RECOMMENDATIONS

1. Find, in accordance with Charter Section 375, that it is in the best interest of the Department of Recreation and Parks (RAP) to prequalify contractors to be eligible to bid on projects for environmental site assessment and remediation services including environmental due diligence in order to expedite the solicitation and award of such services for projects on an as-needed basis in light of the significant number of projects in need of such services which are anticipated for the foreseeable future;

2. Find, in accordance with Charter Section 371(e)(10), that use of competitive bidding would be undesirable, impractical or impossible or is otherwise is excused by the common law and the Charter because, unlike the purchase of a specified product, there is no single criterion, such as price comparison, that will determine which proposer can best provide the services required by RAP to provide as-needed environmental site assessment and remediation services;

3. Find, in accordance with Charter Sections 371(e)(2) and 372, and Los Angeles Administrative Code Section 10.15(a)(2), that it is in the best interest of RAP to have pre-qualified contractors and that competitive bidding is not practicable or advantageous or compatible with RAP's interests in having available pre-qualified, as-needed contractors as it is necessary for the RAP to be able to call on pre-qualified contractors to perform this expert, technical work as-needed and on an occasional, but frequent, basis with each individual project being awarded on the basis of availability of an as-needed, pre-qualified contractor to perform the work, the price to be charged and the unique expertise of the as-needed contractor;

4. Find, in accordance with Charter Section 1022, that RAP does not have available in its employ, personnel with sufficient time or necessary expertise to undertake
environmental site assessment and remediation services in a timely manner, and it is more feasible, economical and in RAP's best interest, to secure these services by contract with pre-qualified contractors to perform this work on an as-needed basis based on bids to be received from the prequalified contractors for each qualifying environmental site assessment and remediation project;

5. Approve the waiver of informalities in the responses of the following three (3) recommended contractors in connection with their responses to RAP's Request for Qualifications (RFQ) for Environmental Site Assessment and Remediation released on September 4, 2020, as more fully set forth in this Report;

   a. ACC Environmental Consultants, Inc.
   b. EEC Environmental
   c. Alisto Engineering Group

4. Approve the award and execution of the as-needed services contracts for environmental site assessment and remediation services (Contracts), in substantially the form attached to this Report as Attachment 1, between RAP and the following pre-qualified contractors, for a term of three (3) years with no guaranteed annual expenditure but for an amount not to exceed Seven Million Dollars ($7,000,000.00) per contract per year, subject to approval of the Mayor and the City Attorney as to form;

Twenty-five (25) recommended contractors:

   a) ACC Environmental Consultants, Inc.
      7977 Capwell Drive, Suite 100
      Oakland, CA 94621

   b) AECOM Technical Services, Inc.
      300 S. Grand Avenue
      Los Angeles, CA 90071

   c) Alisto Engineering Group
      2737 N. Main Street, Suite 200
      Walnut Creek, CA 94597

   d) Apex Companies, LLC
      1962 Freeman Avenue
      Signal Hill, CA 90755

   e) Arcadis US, Inc
      445 S. Figueroa Street, Unit 3650
      Los Angeles, CA 90071
f) Catalyst Environmental Solutions Corporation  
   315 Montana Avenue, #311  
   Santa Monica, CA 90403

g) Dudek & Associates, Inc.  
   605 Third Street  
   Encinitas, CA 92024

h) EEC Environmental  
   City Boulevard West, Suite 1800  
   Orange, CA 92868

i) EFI Global Inc.  
   5261 W Imperial Highway  
   Los Angeles, CA 90045

j) ENGEO  
   2010 Crow Canyon Place, Suite 250  
   San Ramon, CA 94583

k) EnSafe  
   5724 Summer Trees Drive  
   Memphis, TN 38134

l) Fugro USA Land, Inc.  
   5855 Rickenbacker Road  
   Commerce, CA 90040

m) Kleinfelder, Inc.  
   707 Wilshire Boulevard, Suite 1450  
   Los Angeles, CA 90017

n) Leighton Consulting, Inc.  
   17781 Cowan  
   Irvine, CA 92614

o) Ninyo & Moore  
   475 Goddard, Unit 200  
   Irvine, CA 92618

p) Orion Environmental Inc.  
   2955 Redondo Avenue  
   Long Beach, CA 90806
q) Partner Engineering and Science, Inc
   2154 Torrance Boulevard, Suite 200
   Torrance, CA 90501

r) Ramboll US Corporation
   7250 Redwood Boulevard, Suite 105
   Novato, CA 94945

s) Remdox
   2073 Linnington Avenue
   Los Angeles, CA 90025

t) Rincon Consultants, Inc
   180 N. Ashwood Avenue
   Ventura, CA 93003

u) Rubicon Engineering Corporation
   12831 Newport Avenue, Suite 200
   Tustin, CA 92780

v) Stantec Consulting Services Inc.
   300 N. Lake Avenue
   Pasadena, CA 91101

w) Terraphase Engineering Inc.
   1404 Franklin Street, Suite 600
   Oakland, CA 94612

x) Tetra Tech, Inc.
   707 Wilshire Boulevard, 23rd Floor
   Los Angeles, CA 90017

y) Wood Environment & Infrastructure Solutions, Inc.
   6001 Rickenbacker Road
   Los Angeles, CA 90040-303

5. Direct the Board of Recreation and Park Commissioners (Board) Secretary to transmit the Contracts to the Mayor in accordance with Executive Directive No. 3 (Villaraigosa Series) and concurrently to the City Attorney for review and approval as to form;

6. Authorize the Board President and Secretary to execute the Contracts upon receipt of the necessary approvals; and,

7. Authorize RAP’s General Manager or designee to make technical corrections as necessary to carry out the intent of this Report.
SUMMARY

RAP’s regular operations require environmental site assessment and remediation services that staff cannot provide, therefore one or more environmental site assessment and remediation service contracts are required. The current set of environmental site assessment and remediation services contracts that RAP has in place are set to expire throughout a five-month period beginning on May 9, 2021 and running through October 9, 2021. RAP uses these contracts to perform environmental site assessment and remediation in accordance with the United States Environmental Protection Agency’s (EPA) Standards and Practices for All Appropriate Inquiries (40 CFR Part 312) when it acquires property for park use through a purchase, donation, or transfer.

An Environmental Site Assessment and Remediation RFQ was released on September 4, 2020. A Mandatory Pre-Qualification Meeting was conducted on September 17, 2020 and a second Mandatory Pre-Qualification Meeting was conducted on September 24, 2020. A Non-Mandatory Technical Review Meeting was conducted on September 30, 2020.

The scope of services of the Environmental Site Assessment and Remediation RFQ included the performance of environmental due diligence to determine whether past and/or current uses of a real estate parcel(s), including the underlying land as well as physical improvements to the property, were involved in the manufacture, storage, release and/or disposal of petroleum and petroleum-based substances, hazardous, toxic and/or biological materials with actual or potential effects on the environmental condition of the property. This environmental due diligence is required before a property’s purchase by, or transfer to, RAP for public park and recreational uses, or in the case of RAP-owned property, before proposed development actions.

The level of environmental due diligence requested by RAP may take the form of a Transaction Screen Process (TSP), Phase I Environmental Site Assessments, and Phase II Environmental Site Assessments. These reports must be prepared in accordance with EPA’s “All Appropriate Inquiry” standard and the most current guidelines established by the American Society for Testing Materials (ASTM). Responders were asked to demonstrate their capability of performing and providing the above services as requested by RAP. Responders were required to provide evidence of their qualifications to perform the above and were required to meet all of the minimum requirements related to work experience, professional licenses, a representative projects list and required project documentation.

Results of the RFQ Process

The intent of the RFQ was to produce a list of pre-qualified contractors to be eligible to compete for work projects on an as-needed basis. RAP staff evaluated the responses received to make recommendations to the Board regarding the selected Respondents with whom to enter into contracts for the provision of as-needed services. RAP is recommending the execution of contracts with multiple Respondents for inclusion on the list. Selection of Responders recommended for a contract is based on the completeness of their response and the Respondent’s qualifications.
All qualifications were required to be provided on the Project Qualification Form which was provided in Attachment I to the RFQ. Responders were directed to complete additional Project Qualification Forms as necessary. Responders must have met all minimum requirements in order to qualify for a contract award. If acceptable proof of qualifications was not provided, the response was to be considered non-responsive.

Responses were evaluated with a two-level review to determine if each responder met the minimum qualifications as stated in the RFQ document. The first level determined if the responder submitted a complete package and all required forms. The second level focused on the qualifications and quality of the information provided and whether the experience submitted met the minimum qualifications as stated in the RFQ. A representative project list of nine projects was requested from each Responder and Respondents were directed to provide six items of information for each project: a title, a brief description of the project, a Table of Contents, the service date, the client’s name and a reference contact. It was found through review and verification by RAP staff that the recommended contractors met and/or exceeded the minimum qualifications as set forth in the RFQ. Of the thirty-four (34) responders, twenty-two (22) submitted complete packages and three (3) responders submitted packages with minor informalities. RAP staff recommends waiving these informalities as it will be in the interest of RAP by increasing competition in the bid process for projects. Nine (9) responders are not being recommended to the Board for reasons listed below. The following three (3) firms have informalities which RAP recommends be waived by the Board:

a. ACC Environmental Consultants, Inc., submitted a bid that lacked a required Notarization on Section A, the RESPONDENT’S SIGNATURE DECLARATION AND AFFIDAVIT. Additionally, on page twenty-one (21), the firm indicated incorrectly that it had been involved in an unspecified bankruptcy. Further, the NON-COLLUSION AFFIDAVIT TO ACCOMPANY PROPOSAL/BID/SUBMISSION OF QUALIFICATION lacked a notarial seal. Corrections were submitted to the Board office via email on December 16, 2020.

b. EEC Environmental's submission, on page 57, question three, both yes and no were checked. The bidder emailed that "no" was the correct choice and sent corrections to the Board Office on November 18, 2020.

c. Alisto Engineering Group's submission was missing Attachment A for Licenses. Upon request, an updated license list was provided on December 8, 2020.

Staff verified the responses of thirty-two (32) Responders to determine which had met all of the minimum qualifications and provided complete reports containing all requested items of information. RAP staff also surveyed the Responders’ provided references verifying that a majority of references were favorable for each Responder. It is recommended that each of the twenty-five (25) recommended Responders be selected to be eligible to bid on future RAP projects for environmental site assessment and remediation services for which they have qualified.

