager. The Contractor shall continue to provide essential facility and infrastructure operations, maintenance and repair, and customer service during a crisis or emergency. The Contractor shall provide service twenty-four (24) hours a day until the crisis is over, as directed by the Regional Manager. See also Paragraph M of this Section (Sentinel Event Reporting and Management)

K. Hazardous Waste Program.

1. The Contractor shall, in cooperation with AOC implement and manage a HAZMAT program for Facility in accordance with the MP. The Contractor shall perform spill containment and clean up for hazardous material spills of fifty-five (55) gallons or less. Larger spills will require the assistance of community HAZMAT first response. The Contractor must properly dispose of all hazardous material spill wastes, and provide the appropriate manifests and HAZMAT bills of lading to AOC.
2. All employees performing HAZMAT operations shall be State of California certified and trained to the appropriate level for which they work. All training is the responsibility of the Contractor. The Contractor must obtain and retain hazardous waste disposal permits, submit monthly reports of collections and disposals, and retain documentation for the duration of this Agreement. AOC shall select the hazardous material disposal Facility, and all materials for disposal shall be manifested in the name of the AOC.
3. The Contractor shall provide programs and guidelines that enable the Facility hazardous waste generators to properly collect and handle the waste streams they generate and track the containers from cradle-to-grave.
4. The Contractor shall, at no additional cost to the AOC, develop policies and procedures to safely and effectively work in and around hazardous materials as asbestos, lead-based paint, etc. The known presence of hazardous material will not be justification for delays in Work.

L. Facility maintenance and repair requirements include, but are not limited to, all elements of the “Standard Classification of Building Elements and Related Site Work” – UNIFORMAT II.

- M. Sentinel Event Reporting and Management. The Contractor shall, in cooperation with AOC, implement a Sentinel Event management program which will define the emergency reporting communication chain, the responsibilities of all parties in that communication chain and time frames required by those parties for response to a report of an emergency . Upon the occurrence of a Sentinel Event the Contractor may, pursuant to Section C, Paragraph E Item 2 (“Work Without an SWO”), initiate Work prior to receiving an SWO.

### **Section C: Tasking Process**

1. Provisions applicable to all SWOs

- A. Work Request. The AOC, the Court, or the Contractor may identify tasks required to maintain, repair, or and improve a Facility and create a work request in CAFM for the completion of those tasks.
- B. Issuance of SWO. The Contractor will be tasked through CAFM for specific facility maintenance items through an SWO. The SWO and CAFM are the vehicles through which the contractor will receive, execute, and document facility maintenance requests pursuant to Section B Paragraph I (“Information Technology and CAFM”).
1. The personnel identified below are authorized to issue through CAFM an SWO on behalf of the AOC. The AOC will provide a letter to the Contractor with the name of the person filling each position. The AOC may update this letter, without the need for an Amendment, from time to time as personnel change.
    - i) SWO Contents. Each SWO will contain,
      - (a) Senior Manager for Facility Management
      - (b) Regional Manager for Facility Operations
      - (c) Supervising Facility Management Administrator
      - (d) Facility Management Administrator
      - (e) AOC Customer Service Center Personnel
- C. without limitation:
1. Project Manager Name and contact information,
  2. Court Liaison name and contact information,
  3. Name of the Facility,
  4. location within the Facility where the problem exists,
  5. description of the problem,
  6. date and time the call or request for service was received by the AOC,

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- 7. type of work
- 8. Priority,
- 9. Due date,

D. Response. The Contractor will dispatch appropriate personnel to the affected Facility to assess the problem or evaluate the requested tasks.

- 1. The Contractor will dispatch appropriate personnel within the time period specified in Table 1.4.1 below, as determined by (i) priority of the work, as identified in the SWO, (ii) whether one or more Contractor FTEs are assigned to the Facility, and (iii) whether the SWO Issuance Time is during or outside of Normal Working Hours.