Once awarded an Environmental Site Assessment and Remediation contract as authorized under this Report, the pre-qualified contractors will be eligible to submit bids for projects as may
be specified by RAP on an as-needed basis. The pre-qualified contractors will only be able to submit bids for projects for which it pre-qualified under the RFQ, namely, environmental site assessment and remediation services. Pre-qualified contractors will be notified of requests for bids on specified projects for which the firm is prequalified.

RAP staff recommends the Board approve the award of the Environmental Site Assessment and Remediation Contracts to the recommended contractors as identified in this Report and authorize the Board President and Secretary to execute such contracts with each of them, subject to approval by the City Attorney, Mayor’s Office. The selected pre-qualified vendors are being recommended to the Board for an as-needed, three (3) year contract in an amount not to exceed an annual expenditure of Seven Million Dollars ($7,000,000.00) per contract, per year. The contract amount is an estimate, and RAP does not guarantee that the contract maximum amount will be reached or that any of the pre-qualified vendor’s bids on any project will be selected. The environmental site assessment and remediation services that RAP will be requesting through project bids under these contracts shall be on an as-needed basis; RAP, in entering into each of these contracts, guarantees no minimum amount of business or compensation.

On October 29, 2020, RAP received responses from the following thirty-four (34) entities in response to the RFQ:

a) ACC Environmental Consultants, Inc.
b) AECOM Technical Services, Inc.
c) Applied Earth Sciences (AES)
d) Alisto Engineering Group
e) Apex Companies, LLC
f) ARCADIS Us, Inc
h) ATC Group Services LLC
j) Cardno
k) Catalyst Environmental Solutions Corporation
l) Citadel EHS
m) Converse Consultants
n) Dudek & Associates, Inc.
o) EEC Environmental
p) EFI Global Inc.
q) ENGE0
r) EnSafe
u) Fugro USA Land, Inc.
v) Intertek-PSI
w) Kleinfelder, Inc.
x) Leighton Consulting, Inc.
y) Ninyo & Moore
z) Orion Environmental Inc.
aa) Partner Engineering and Science, Inc
bb) Pinnacle Environmental Technologies
cc) Ramboll US Corporation
dd) Remdox
ee) Rincon Consultants, Inc
ff) Rubicon Engineering Corporation
gg) Stantec Consulting Services Inc.
hh) Terraphase Engineering Inc.
ii) Tetra Tech, Inc.
jj) TRC Solutions, Inc.
kk) Wood Environment & Infrastructure Solutions, Inc.
ll) WSP USA Inc.

The following firms did not successfully complete the two-level review process for reasons as outlined below and cannot be recommended for an as-needed contract:

1. Applied Earth Sciences (AES) failed to submit compliance documents.
2. Intertek-PSI failed to submit compliance documents.
3. Converse failed to submit Section E or Section K (Form 55).
4. In the submission for ATC Group Services LLC, the licensed PGs or PEs curricula did not show any experience in either Phase I or Phase II site assessment as per the requirements of the RFQ; Phase I site assessment submissions were incomplete as well.
5. Cardno failed to submit Form 50.
6. In the submission for Citadel EHS, the resumes of the relevant personnel do not report any of the required experience with Phase I or Phase II site assessment.
7. Pinnacle Environmental Technologies did not submit the required licenses and expiration dates. Furthermore, the resumes did not list Phase I and II site assessment.
8. The submission for TRC Solutions, Inc. omitted the table of contents from all nine reports. The lack of a table of contents is an omission and not a waivable informality because it was one of six clearly defined items of information that was specifically requested to be included in each of the submitted project documents.
9. WSP USA Inc. did not provide a copy of the licenses with the expiration date.

FISCAL IMPACT

The award and execution of these as-needed Environmental Site Assessment Contracts will have no immediate impact on the RAP’s General Fund as funding will be identified on a per project basis.

STRATEGIC PLAN INITIATIVES AND GOALS

Approval of this Report advances RAP’s Strategic Plan by supporting:

Goal No. 3: Create and Maintain World Class Parks and Facilities
This Report was prepared by John Busby, Senior Management Analyst I and reviewed by Matthew Rudnick, Assistant General Manager, Special Operations Branch.

LIST OF ATTACHMENTS/EXHIBITS

1. Contract for Environmental Site Assessment and Remediation Services
2. Request for Qualifications (RFQ) for Environmental Site Assessment and Remediation Services
3. Attachments I, II, and III to this RFQ
4. Amendments 1, 2, 3, and 4 to this RFQ
CONTRACT

BETWEEN

THE CITY OF LOS ANGELES

DEPARTMENT OF RECREATION AND PARKS

AND

TBD

FOR ENVIRONMENTAL SITE ASSESSMENT AND REMEDIATION SERVICES

This CONTRACT ("Contract" or "Agreement") is made and entered into this _____ day of ___________ 2021, by and between the City of Los Angeles, (herein referred to as "CITY"), a municipal corporation acting by and through its Department of Recreation and Parks (hereinafter referred to as "RAP"), acting by and through its Board of Recreation and Park Commissioners (hereinafter referred to as "BOARD"), and TBD, hereinafter referred to as CONTRACTOR. CITY and CONTRACTOR shall be referred to hereinafter as the "Parties".

RECITALS

WHEREAS, RAP owns various facilities and infrastructure throughout the City of Los Angeles and is responsible for the maintenance and improvements for such facilities and infrastructure; and

WHEREAS, RAP requires the services of an experienced and responsible contractor to perform as-needed environmental site assessment and remediation services of the facilities and parks in the CITY; and

WHEREAS, a Request for Qualification (RFQ) for such services was released on September 4, 2020, and thirty-four responses to the RFQ were received on October 29, 2020; and

WHEREAS, the CONTRACTOR’S response met the minimum requirements for the provision of environmental site assessment and remediation services of RAP’s facilities as specified in the RFQ; and

WHEREAS, CONTRACTOR has the necessary equipment and staff possessing sufficient knowledge, expertise, and experience required to provide the necessary services and has indicated its willingness to perform such services; and
WHEREAS, as a pre-qualified contractor selected through the RFQ, CONTRACTOR shall be invited to bid on projects for environmental site assessment and remediation services on an as-needed basis (each a “Project”), and, if CONTRACTOR is awarded any such Project, CONTRACTOR has indicated its willingness to provide the necessary services for the Project upon the terms and conditions set forth in (1) this Agreement, (2) the RFQ and CONTRACTOR’s response to the RFQ (“RFQ Documents”), and (3) the bid notice/documents for the applicable Project and CONTRACTOR’s response thereto (“Bid Documents”); and

WHEREAS, RAP, pursuant to Charter Sections 371(e)(2) and 375, finds that it is in its best interest to have pre-qualified contractors and that competitive bidding is not practicable or advantageous as it is necessary for RAP to be able to call on qualified contractors to perform this work as-needed and on an occasional, but frequent, basis without engaging in a new competitive process for each individual project to be performed; however, from among as needed pre-qualified contractors each individual project is assigned on the basis of availability of an as-needed contractor to perform the work, the price to be charged and the unique expertise of the as-needed contractor; and,

WHEREAS, the RAP, pursuant to Charter Section 371(e)(10), finds that use of competitive bidding would be undesirable, impractical or impossible or is otherwise excused by the common law and the City Charter because, unlike the purchase of a specified product, there is no single criterion, such as price comparison, that will determine which proposer can best provide the services required by RAP to provide as-needed environmental site assessment and remediation services; and

WHEREAS, RAP, pursuant to Charter Sections 372 and 375, and Los Angeles Administrative Code Section 10.15(a)(2), finds that obtaining competitive proposals or bids for each individual project for which work may be performed pursuant to this Agreement is not reasonably practicable or compatible with RAP’s interests of having available as-needed contractors who are assigned various projects on the basis of availability, price and expertise and that it is therefore necessary to have several as-needed contractors for this type of service available when called upon by the RAP to perform services; and,

WHEREAS, RAP, pursuant to Charter Section 1022, does not have sufficient or adequate personnel in its employ to undertake this task on an emergency basis and it is more feasible and economical to secure said services by contract.

NOW, THEREFORE, the Parties, in consideration of the recitals above and of the terms, covenants, and conditions contained herein, agree as follows:

SECTION 1 - PARTIES TO CONTRACT, REPRESENTATIVES AND NOTICE

1.1 Parties

The parties to this Contract are:
CITY - The City of Los Angeles Department of Recreation and Parks, a municipal corporation, having its principal office at 221 North Figueroa Street, Suite 300, Los Angeles, California 90012.

CONTRACTOR – TBD, having its principal office at TBD

1.2 Representatives

The representatives of the parties who are authorized to administer this Contract and to whom formal notices, demands and communications will be given for as follows:

CITY’s representative will be:

Michael A. Shull, General Manager or designee
Department of Recreation and Parks
221 North Figueroa Street, Suite 350
Los Angeles, California 90012

With copies to:

Department of Recreation and Parks
Attention: Lisa Walldez
Planning Construction & Maintenance Branch
221 N. Figueroa St. 4th Floor
Los Angeles, CA 90012
Lisa.Walldez@lacity.org

CONTRACTOR’S representative will be:

Representative
Company Name
Street
City, State Zip Code

Telephone Number:
Fax Number:
Email:

1.3 Notices
Formal notices, demands and communications to be given hereunder by either party will be made in writing and may be effected by personal delivery or certified mail, return receipt requested and will be deemed communicated as of the date of receipt.

If the person designated to receive the notices, demands or communications or the address of such person is changed, written notice shall be given, in accord with this Section, within five (5) working days of the change.
SECTION 2 - TERM OF CONTRACT

The term of this Contract shall be for no more than three (3) years from the date of execution of this Contract by the City, subject however to earlier termination by RAP as provided in Appendix A – The Standard Provisions for City Contracts (10/17) [v.3] (or most recent).

SECTION 3 - SERVICES TO BE PERFORMED BY THE CONTRACTOR

3.1 Conduct of Operations

A. At all times, work must conform to all current, relevant Federal, State and Local Municipal Building Codes which may include but not be limited to the California “Green Book” Building Codes, Universal Building and Electrical Codes, Los Angeles City Building and Electrical Codes.

B. The Contractor shall endeavor to maintain good public relations at all times. Any work awarded under this Contract shall be conducted in a manner that will cause the least possible interference with or annoyance to park patrons or RAP employees.

C. A qualified supervisor shall be present and readily available to City personnel and the public during hours of operation at each work site. The site supervisor shall be available to RAP’s Contract Inspector at all times during normal working hours. Avoiding contact with the Contract Inspector may result in suspension of work awarded under this Contract without extension of any such work.

D. Contractor’s working hours must coincide with those of the Department of Recreation and Parks (Monday through Friday, 7:00 a.m. – 3:30 p.m., excluding City holidays). The Department of Recreation and Parks must first approve any deviation from these hours and/or work on weekends and/or holidays.

E. The Contractor shall carefully protect from damage all existing trees, shrubs, plants, fences, and other features. The Contactor shall be liable for any and all damage(s) caused by contract operations to such trees, shrubs, plants, other growth and features or property. All damaged trees, shrubs, plants, other growth and features, and property shall be replaced or restored to their original condition to the satisfaction of the Contract Inspector at Contractor’s expense.

F. At all times, traffic control measures should conform to the Work Area Traffic Control Handbook, latest edition, published by Building New, Inc. Pedestrian and vehicular traffic shall be allowed to pass through the work area only under conditions of safety and with as little inconvenience and delay as
possible. The Contractor shall provide and maintain adequate barricades and warning devices. Flag persons shall be stationed as reasonably necessary for the safety of persons and vehicles.

G. The roads and pathways shall be left free of debris at the close of each day’s operation.

H. Contractor will be responsible for all safety requirements and certifications in accordance with CAL-OSHA rules and regulations. It will be the Contractor’s responsibility to assess the work location and implement safety controls and procedures that are compliant with Title 8 of the California Code of Regulations. All projects will be awarded to Contractor as a “Single Employer” in accordance with CAL OSHA classifications. Contractor will be responsible and have full control over all construction activities as well as safety requirements thereof, for each as-need project awarded under this Contract.

I. The Contractor shall notify the Contract Inspector at least twenty-four (24) hours prior to starting the work under this Contract.

J. If the Contractor, after having officially started any project under this Contract, should discontinue work for any cause, the Contractor shall notify the Contract Inspector of intent to do so, and shall further notify the Contract Inspector of the date of re-starting operations.

K. All work awarded under this Contract shall be completed to the satisfaction of the RAP Contract Inspector. Work will be considered complete only when signed off by the RAP’s Contract Inspector. Work shall be performed to the specifications as determined by the CITY.

L. Failure to comply with any requirement contained herein may result in suspension of project work awarded under this Contract without extension.

M. The RAP Contract Inspector must approve any request for sub-contracting of work prior to such subcontracting.

N. Contractor shall provide equipment and personnel for all tasks for all project work awarded under this Contract.

O. Contractor shall comply with all provisions set forth in the RFQ which identifies obligations, legal or otherwise, for which the selected contractor under the RFQ must comply, including compliance with the applicable provisions of the Labor Code of the State of California relating to Public Works wages, including any prevailing wage requirements.

P. For each Project awarded under this Contract, the Bid Documents for such
Project as well as the Notice to Proceed for such Project shall be fully incorporated into and made a part of this Agreement, and CONTRACTOR shall comply with all provisions and requirements and fully perform each and all of the provisions of this Agreement, the RFQ Documents, the Bid Documents, and the Notice to Proceed which are required of it to be performed.

3.2 SERVICES TO BE PROVIDED BY THE CONTRACTOR:

A. On an as-needed basis, Contractor shall perform the following services as may be requested by RAP: Conduct environmental due diligence to determine whether past and/or current uses of a real estate parcel(s), which includes the underlying land as well as physical improvements to the property, were involved in the manufacture, storage, release and/or disposal of petroleum and petroleum-based substances, hazardous, toxic and/or biological materials that may have affected or has the potential to affect the environmental condition of the property, and provide reports in connection thereto. These environmental due diligence services shall be as set forth in the RFQ..

B. Contractor must perform all construction work according to all current, relevant Federal, State and Local Municipal Building Codes which may include but not limited to the California “Green Book” Building Codes, Universal Building and Codes, Los Angeles City Building and Safety Codes. Where applicable all work performed must comply with California’s energy code Title 24.

C. The specific services to be provided by CONTRACTOR for any projects awarded under this Contract shall be as set forth in the statement of work for such project and its related Notice to Proceed issued for such project, both of which shall be incorporated into and made a part of this Contract.

SECTION 4 - SERVICES TO BE PROVIDED BY THE CITY

4.1 CITY personnel will work cooperatively with the CONTRACTOR to ensure timely approvals of all items required under this Contract.

4.2 CITY will promptly act, review, and make decisions as necessary to permit the orderly progress of Contractor’s work under this Contract.

SECTION 5 - INSPECTION

5.1 CONTRACTOR must request final inspection from CITY representative for work completed at each site for each project awarded under this Contract.

5.2 CONTRACTOR will receive written notification for any services and/or delivery determined by the Project Manager (Construction and Maintenance Supervisor or
his/her designee) to be below an acceptable level. This notification shall be in the form of a “Notice to Correct Unacceptable Service.”

5.3 CONTRACTOR shall respond in writing to the Project Manager indicating what steps are being taken to correct the unacceptable service. If unacceptable service is not corrected after the CONTRACTOR receives the “Notice to Correct Unacceptable Service,” payment may be withheld by the CITY until corrections are made.

5.4 If unacceptable service continues, or if the CONTRACTOR receives three or more such notices, the CITY may terminate this Contract as described in PSC-9 Termination, of the Standard Provisions for City Contracts (10/17) [v.3] (or most recent), attached hereto and incorporated herein by reference as Appendix A.

SECTION 6 - COMPENSATION AND INVOICING

6.1 Compensation

CITY will pay CONTRACTOR an amount for service outlined in the “Notice to Proceed” for each individual project awarded under this Contract. The total compensation awarded under this Contract will not exceed Seven Million Dollars ($7,000,000.00) annually on an as-needed basis. CITY in entering in this Contract guarantees no minimum amount of compensation. CITY staff will monitor this not-to-exceed aggregate total.

6.2 CONTRACTOR shall inform CITY of any additional project costs due to unforeseen delays and unexpected changes to the scope of work. Additional project costs shall be itemized by CONTRACTOR and approved by CITY before payment is made to CONTRACTOR. CONTRACTOR must provide a report for each service line item that is awarded to the CONTRACTOR. These reports should reflect all pertinent information as it relates to the services performed. The Report should have the CONTRACTOR’s business name, address, contract number and contact phone, email and location where the service was performed. No payments shall be made by City accounting staff without an authorized signature from City Staff.

6.3 Invoicing

CONTRACTOR shall invoice upon completion of a project by submitting two (2) copies of the invoice which details the work performed in accordance with the original scope of work for the project and any approved change orders within thirty (30) days of completion of service.

CONTRACTOR shall submit invoices to:

Lisa Waldez or designee
All invoices shall be submitted on CONTRACTOR’S letterhead, containing CONTRACTOR’S official logo, or other unique and identifying information such as the name and address of CONTRACTOR. Staff may request evidence that the task has been completed, in the form of a report, brochure or photographs, which shall be attached to all invoices.

Invoices and supporting documentation shall be prepared at the sole expense and responsibility of CONTRACTOR. The City will not compensate CONTRACTOR for costs incurred in invoice preparation. The City may request changes to the content and format of the invoice and supporting documentation at any time. The City reserves the right to request additional supporting documentation to substantiate costs at any time.

Tasks that are completed by subcontractors shall be supported by subcontractor invoices, copies of pages from reports, brochures, photographs, or other unique documentation that substantiates their charges.

Failure to adhere to these policies may result in nonpayment pursuant to Charter Section 262(a), which requires the City Controller to inspect the quality, quantity, and condition of services, labor, materials, supplies, or equipment received by any City office or department, and to approve demands before they are drawn on the Treasury.

SECTION 7 - NON-EXCLUSIVITY

RAP and the CONTRACTOR understand and agree that this is a non-exclusive Agreement to provide services to RAP and that RAP may contract with other contractors to provide similar services during the term of this Agreement.

SECTION 8 - RATIFICATION

At the request of RAP, and because of the urgent need therefore, CONTRACTOR may have begun performance of services required hereunder prior to the execution of this Contract. By its execution hereof, CONTRACTOR hereby accepts that such services are subject to all of the terms, covenants, and conditions of this Contract, and CONTRACTOR’S performance of such service.

SECTION 9 - INCORPORATION OF DOCUMENTS
This Contract and exhibits represent the entire integrated agreement of the Parties and supersedes all prior written or oral representations, discussions, and agreements. The following documents are incorporated and made a part hereof by reference:

Appendix A. Standard Provisions for City Contracts (10/17) [v.3]
Appendix B. Form 146 Insurance Requirements
Appendix C. RFQ and Compliance Documents on file in Board Office as submitted by Responder

(Signature Page to Follow)
IN WITNESS WHEREOF, the Parties hereto have caused this Contract to be executed by their respective duly authorized representatives.

Executed this ___________ day of ________________________, 20____

THE CITY OF LOS ANGELES, a municipal corporation, acting by and through its BOARD OF RECREATION AND PARK COMMISSIONERS

By ________________________________

PRESIDENT

By ________________________________

SECRETARY

Executed this ___________ day of ________________________, 20____

NAME OF COMPANY

By ________________________________

PRESIDENT

By ________________________________

SECRETARY

Approved as to Form:

Date: ______________________________

Michael N. Feuer, City Attorney

By ________________________________
City of Los Angeles
Department of Recreation and Parks

Figueroa Plaza
221 North Figueroa St., Suite 300
Los Angeles, CA 90012

REQUEST FOR QUALIFICATIONS
ENVIRONMENTAL SITE ASSESSMENT AND REMEDIATION

RFQ Release Date: September 4, 2020
Mandatory Pre-Submission Meeting: September 17, 2020
Submission Deadline: October 29, 2020

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City of Los Angeles
Request for Qualifications
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II. Organizational Background

III. Scope of Work

IV. Minimum Qualifications

V. Evaluation, Selection and Award of Work

ATTACHMENTS

Attachment 1 – Instructions to all Respondents

Attachment 2 – Compliance Documents

Attachment 3 – Standard Provisions for all City Contracts (Rev. 10/17)[v.3]
I. INTRODUCTION

Firms interested in providing Environmental Site Assessment and Remediation Services are invited to submit a Statement of Qualifications to the City of Los Angeles Department of Recreation and Parks (RAP) in response to this Request for Qualifications (RFQ). RAP recognizes the continuing need to maintain the high environmental standards of our parks as well as to monitor and remediate potential environmental harm as expeditiously as possible. Further, in anticipation of the 2028 Olympics, as-needed services for environmental site assessment and remediation service will be required as RAP retrofits, maintains and repairs many of its park facilities.