TABLE 1.4.1: Response Times for SWOs

Conditions:	Emergency	Urgent	Routine			
Priority	1	2	3	4	5	6
<b>FTE normally assigned to Facility - Normal Working Hours</b>						
Response Time	30 Min	2 Hours	Next BD	5 Business Days (BD)		
<b>FTE normally assigned to Facility - Outside Normal Working Hours</b>						
Response Time	1 Hours	Next BD	Next BD	5 BD		
<b>No FTE normally assigned to Facility - Normal Working Hours</b>						
Response Time	1 Hour	4 Hours	24 Hours	5 BD		
<b>No FTE normally assigned to Facility - Outside Normal Working Hours</b>						
Response Time	2 Hours	Next BD	Next BD	5 BD		

- 2. Response times start at the SWO Issuance Time. There may be some Facility or occasions where an exception to the response times in Table 1.4.1 may be approved by the Facility Manager. These exceptions will be identified in the MP.

E. Completion of Work.

- 1. SWO's
  - i) Contractor will perform the Work specified in the SWO in accordance with the requirements of this Agreement and the SWO. Contractor will complete the Work specified in the SWO within the completion time specified in Table 2.6.1.1 below, as determined by (i) priority of the work, as identified in the SWO, (ii) whether one or more Contractor FTEs are assigned to the Facility, and (iii) whether the SWO Issuance Time is during or outside of Normal Working Hours. Completion times start at the SWO Issuance Time. There may be some Facility or occasions where an exception to the completion times

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in Table 2.6.1.1 may be approved by the Regional Manager. These exceptions will be identified in the SWO.

ii) Emergency NOT USED

2. Work Without an SWO

A. In the event the Contractor becomes aware of a condition (including a Sentinel Event) that it reasonably believes would constitute a Priority 1 condition, but the Contractor has not received an SWO regarding that condition, the Contractor is authorized to initiate work as if an SWO had been issued for a Priority 1 condition.

B. Other than Work covered by Section C, Paragraph 2.A above, Work performed without an SWO will not be compensated or paid by the AOC. Work performed outside the scope of the SWO, will not be compensated or paid by the AOC. Any commencement of Work prior to the Contractor's receipt of an authorized SWO shall be done at the Contractor's own risk.

**Section E: Payment**

1. Contract Amount

2. Allowable and Non-allowable Expenses

A. Firm Fixed Price Work.

1. The only allowable expense for Firm Fixed Price Work is the calendar monthly amount equal to *[insert amount]*. This amount represents full payment for all costs associated with the performance of Firm Fixed Price Work during an invoice period, including:

i) The full complement of Management and Support Staff as defined by the organization chart in Exhibit L. The cost includes the core staff of managers and supervisors, customer service representatives, purchasers, and various technical staff. If staff are not available and maintained at the agreed levels there will be a commensurate reduction in the amount paid for Firm Fixed Price Work. The amount of the reduction will be equal to the product of the most current salary paid for the affected staff member multiplied by a percentage representing the portion of the minimum requirement that was unfilled. The AOC, upon request, has the right to review all supporting documents related to this report.

ii) Total labor costs, overhead costs, operations and administrative costs in support of Firm Fixed Price Work.

iii) All Subcontractor Material costs in support of Firm Fixed Price Work.

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- iv) All Material costs in support of Firm Fixed Price Work.
- v) Travel Expenses and Travel Time in the performance of Firm Fixed Price Work.

B. Adjustments.

- 1. Change to PM List. If the parties materially alter the list of PM tasks, the parties will negotiate in good faith an appropriate adjustment to the annual Firm Fixed Price payment.

3. Invoicing Requirements

- A. Invoice Submission to the AOC. Contractor shall submit to the AOC, on a calendar monthly basis, an invoice for all Work performed in the prior calendar month. The costs specified in the invoice must conform to the requirements of Section E, Paragraph 2 (“Allowable and Non-allowable Expenses”) above. A sample invoice is provided in Exhibit H. Invoices should be submitted to the AOC not later than ten (10) Business Days after the end of the calendar month.
  - 1. Section 2 of the invoice will be a summary of all Firm Fixed Price Work for the invoice period.

*END OF EXHIBIT J*