The purpose of this RFQ is to pre-select a qualified bench of vendors for Environmental Site Assessment and Remediation Services. This RFQ is the first of a two-phase procurement process, the second phase being the bid and award of as-needed individual projects and issuance of notices to proceed (NTP) on those projects. Firms pre-qualified under this RFQ will be awarded a pre-qualified contract for a three (3) year term. The pre-qualified contract for as-needed services will have an annual cap not to exceed seven (7) million dollars. All pre-qualified contractors awarded a contract will compete for projects issued by RAP on an as-needed basis. In order to continue to provide services and to maintain facilities and amenities at a high level of safety and in compliance with applicable laws and regulations, RAP will require the services of firms providing Environmental Site Assessment and Remediation. In awarding these as-needed contracts RAP guarantees no minimum compensation. RAP will evaluate Responses firms submit to this RFQ based on evaluation criteria identified herein and will select Respondents it deems both responsive and qualified. RAP will only recommend those Respondents deemed both responsive and qualified to the Board of Recreation and Park Commissioners (Board) for a contract award.

The Statements of Qualifications (submitted on the Project Submission Forms attached) should clearly articulate a Respondent’s work experience delivering the above and similar services.

II. ORGANIZATIONAL BACKGROUND

RAP provides stewardship to more than 16,000 acres of land, and offers extensive recreational, social and cultural programs at over 450 parks located across the City of Los Angeles. RAP maintains and operates a vast recreational infrastructure including hundreds of athletic fields, children’s playgrounds, basketball and tennis courts, community and recreation centers, aquatics facilities, senior centers, skate parks, golf courses, museums, dog parks and many other community assets. RAP is proud to be one of the City’s most comprehensive social service providers, offering an array of diverse, interesting and enriching recreational, educational, and cultural programs that serve youth, adults and seniors. RAP has a diverse program of festivals and events including but not limited to the Summer Concert Series in Pershing Square, the Lotus Festival, and Summer Light the Nights programs, as well as providing the facilities for various sports leagues.
III. SCOPE OF WORK

Environmental Site Assessment and Remediation includes but is not limited to the following:

Selected responders will conduct the environmental due diligence process to determine whether past and/or current uses of a real estate parcel(s), which includes the underlying land as well as physical improvements to the property, were involved in the manufacture, storage, release and/or disposal of petroleum and petroleum-based substances, hazardous, toxic and/or biological materials that may have affected or has the potential to affect the environmental condition of the property. This environmental due diligence is required before its purchase by, or transfer to, RAP for public park and recreational uses, or in the case of RAP-owned property, before proposed development actions.

The level of environmental due diligence requested by RAP may take the form of a Transaction Screen Process (TSP), Phase I Environmental Site Assessments, and Phase II Environmental Site Assessments. These reports must be prepared in accordance with the U.S. Environmental Protection Agency’s (EPA) “All Appropriate Inquiry” standard and the most current guidelines established by the American Society for Testing Materials (ASTM) and are defined by the ASTM as follows. All Responders to this RFQ must be capable of performing and providing these services as described herein and will perform and provide these services as requested by RAP:

- **Phase I Environmental Site Assessment (ASTM E1527-13):** Responder will review and report to RAP, as requested by RAP, local, state and federal governmental records and electronic databases concerning the historical land uses of the subject property, and hazardous materials incidents and activities associated with the subject property, neighboring properties, and properties within a one-mile radius of the subject property; site reconnaissance; and interviews. Additional scope items, such as lien searches, surveys (for lead, asbestos, or mold), investigation into the presence of radon, mercury, methane, or any other potential contaminants may be added or requested on behalf of RAP.

- **Transaction Screen Process (ASTM E1528-14):** Responder will review and report to RAP, per RAP’s request, less extensive governmental record and database searches as compared to Phase I Environmental Site Assessments.

- **Phase II Environmental Site Assessment (ASTM E1903-19):** Responder will review and report to RAP, per RAP’s request, detailed physical investigation work using sound scientific methodology to generate site-specific data, including sample collection and analytical testing of soil, air, groundwater, surface water, and/or buildings and other structures, and recording observations in regard to site conditions. The data collected may be used to identify on-site and off-site contaminant source areas, contaminant transport mechanisms, remedial options and other relevant information.

- **Conceptual Site Models and Risk Based Corrective Actions (ASTM E1689-14 and E2081-15):** The selected responder will provide reports to RAP, upon the request of RAP, detailing conceptual site models and risk based corrective actions. The information gained through Phase I and II site investigations characterize the physical, biological, and chemical systems existing at a contaminated site. Therefore, the process is called "site characterization." The processes that determine contaminant releases, contaminant migration, and environmental receptor exposure to contaminants described and integrated the information into a conceptual site model. The development of conceptual site models is used for the following: (1) integration of technical...
information from various sources, (2) support the selection of sample locations for establishing background concentrations of substances, (3) identify data needs and guide data collection activities, and (4) evaluate the risk to human health and the environment posed by a contaminated site. Integration of site characterization with human health risk assessment in a conceptual site model in turn helps to determine the need for remedial action and to tailor corrective action activities to site-specific conditions and risks. Risk-based corrective actions help to direct and streamline the corrective action process and to complement federal, state and local regulations. It can also help where the user wishes to conduct corrective action such as sites in voluntary cleanup programs or under Brownfields initiatives.

IV. MINIMUM QUALIFICATIONS

Office Locations: Respondents must have an established office(s) in Southern California (Los Angeles, Orange, Riverside, San Bernardino, San Diego and Ventura counties).

The qualifying Respondent must demonstrate knowledge and experience in the preparation of Transaction Screens in accordance with ASTM Standard E1528-14, Phase I Environmental Site Assessments for All Appropriate Inquiries in accordance with ASTM Standard E1527-13, Phase II Environmental Site Assessments in accordance with ASTM Standard E1903-19, and related standards. In addition, the qualifying Respondent must demonstrate knowledge and experience in site characterization and remedial investigations for developing site models and risk-based corrective actions at contaminated sites in accordance with ASTM Standard E1689-14 and E2081-15, and related standards.

General Requirements. All Respondents MUST meet the following qualifications:

1) Provide a brief (maximum of 3 pages) statement of the Company’s general background information related to conducting environmental site assessment services, including the number of years performing both Phase I and II site assessment work, and the organizational approach and other resources used in the performance of the proposed contract work.

Note: Responder background information is for informational purposes only.

2) Have an established office(s) within Southern California (Los Angeles, Orange, Riverside, San Bernardino, San Diego, and Ventura Counties). The response shall include the address of the office location(s) that will have the primary responsibility for providing client services and the name and phone number of the principal office manager(s).

3) Provide work experience history for the “Environmental Professional(s)” (pursuant to the 40 CFR §312.10(b)) that will be supervising, managing, and/or completing the environmental assessments and remediation planning.

4) Provide the work experience history and copy of the license of Responder’s Professional Geologist and/or Professional Engineer.

5) Representative Project List:

Only reference projects completed between January 1, 2013 to the present (December 31, 2020). Projects related to the acquisition of land for future park purposes completed by your Southern California office are preferred, but are not required to qualify. Receiving satisfactory feedback from project references will be the basis for qualification. Reference projects may
include work performed as a subcontractor (under a prime, etc) for a government agency. However, please limit the number of projects where your company is not the prime contractor to four (4) of the total nine (9) projects requested below:

- **a.** List five (5) Phase I ESA projects. Include the following information for each: the title and a brief description of the project, the Table of Contents, the service date, and the client name, and contact reference. Assessments must have been one hundred percent (100%) completed by the Responder (no sub-consultants allowed).

- **b.** List two (2) Phase II ESA projects. Include the following information for each: the title and a brief description of the project, the Table of Contents, the service date, and the client name, and contact reference. The use of sub-consultants is acceptable.

- **c.** List two (2) Site Characterization and/or Remedial Investigation projects. Include the title and a brief description of the project, the Table of Contents, the service date, and the client name and contact reference. The use of sub-consultants is acceptable.

### 6) Required Project Documents:

Provide the following documents referenced from Representative Project Lists on CD. Please do not provide hard copies of reports. All documents should demonstrate the work was performed in accordance with the applicable ASTM Standard and completed to the satisfaction of the client. Documents related to the acquisition of land for future park purposes completed by your Southern California office are preferred, but are not required.

- **a.** Two (2) Phase I ESA reports
- **b.** One (1) Phase II ESA report
- **c.** One (1) Site Characterization or Remedial Investigation report.

All projects demonstrating qualifications must be submitted on the Project Qualification Submission Form in Attachment I and all information required on this form must be submitted complete. If any information is omitted, it may be deemed unqualified.

**CERTIFICATION REQUIREMENT FOR ENVIRONMENTAL SITE ASSESSMENTS:**

**PHASE I ENVIRONMENTAL SITE ASSESSMENTS**

In accordance with ASTM E 1527-13 parameters, to qualify for Phase I environmental site assessment services a responder must provide evidence of staff resources that qualify as an “Environmental Professional” who will maintain responsible charge of the relevant contract work as follows:

1. a current Professional Engineer’s or Professional Geologist’s license or registration from a state or U.S. territory with 3 years equivalent full-time experience in preparing Phase I ESAs; or
2. a Baccalaureate or higher degree from an accredited institution of higher education in a discipline of engineering or science and 5 years equivalent full-time experience in preparing Phase I ESAs; or
3. the equivalent of the last 10 years of full-time experience in preparing Phase I ESAs.

**PHASE II ENVIRONMENTAL SITE INVESTIGATIONS**

In accordance with ASTM E 1903-19 parameters, to qualify for Phase II site investigation services involving soil or groundwater sampling, boring logging, geologic mapping, well design, sampling and analysis plans for soil and ground water, and any other subsurface data collection and interpretation which constitute the practice of geology as defined in the Geologists and Geophysicist Act Section
7802, the responder must provide evidence of staff resources that qualify as a Professional Geologist or Professional Civil Engineer as follows:

1. a current Professional Civil Engineer's or Professional Geologist's license or registration from a state or U.S. territory with three (3) years equivalent full-time experience in preparing Phase II site investigations.

NOTE: A current license and/or registration number and expiration date is required. Relevant experience must be demonstrated by a list of publications prepared by the qualifying individual for the qualifying period. At least one of these publications must be included in the qualifying documentation required in this RFQ. Additional documentation may be requested for verification purposes.

V. EVALUATION, SELECTION, AND AWARD OF WORK

The intent of this RFQ is to produce a list of pre-qualified contractors that will be eligible to compete for work projects on an as-needed basis. RAP will evaluate the Responses received and make recommendations to the Board regarding the selected Respondents with whom to enter into contracts for the provision of as-needed services. RAP may recommend the execution of contracts with multiple Respondents for inclusion on the list. Contracts will be awarded based on the completeness of the Response and the Respondent’s qualifications.

The Respondent’s qualifications will be evaluated based on the minimum qualification criteria listed above in Section IV. MINIMUM QUALIFICATIONS. All qualifications MUST be provided on the Project Qualification Form which is in Attachment I to this RFQ. Print out additional Project Qualification Forms as necessary. Respondents must meet all of minimum requirements in order to qualify for a contract award. If acceptable proof of qualifications is not provided, the Response will be considered non-responsive.

All Responses submitted will undergo a two-level review. The Level I review will focus on whether the Respondent submitted a completed RFQ package as required. All required forms will be reviewed for context and required signatures. If Respondent did not provide a completed bid package, they may be deemed non-responsive and may not proceed to a Level II review.

A Level II review will focus on the actual qualifications provided by the Respondent on the required minimum work experiences, membership of professional organization, professional liability insurance minimum levels and the presentation of the minimum projects performed as required in the qualification section. All projects submitted will be reviewed and if necessary all references may be contacted to verify accuracy of information provided by the Respondent. If Respondent passes both the Level I and Level II review, the Respondent may be recommended to the Board for a three-year as-needed services.

This is a prequalified contract. RAP may recommend multiple prequalified Respondents for this contract. All prequalified Respondents will compete for projects issued by RAP on an as-needed basis. The award of this contract will be based on the Respondent’s qualifications, which will be evaluated based on the information provided in the Response.
## Required Insurance and Minimum Limits

Name: ____________________________  Date: 8/18/2020

Agreement Reference: RFQ - Environmental Site Assessment and Remediation

Evidence of coverages checked below, with the specified minimum limits, must be submitted and approved prior to occupancy/start of operations. Amounts shown are Combined Single Limits ("CSLs"). For Automobile Liability, split limits may be substituted for a CSL if the total per occurrence equals or exceeds the CSL amount.

### Workers' Compensation (WC) and Employer's Liability (EL)

<table>
<thead>
<tr>
<th>Limit</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>WC</td>
<td>Statutory</td>
</tr>
<tr>
<td>EL</td>
<td>1,000,000</td>
</tr>
</tbody>
</table>

- Waiver of Subrogation in favor of City
- Longshore & Harbor Workers
- Jones Act

### General Liability

City of Los Angeles must be named as an Additional Insured Party

- Products/Completed Operations
- Fine Legal Liability
  - with $2,000,000 aggregate, and $5,000,000 in Excess Liability

### Automobile Liability

(for any and all vehicles used for this contract, other than commuting to/from work)

- 1,000,000

### Professional Liability (Errors and Omissions)

Discovery Period: 12 Months After Completion of Work or Date of Termination

- 2,000,000

### Property Insurance

(to cover replacement cost of building - as determined by insurance company)

- All Risk Coverage
- Flood
- Earthquake

### Pollution Liability

- 1,000,000

### Surety Bonds - Performance and Payment (Labor and Materials) Bonds

### Crime Insurance

Other: Provided to: John Busby @ RAP: ph. (213) 202-5664

If a contractor has no employees and decides to not cover herself/himself for workers' compensation, please complete the form entitled "Request for Waiver of Workers' Compensation Insurance Requirement" located at http://cao.lacity.org/risk/insuranceForms.htm.

In the absence of imposed auto liability requirements, all contractors using vehicles during the course of their contract must adhere to the financial responsibility laws of the State of California.
Attachment I

Instructions to All Respondents
City of Los Angeles
Request for Qualifications

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  Slavery Disclosure Ordinance / Border Wall Disclosure Ordinance (Disclosure Ordinance)
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QUALIFICATIONS ARE REQUESTED FOR

AS-NEEDED ENVIRONMENTAL SITE ASSESSMENT AND REMEDIATION

LICENSE REQUIREMENTS / IMPORTANT DATES

MINIMUM LICENSE / PROFESSIONAL REQUIREMENTS:

PHASE I ENVIRONMENTAL SITE ASSESSMENTS
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1. a current Professional Civil Engineer's or Professional Geologist's license or registration from a state or U.S. territory with three (3) years equivalent full-time experience in preparing Phase II site investigations.

NOTE: A current license and/or registration number and expiration date is required. Relevant experience must be demonstrated by a list of publications prepared by the qualifying individual for the qualifying period. At least one of these publications must be included in the qualifying documentation required in this RFQ. Additional documentation may be requested for verification purposes.
MANDATORY PRE-QUALIFICATION MEETING:

A Mandatory pre-qualification meeting will be conducted at 2:00 P.M., on September 17, 2020 via zoom at the following link:

https://zoom.us/j/4596111835

Or telephonically at: +1 669-900-6833

A Non-mandatory Technical Review meeting will be conducted at 2:00 P.M., on September 30, 2020 via zoom at the following link:

https://zoom.us/j/4596111835

Or telephonically at: +1 669-900-6833

DEADLINE AND DELIVERY INFORMATION:

Responses must be received no later than 2:00 P.M. on October 29, 2020. For the safety of all during the current Covid-19 pandemic, responses will only be accepted electronically. No hard copy or hand delivery of responses will be accepted. Responses must be received by the deadline stated above delivered via email to: rap.commissioners@lacity.org

Each submission file must be 20 megabytes (MB) or smaller or broken up into multiple files not to exceed 20MB each. The response must have in its subject line the solicitation to which the submission is in response. If more than one file is sent in response, each email must be noted as part number of a series of how many in number total included in the subject line with the response title for the solicitation (for example part one of X number total).

Responses must be submitted via email as outlined above, clearly marked as follows:

➢ RFQ for ENVIRONMENTAL SITE ASSESSMENT AND REMEDIATION – RESPONSE ENCLOSED
➢ Name and Address of Firm

Responses openings:

Those wishing to observe the response opening may do so by joining the meeting using the following information:

Please use this link to join the meeting:

https://zoom.us/j/94399979220
or telephone call: +1 669-900-6833

Facsimile Responses or telegraphic modification of any RFQ document will not be considered. Late submittals will not be accepted. Responses received at any other location will be deemed non-responsive and returned to the Respondent. Responses sent in hard copy to our board will not be accepted and be deemed as non-responsive. As directed only email transmissions will be acceptable.
GENERAL DOCUMENTATION AND REQUIREMENTS FOR ALL RESPONDENTS:

A. **Introductory/Cover Letter (Maximum Length: Three (3) Pages)**
   1) Provide a brief narrative on the firm’s history, organizational structure and years in business;
   2) Discuss the firm’s ability to provide the scope of work or range of services identified in this RFQ;
   3) Identify the locations and sizes of the corporate headquarters and branch offices;
   4) Identify which office(s) will have the primary responsibility for providing client services and provide the name and phone number of the principal office manager(s).

*Note – One Cover Letter will be sufficient if qualifications in more than one service category is being submitted, provided that all relevant experiences are being included, addressed, and summarized in this one letter.*

B. **Professional Experience and Qualifications**
   1) Provide a brief summary of key personnel, including any sub-consultants/subcontractors, citing their education, work experience, and professional registrations, certifications and affiliations as applicable.
   2) Work experience should identify the year, job title, and the name of the employer at the time the work was performed (If résumés are included as part of this Response, they should be limited to two (2) pages for each person).
   3) Include a statement that the firm possesses the personnel necessary to provide the scope of work or services identified in this RFQ and meet the minimum certification requirements. Proof of these certifications/ licenses / degrees must be provided as part of this RFQ and attached to Qualification Submission Form for the specific corresponding applicable discipline.

C. **Office Locations:**
   Respondent must have an established office(s) within one of the following Southern California counties: Los Angeles, Orange, Riverside, San Bernardino, San Diego, or Ventura (designate the office address and key personnel who will be responsive to RAP’s task order solicitations).

D. **Compliance Documents and Business Identification Forms (Section II):**
   This is a new RFQ for a new contract. Previous compliance document submittals and/or waivers do not apply. New forms and new compliance documents must be completed, submitted with the response to this opportunity, and processed.

E. **Performance Bond**
   Respondents MUST have the ability to secure a Performance Bond for a minimum of Five Hundred Thousand Dollars ($500,000.00). Please note that some City projects may require a higher bonding level. Such determination is on a case-by-case basis.

   If a Performance Bond is required, full details of how and when to submit will be incorporated into the task order solicitation.

F. **Relevant Project Experience**
   All qualifications MUST be provided on Qualification Submission Form attached to this RFQ. Print out additional Forms as necessary. Respondents must meet the minimum requirements in order to be qualified.

G. **Accessibility Requirements**
   In order to improve accessibility of existing technology, and therefore increase the successful employment of individuals with disabilities, particularly blind and visually impaired and deaf and hard-of-hearing persons, please ensure that your programs comply with the accessibility requirements of Section 508 of the federal Rehabilitation Act of 1973, as amended (29 U.S.C. Sec. 794d), and regulations implementing that act as set forth in Part 1194 of Title 36 of the Federal Code of Regulations, and the Web Content Accessibility Guidelines (WCAG) 2.0, Level AA.
All qualifications MUST be provided on the QUALIFICATION SUBMISSION FORM SPECIFIC TO THE SERVICE CATEGORY APPLIED FOR in this RFQ. Print out additional Qualification Submission Forms in each service category as necessary. Respondents must meet the minimum requirements as written in the service category in order to be qualified.

RAP CONTACT FOR INFORMATION AND ASSISTANCE

Requests for clarification of conflicts and/or omissions from the RFQ and/or contract documents shall be addressed in writing via email only to the Contract Administrator:

John Busby
Department of Recreation and Parks
Finance Division

E-mail: john.busby@lacity.org

MANDATORY PRE-QUALIFICATION MEETING

Respondents are required to attend the mandatory pre-qualification meeting scheduled for September 17, 2020 at 2:00 P.M. via zoom at the following link:

https://zoom.us/j/4596111835

Or telephonically at: +1 669-900-6833

The purpose of the meeting is to inform prospective Respondents of the submittal information and provisions relative to this RFQ, including the City’s Business Inclusion Program, Equal Benefits Ordinance, Affirmative Action Program, Labor Code compliance, and any other applicable requirements.

All questions must be in writing and sent by email to john.busby@lacity.org with the subject line Environmental Site Assessment – Questions. Responses to questions will be posted to the Department’s website and to labavn.org. It is recommended that questions be submitted as soon as possible in order to provide the Department sufficient time to post written responses prior to the deadline to submit a response. Questions will be deemed late and may not be answered after 3:00 P.M., on October 14, 2020.

NON-MANDATORY TECHNICAL REVIEW MEETING

The non-mandatory technical review meeting is scheduled for 2:00 P.M., on September 30, 2020 via Zoom conference. For details please refer to instructions provided in the Request for Qualifications (RFQ). While attendance for this meeting is not required, respondents are encouraged to attend for their own benefit.

The purpose of the meeting is to review the prospective Respondents’ RFQ packages, to inform them of any missing forms and requirements, and allow them the opportunity to make any corrections before submitting their completed RFQ packages by the RFQ Submittal Deadline/Opening of Response.

RFQ SUBMITTAL ITEMS

Respondents must submit the following:

One complete RFQ response. For the safety of all during the current Covid-19 pandemic responses will only be accepted electronically. No hard copy or hand delivery of responses will be accepted. Responses must be received by the deadline stated above delivered via email to: rap.commissioners@lacity.org

Each submission file must be 20 megabytes (MB) or smaller or broken up into multiple files not to exceed 20MB each. The response must have in its subject line the solicitation to which the submission is in response. If more than one file is sent in response, each email must be noted
as part number of a series of how many in number total included in the subject line with the response title for the solicitation (for example part one of X number total).

Each original Response must include the RFQ documents, all pages, with any Addenda, and all required information, forms and documentation with original initials and signatures.

No means of response other than via email will be acceptable. Any other means of submission may deem the submission non-responsive.

THE RFQ RESPONSE MUST INCLUDE THE FOLLOWING:

- Respondent Contact Information and Signature Page
- General Documentation and Requirements for all Respondents (A – G) in Attachment I
- Attachment II Compliance Documents (all forms signed and submitted)
- All Qualification references as detailed in the Minimum Qualifications Section, submitted and covered by the Project Qualification Submission Form (note if more than one qualifier is open, the designation of which qualifiers are being responded to should be indicated).
- All online documentation including BIP, EBO/FSHO, and DISCLOSURE ORDINANCE must be completed
- Additional information as detailed in the body of the Introduction Section (if any)

All responses must show the RFQ title and the Responder’s name and address, with “RESPONSE ENCLOSED” indicated in bold letters, and must be received at the above email address not later than 2:00 P.M. on October 29, 2020 of the RFQ submittal date designated on pages three (3) and four (4) of this RFQ: “License Requirements/Important Dates”. Responders are invited to be present at the time of RFQ opening at the above address, at the time indicated. THIS IS NOT A BID, SO ONLY THE NAME OF THE RESPONDERS WILL BE READ AND RECORDED. City staff will then review the RFQ’s and MAY make recommendations to the Board (at a date to be determined) on the successful responders (if any) and award of an as-needed contract for the Commission’s consideration. NO Facsimile Responses or Facsimile modifications of Responses will be accepted. Supplemental material may be requested by the City and shall be submitted by the Responder in original form at the address stated above. Failure to submit a complete original response as required may result in your Response being deemed non-responsive.

Facsimile Responses or telegraphic modification of any RFQ document will not be considered. Late submittals will not be accepted. Responses received at any other location will be deemed non-responsive and returned to the Respondent. Responses sent in hard copy to our board will not be accepted and may be deemed as non-responsive. As directed only email transmissions will be acceptable.

Response Opening

Those wishing to observe the response opening may do so by joining the webinar using the following information (October 29, 2020 at 2:00 P.M.):

Please join by using this link to join the webinar:

https://zoom.us/j/94399979220
or telephone call: +1 669-900-6833

USE OF CITY-ISSUED FORMS

Respondents must complete and submit the forms provided. Any alteration or modification of the forms is prohibited. Any unauthorized conditions, limitations or provisions attached to an RFQ Response may be cause for rejection of the Response
SIGNATORIES AND SIGNATURE BLOCKS

Respondents must provide a sample signature block that includes the proper signatories and signatures as outlined below. Failure to provide the required signatories/signature(s) for contract documents with bid may render the Response non-responsive:

If the Respondent is:

An Individual (Individual DBA [Name of Company] Etc.,): Individual must sign, using full name.

A Partnership: One (1) general partner must sign.

A Joint Venture: All parties to the Joint Venture must sign.

A Corporation: The following signatories must sign and the corporate seal must be attached to such signatures:

- Two (2) signatures: One (1) by the Chairman of the Board of Directors, President, or a Vice President and one (1) by Secretary, Assistant Secretary, Chief Financial Officer or an Assistant Treasurer.
- One (1) signature by a Corporate-Designated Individual together with the properly attested resolution of the Board of Directors authorizing the person to sign on behalf of the corporation. An authorized agent may sign for a corporation provided the City is furnished a certified copy of the Board of Directors Resolution authorizing such person to execute the documents on behalf of the corporation. Minutes of the Board of Directors authorizing such person to execute the documents on behalf of the corporation. This certified copy must be certified by the Secretary or Assistant Secretary of the Corporation and the signature of the Secretary or Assistant Secretary must be affirmed by a notary jurat.

LOS ANGELES BUSINESS ASSISTANCE VIRTUAL NETWORK, (BAVN), MANDATORY BUSINESS INCLUSION PROGRAM (BIP) REQUIREMENTS TO BE COMPLETED ON-LINE

It is the policy of the City to provide Minority Business Enterprise (MBE), Women Business Enterprise (WBE), Small Business Enterprise (SBE), Emerging Business Enterprise (EBE), Disabled Veteran Business Enterprise (DVBE), and all Other Business Enterprise (OBE) concerns an equal opportunity to participate in the performance of all City contracts. Bidder/Proposer/Respondent will assist the City in implementing this policy by taking all reasonable steps to ensure that all available business enterprises; including MBEs, WBEs, SBEs, EBEs, DVBEs, and OBEs, have an equal opportunity to compete for, and participate in, City contracts. Equal opportunity will be determined by the Bidder’s/Proposer’s/Respondent's BIP outreach documentation. Participation by MBEs, WBEs, SBEs, EBEs, DVBEs, and OBEs may be in the form of subcontracting. BIP outreach must be performed using the Business Assistance Virtual Network (www.labavn.org). A Respondent's failure to utilize and complete their BIP Outreach may result in their bid/proposal/response being deemed non-responsive. Note the BIP outreach on-line portal closes on a date and time prior to the response submittal to this opportunity and must be completed prior to the closing of the portal.

(Note* Completion of the BIP outreach will include under the Minimum Requirements that the number of outreaches made will meet or exceed the number required. Also, that within a NAICS Work Area Code you disperse your outreaches across all disadvantaged certified firms per work area from left to right (i.e. MBE, WBE, SBE, et al.). You will be successful when you have a completely green matrix across all columns and all rows on the Business Assistance Virtual Network. Any red notations designates there is a yet unfulfilled outreach requirement. As a suggestion, once you have attained a completed green matrix, take a screenshot of the complete green matrix including your company identification (company summary block)).
LOS ANGELES BUSINESS ASSISTANCE VIRTUAL NETWORK (BAVN), MANDATORY DOCUMENTS TO BE COMPLETED ONLINE (EBO with FSHO AFFIDAVIT & DO/DBWCO - displayed on BAVN as DISCLOSURE ORDINANCE):

EQUAL BENEFITS ORDINANCE AND FIRST SOURCE HIRING ORDINANCE FORMS

Bidders/Proposers/Respondents are advised that any contract awarded pursuant to this procurement process shall be subject to the applicable provisions of Los Angeles Administrative Code Section 10.8.2.1, Equal Benefits Ordinance (EBO) AND First Source Hiring Ordinance (FSHO).

All Bidders/Proposers/Respondents shall complete and electronically sign the EBO and FSHO Affidavit (two [2] pages) available on the City of Los Angeles’ Business Assistance Virtual Network (BAVN) residing at www.labavn.org prior to award of a City contract, the value of which exceeds Five Thousand Dollars ($5,000.00). The EBO and FSHO Affidavit shall be effective for a period of thirty six (36) months from the date it is first verified completed on the City’s BAVN. Bidders/Proposers/Respondents do not need to submit supporting documentation with their bids, proposals or responses. However, the City may request supporting documentation to verify that the benefits are provided equally as specified on the EBO and FSHO Benefits Ordinance Affidavit.

Please refer to the Equal Benefits Ordinance and First Source Hiring Ordinance for information regarding the City’s requirements. Bidders/Proposers/Respondents seeking additional information regarding the requirements of the Equal Benefits Ordinance may visit the Bureau of Contract Administration’s web site at http://bca.lacity.org.

SLAVERY DISCLOSURE ORDINANCE / BORDER WALL DISCLOSURE ORDINANCE (DISCLOSURE ORDINANCE)

Unless otherwise exempt, in accordance with the provisions of the DO/DBWCO, any contract awarded pursuant to this RFB will be subject to the DO/DBWCO, Section 10.41 of the Los Angeles Administrative Code.

Respondents seeking additional information regarding the requirements of the DO/DBWCO may visit the Bureau of Contract Administration’s web site at http://bca.lacity.org.

Disclosure of Border Wall Contracting Ordinance (DBWCO)
The DBWCO requires that City Contractors disclose all contracts, bids or proposals to provide goods or services for the design, construction, operation or maintenance of a federally funded wall, fence or other barrier along the border between the United States and Mexico. For more details, see the link below: https://bca.lacity.org/Disclosure-of-Border-Wall-Contracting-Ordinance

Slavery Disclosure Ordinance (SDO)
The SDO requires that City Contractors disclose whether their company had any participation, investments, or profits derived from slavery during the Slavery Era (prior to 1865). https://bca.lacity.org/slavery-disclosure-ordinance-sdo.

All Bidders/Proposers/Respondents shall electronically sign and complete the Slavery/Border Wall Disclosure Ordinance Affidavit available on the City of Los Angeles’ Business Assistance Virtual Network (BAVN) residing at www.labavn.org.

LICENSE INFORMATION

Respondent shall provide on The Contact and Signature Page of this RFQ the number of his/her qualifying professional license procured under the provisions of Article 5, Chapter 9, Division III of the Business and Professions Code of the State of California, and / or all required certificates as required under the minimum qualifications section.

Respondent shall provide a copy of all licenses and or certificates and or proof of degrees requested in each designated service category attached to a printed Qualification Submission Page in the designated service category being responded to.
SUBMITTAL DEADLINE/OPENING OF RESPONSES

Responses must be received no later than 2:00 P.M. on October 29, 2020 of the RFQ submittal date and delivered via email pursuant to instructions listed above to: rap.commissioners@lacity.org

NO facsimile Responses or facsimile modifications of Responses will be accepted. Supplemental material may be requested by the City and shall be submitted by the Respondent in original form to the RAP contact at the address provided above.

Respondents are invited to attend the public session in which the RFQ Responses will be opened. At the session, ONLY THE NAMES OF THE RESPONDENTS WILL BE READ AND RECORDED.

For information regarding the delivery of responses and the time, date and location of the public session, please refer to the Deadline and Delivery Information section at the top of this RFQ.

RESPONDENT QUALIFICATIONS/EVALUATION

The intent of this RFQ is to produce a list of pre-qualified contractors that will be eligible to submit proposals for projects on an as-needed basis in each of several designated service categories. RAP will evaluate the Responses received and make recommendations to the Board regarding the selected Respondents with whom to enter into contracts for the provision of as-needed services. RAP may recommend the execution of contracts with multiple Respondents for inclusion on the list. Contracts will be awarded based on the completeness of the Response and the Respondent’s qualifications.

The Respondent’s qualifications will be evaluated based on the minimum qualification criteria below. All qualifications MUST be provided on Project Qualification Submission Form of this RFQ. Print out additional Project Qualification Submission Forms as necessary. Respondents must meet minimum requirements in order to qualify for a contract award. If acceptable proof of qualifications is not provided, the Response will be considered non-responsive.

All Responses submitted will have a two Level review. The Level I review will focus on whether the Respondent submitted a completed RFQ package as required. All required forms will be reviewed for context and required signatures. If Respondent did not provide a completed bid package, they may be deemed non-responsive and may not proceed to a Level II review.

A Level II review will focus on the actual qualifications provided by the Respondent on the required minimum work experiences, membership of professional organization, professional liability insurance minimum levels and the presentation of the minimum projects performed as required in the qualification section. All projects submitted will be reviewed and if necessary all references may be contacted to verify accuracy of information provided by the Respondent. If Respondent passes both the Level I and Level II review, the Respondent may be recommended to the BOARD for a three-year as-needed services, unless otherwise specified.

This is a pre-qualified contract. RAP may recommend multiple pre-qualified Respondents for this contract. All pre-qualified Respondents will compete for projects issued by RAP on an as-needed basis. The award of this contract will be based on the Respondent’s qualifications, which will be evaluated based on the information provided in the Response.

Respondents may submit qualifications for one or more on-call designated service categories. Respondents may be awarded a three-year on-call contract in one or more designated service categories, however, each designated service category’s submission will be evaluated individually and on its own merits.
REVIEW OF RESPONSES

After the Responses are opened, City staff will review the RFQ Responses and MAY make recommendations to the Board at a date to be determined regarding the successful Respondents (if any) and the award of one or more as-needed contracts. The Respondent’s past history will be reviewed. If the City determines that additional information is required, the City will request it.

REJECTION OF RESPONSES

In accordance with Los Angeles City Charter section 371(c), “The City shall reserve the right to reject any and all bids or proposals and to waive any informality in the bid or proposal when to do so would be to the advantage of the City. The City may also reject the bid or proposal of any bidder or proposer who has previously failed to timely and satisfactorily perform any contract with the City.”

RESPONDENT ERRORS/WITHDRAWAL OF RESPONSES

In general, a Respondent will not be released on account of errors. After Responses have been opened and declared, no Responses shall be withdrawn, except with the consent of the Board and only under the following conditions:

The Respondent sends within five (5) calendar days after the opening of the Responses, an email notice of a material error in the Response to the Board Secretary at the following address:

Board of Recreation and Park Commissioners
Attention: Board Secretary
rap.commissioners@lacity.org

In the notice, the Respondent:

A. Specifies that the error results in a Response that is materially different than intended and describes in detail how the error occurred;
B. Provides supporting documentation, including original material (should RAP require additional clarification, information and/or documentation, the Respondent must respond within two (2) working days after receiving notification from the Board Office);
C. Acknowledges that should their request to withdraw be granted by the Board, it is with the understanding that the Board will not accept a Response from them for this contract should there be a need to re-issue this RFQ.

Errors involving substitution of the listed Subcontractors are detailed elsewhere in this RFQ under the section entitled Subletting and Subcontractors.

EXPEDITED AWARD AND EXECUTION OF CONTRACT

Due to RAP’s need to complete the contract work associated with this RFQ as expeditiously as possible, the Board has requested that all Respondents be advised of the following:

1. It is the intention of the Board to award an as-needed pre-qualified contract to the Respondent(s) who meet the minimum qualifications outlined in this document. All pre-qualified Respondents will compete for projects issued by RAP on an as-needed basis.

2. All Respondents are requested to cooperate to the fullest extent possible by submitting all required documentation, and any additional documentation requested by staff, as expeditiously as possible. Failure of any Respondent to comply with the submittal requirements as defined in this RFQ or to submit any required additional documentation by the date and time specified by staff may render the Response non-responsive, making the Respondent ineligible for any future contract awards under this RFQ.

3. It is the intention of the Board to award this contract as expeditiously as possible.
4. Any Respondent unable to meet the deadline requirements specified herein may be subject to rescission of the contract award by virtue of being declared non-responsive by the Board. At minimum, failure to submit additional documentation requested upon award of contract will render the contractor non-compliant, which results as no contract will be awarded, no work will be performed, and no payments until all required forms are submitted.

PROTEST PROCEDURES

The purpose of these procedures is to provide a method for resolving, prior to award, protests regarding the award of contracts by the City, by and through its Board. These procedures are for the benefit of the City and are not intended to establish an administrative requirement that must be exhausted by the protesting Respondent prior to pursuing any legal remedy which may be available. For this reason, no Respondent shall have any right to due process, should the City fail to follow these procedures for any reason within its discretion. However, failure by a Respondent to follow the protest procedures as discussed below will create the presumption that any subsequent legal action in a court of competent jurisdiction is of no merit. These procedures will enable the Board to ascertain all of the facts necessary to make an informed decision regarding the award of the contract.

It is the policy of the Board that:

1. Officially signed and dated protests must be received prior to the Board’s award of any contract in response to this RFQ.

2. Protests are transmitted via email to:

   Board of Recreation and Park Commissioners  
   Attention: Board Secretary  
   rap.commissioners@lacity.org

3. If filing a protest against another Respondent, the Board will only consider such protests if it appears that either Respondent may have a substantial and reasonable prospect of receiving an award if the protest is denied or sustained.

4. Protests from agencies concerned with contract compliance matters may be considered by the Board beyond the protest period. These protests will receive due consideration if the agency submits the protest in a timely period and such protest affects a Respondent who appears to have a substantial and reasonable prospect of receiving an award if the protest is denied or accepted.

5. Protests meeting the above criteria will be evaluated by staff and any recommended actions will be presented in a written report to the Board. Protesting parties and firms protested against will be notified of the time and date that the written report will be discussed in a public session of the Board of Recreation and Park Commissioners. Protesting parties and firms protested against will be given the opportunity to present their arguments at the public session.

Prime Contractors are requested to advise their potential Subcontractors of this protest period policy. In addition, protests against a Prime Contractor by a Subcontractor with a direct financial interest that may be adversely affected by the determination of the protest may be considered by the Board beyond the protest period.

OFFICE OF CONTRACT COMPLIANCE FORMS

The following documents must be submitted to the Department of Public Works Bureau of Contract Administration’s Office of Contract Compliance (OCC) at the address listed in this section:

1. The "Ethnic Composition of Work Force Report" shall be submitted monthly for all time worked on the project.

2. Certified payrolls of the Prime Contractor and all Subcontractors performing work on the project shall be submitted upon OCC’s request, regardless of the dollar amount or type of contract. The forms will be supplied to the successful Bidder. The period covered shall be from the time work
commences until all project work is completed. Failure to submit certified payrolls within the required time frame may result in the withholding of progress or retention payments to the Prime Contractor.

Upon RAP’s request, certified payrolls shall be submitted to the RAP address listed on the cover page of this RFQ.

The above forms shall be submitted to:

Department of Public Works, Bureau of Contract Administration Office of Contract Compliance
1149 South Broadway, Suite
300 Los Angeles, CA 90015
Fax: (213) 847-2777

The Office of Contract Compliance may be reached at (213) 847-1922.

**CONTRACTOR PARTICIPATION**

Contractor may subcontract up to 25% of the total value of each project awarded under this contract. The percentage subcontracted shall be based on the original contract price, exclusive of specialty items performed or manufactured by Subcontractors, subject to the approval of Department Contract Administrator. The City reserves the right to waive any portion of the Contractor Participation provision.

**COMMENCEMENT AND COMPLETION OF WORK**

The work must be completed within the allowed number of days as specified in each individual project’s specifications. RAP will determine the number of days required to complete each project. The Contractor will be responsible for completing the project’s scope of work within the required project schedule. Counting of calendar days will commence on the actual date work begins. It is the Contractor’s responsibility to request extensions to the contract completion date in writing, and RAP will determine whether an extension is justified and appropriate.

**SAFETY ORDERS**

The Contractor will be responsible for all safety requirements and certifications in accordance with CAL-OSHA rules and regulations. It will be the Contractor’s responsibility to assess the work location and implement safety controls and procedures, as appropriate, which are compliant with Title 8 of the California Code of Regulations. All projects will be awarded to the Contractor as a “Single Employer” environment in accordance with CAL-OSHA classifications. The Contractor will be responsible and have full control over all activities in relation to the scope of work and/or services detailed in this RFB and the resultant as-needed contract, as well as any safety requirements thereof.

If required, the Contractor shall complete the Competent Person Trench/Excavation Certification Form provided by the Bureau of Contract Administration before the end of the first (1st) day of work and prior to any workers entering a trench or excavation, if applicable.

**CALIFORNIA STATE BILL (SB) 854 (If Applicable)**

SB 854 took effect in the beginning 2015. All Respondents/Bidders responding to this RFB, RFP, RFQ must be in compliance with SB 854. Among other requirements of this law, all Respondents/Bidders, Contractors and Sub-contractors bidding on public works projects must be registered with the State of California and pay the required annual fee to the Department of Industrial Relations (DIR). All Respondents/Bidders, Contractors and Sub-contractors must be in compliance with SB 854 and remain current during the terms of the awarded pre-qualified contract. If awarded Contractor and/or Sub-contractor does not remain current with SB 854, their contract with the City of Los Angeles is subject to cancellation. More information on SB 854 can be found at the following website: http://www.dir.ca.gov/public-works/PublicWorksSB854FAQ.html.
PREVAILING WAGES

Any contract awarded hereunder will require the Contractor to comply with the applicable provisions of the Labor Code of the State of California relating to Public Works wages. These provisions require the Contractor to pay no less than the "General Prevailing Wage Rates" to all workers employed in the execution of the contract and the projects awarded in connection thereto and to post a copy of the "General Prevailing Wage Rates" at the job site, in a conspicuous place available to all employees and applicants for employment.

The "General Prevailing Wage Rates" shall be those rates as determined by the Director of the Department of Industrial Relations of the State of California. Information regarding prevailing wage rates, please contact the Division of Labor Statistics and Research, Prevailing Wage Unit, P.O. Box 420603, San Francisco, CA 94142, (415)703-5070.

In accordance with the California Labor Code, Section 1771.5 (b) 1, 2, 3, 4, 5, 6, the Labor Compliance Section of the Department of Public Works Office of Contract Compliance may conduct pre-construction conferences with both the Prime Contractor and its Subcontractors listed in the proposal prior to the commencement of work, at which time Federal and State prevailing wage determinations and applicable reporting requirements will be discussed.

LIVING WAGE ORDINANCE/SERVICE CONTRACTOR WORKER RETENTION ORDINANCE

Unless approved for an exemption, contractors under contracts primarily for the furnishing of services to or for the City and that involve an expenditure in excess of Twenty-Five Thousand Dollars ($25,000.00) and a contract term of at least three (3) months, lessees and licensees of City property, and certain recipients of City financial assistance, shall comply with the provisions of Los Angeles Administrative Code Sections 10.37 et seq., Living Wage Ordinance (LWO) and 10.36 et seq., Service Contractor Worker Retention Ordinance (SCWRO). Bidders/Proposers shall refer to the Living Wage Ordinance and Service Contractor Worker Retention Ordinance for further information regarding the City’s requirements.

Bidders/Proposers who believe that they meet the qualifications for one (1) of the exemptions described in the LWO List of Statutory Exemptions shall apply for exemption from the Ordinance by submitting with their proposal the Bidder/Contractor Application for Non-Coverage or Exemption (Form OCC/LW-10), the Non-Profit/One-Person Contractor Certification of Exemption (Form OCC/LW-13), or the Small Business Exemption Application (Form OCC/LW-26A). These exemption forms are available on the Bureau of Contract Administration website at http://bca.lacity.org/index.cfm. The List of Statutory Exemptions is included in the Attachment/Appendix. (LWO/SCWRO RFB/RFP/RFQ Language, Rev. 08/12).

SECURITY GUARD SERVICES

In the event the successful contractor elects to provide a security guard at a project site, the contractor will guarantee that the security personnel are properly trained, qualified and certified and meet the minimum requirements and Bids and have the following licenses and permits in the files:

1. All current and required licenses, certificates and/or permits, permanent “Guard Card” and permanent “Gun Card” (when the site or assignment requires armed security).
2. Permits and/or licenses to carry and use pepper spray, handcuffs, solid PR-24 baton, firearms/weapons.
4. Special Officer permits form the LAPD. (L.A.M.C Sect. 52.34, LAPD Special Officer’s Permit).
5. Valid Class C California Driver’s License and/or California I.D.
6. Authorization for release of all Security Officer and Field Supervisor file information to the Contract Administrator.

In addition, security officers/guards who have been involved in any of the following will not be accepted for assignment to City owned project sites:

1. Any felony conviction.
2. Any high-grade misdemeanor.
3. Any sex crime conviction.
4. Any military conduct that involved dishonorable discharge, bad conduct or an undesirable discharge.

Verification for above violations, military conduct, and crime will be done through California Department of Justice, DMV and/or FBI.

Presentation of Documents:
All Contract Security Officers and Field Supervisors shall present all required identification, certificates, permits, etc. upon demand of Contract Administrator or authorized designee/officer. Failure of any Security Officer and/or Field Supervisor to comply will result in immediate removal from all City Facilities.

INSURANCE REQUIREMENTS

Evidence of sufficient insurance as specified on the 146 Insurance Requirements Form (see attached at the back of this section) must be provided and approved prior to contract execution, and must be maintained throughout the contract term. The selected Contractor must instruct their insurance broker or agent to submit the appropriate proof of insurance to the City by accessing KwikComply at https://kwikcomply.org/. Additional instructions and information on complying with City insurance requirements can be found at: http://cao.lacity.org/risk/Submitting_proof_of_Insurance.pdf.

TAXES

Contractor shall cooperate with the City, State, and Federal Government in all matters relating to taxation and the collection and or payment thereof.

STANDARD PROVISIONS FOR CITY CONTRACTS

By submitting a response to this RFQ, Respondents acknowledge and agree that the Standard Provisions for City Contracts (Rev. 10/17)[v.3] which is attached as Attachment III to this RFB/RFQ/RFP shall be incorporated into the contract awarded as part of this RFB/RFQ/RFP.
RESPONDENT CONTACT INFORMATION AND SIGNATURE

NAME OF RESPONDENT
________________________________________________________________________

RESPONDENT’S ADDRESS
________________________________________________________________________

STREET _________________________________________________________________

CITY ___________________________ STATE ________________
ZIP CODE _________________

A. RESPONDENT’S TELEPHONE NUMBER _____________________________________

B. RESPONDENT’S FAX NUMBER ____________________________________________

C. RESPONDENT’S EMAIL ADDRESS __________________________________________

D. BUSINESS TAX REGISTRATION CERTIFICATE NUMBER (BTRC) # ________________

E. RESPONDENT’S LICENSE AND / OR CERTIFICATE #
____________________________________
____________________________________

BY: (Signature) __________________________________________ Date ______________________

PRINT NAME: ________________________________________

TITLE OR POSITION: ________________________________________
PROJECT QUALIFICATION SUBMISSION FORM

Prior to filling out this sheet, please refer to Minimum Qualifications Section of this RFQ document for instructions.

Project Type: (Environmental Site Assessment):
_______________________________________________________________________

Project Address/Location: ________________________________________________________

Customer Contact Name: ________________________________________________________

Customer Contact Phone #: ______________________________________________________

County: ______________________________________________________

Project Start Date:               _____________________

Project Completion Date:   _____________________

Project Summary:

_______________________________________________________________________

_______________________________________________________________________

_______________________________________________________________________

_______________________________________________________________________

_______________________________________________________________________

_______________________________________________________________________

_______________________________________________________________________

_______________________________________________________________________

_______________________________________________________________________

_______________________________________________________________________

Please print out additional Project Qualification Forms as necessary
Attachment II

COMPLIANCE PACKAGE

REQUEST FOR
PROPOSALS/BIDS/QUALIFICATIONS

Los Angeles Department of Recreation and Parks
Contracts Unit
John.Busby@lacity.org
# COMPLIANCE DOCUMENTS – REQUEST FOR BID
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### SUBSECTION II – Compliance Documents to be submitted by Potential Awardees

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SUB SECTION I

Compliance Documents to be submitted by All Respondents
SECTION A

RESPONDENT’S SIGNATURE DECLARATION AND AFFIDAVIT

With each Response, a statement shall be submitted and signed by the respondent under penalty of perjury that: The response is genuine, not a sham or collusive; the response is not made in the interest or behalf of any person not named therein; the respondent has not directly or indirectly induced or solicited any person to submit a false or sham response or to refrain from responding; and the respondent has not in any manner sought by collusion to secure an advantage over any other respondent.

INSTRUCTIONS:

a. Sign and Notarize the Document
b. Submit with the Response

Signatures:

Individual: (e.g., Individual dba [Name or Company], etc.) – Individual must sign affidavit.

Partnership: At least ONE General Partner must sign the affidavit.

Corporation: It is preferred that the PRESIDENT and SECRETARY of the corporation sign the affidavit on behalf of the corporation, but a VICE-PRESIDENT may sign in the absence of the President and an Assistant Secretary or Treasurer may sign in the absence of the Secretary.

Note: An Authorized Agent may sign for a Corporation, provided the City is furnished a certified copy of the Board of Directors Resolution authorizing such person to execute the document on behalf of the Corporation. An acknowledgement at the base of the Resolution must state it is unchanged, in force, and be signed by the Corporate Secretary with the current date.
AFFIDAVIT TO ACCOMPANY PROPOSALS/BIDS/SUBMISSIONS OF QUALIFICATIONS

I/We, ____________________________________________________________

being first duly sworn, deposes and states: That the undersigned

(Insert “Sole Owner”, “General Partner”, “President”, “Secretary”, or other proper title)

Is of

(Name of form business entity)

Who submits herewith to City of Los Angeles the attached proposal/bid/submission of qualification:

Affiant deposes and states: That said proposal/bid/submission of qualification is genuine; that the same is not sham or collusive; that all statements of fact therein are true; that such proposal/bid/submission of qualification was not made in the interest or behalf of any person, partnership, company, association, organization or corporation not therein named or disclosed.

Affiant deposes and states: That the proposer has not directly or indirectly by agreement, communication or conference with anyone attempted to induce action prejudicial to the interests of the public body which is to award the contract, or of any other proposer, or anyone else interested in the proposed contract: that the proposer has not in any manner sought by collusion to secure for itself an advantage over any other proposer.

Affiant further deposes and states that prior to the public opening and reading of proposals/bids/submissions of qualification the said proposer:

(a) Did not, directly or indirectly, induce or solicit anyone else to submit a false or sham proposal/bid/submission of qualification;

(b) Did not, directly or indirectly, collude, conspire, connive or agree with anyone else that said proposer or anyone else or fix the proposal/bid/submission of qualification price of said proposer or of anyone else, or to raise or fix any overhead, profit or cost element of its price or of that of anyone else;

(c) Did not, directly or indirectly, submit its proposal/bid/submission of qualification price or any breakdown thereof, or the contents thereof, or divulge information or data relative thereto, to any corporation, partnership, company, association, organization, proposal/bid/submission of qualification depository, or to any member or agent thereof, or to any individual or group of individuals, except to the awarding authority or to any person or persons who have a partnership or other financial interest with said proposer in its business.

I understand and agree that any falsification in the affidavit will be grounds for rejection of this proposal/bid/submission of qualification or cancellation of any concession contract awarded pursuant to this proposal/bid/submission of qualification.

I hereby certify or declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

STATE OF CALIFORNIA COUNTY OF

LOS ANGELES

Subscribed and sworn to before me this day of

(Signature)

(Month/Year)(Date)

PROPOSALS/BIDS/SUBMISSIONS OF QUALIFICATIONS WILL NOT BE CONSIDERED UNLESS THE AFFIDAVIT HEREON IS FULLY EXECUTED, INCLUDING THE CERTIFICATE OF THE NOTARY AND THE NOTARIAL SEAL
All Responses submitted in response to the RFP/RFB/RFQ shall become the property of the City of Los Angeles and a matter of public record. Respondents must identify all copyrighted material, trade secrets, or other proprietary information that they claim are exempt from disclosure under the Public Records Act, and indemnify and defend the City of Los Angeles for its refusal to disclose such material from person making a request therefore.

**INSTRUCTIONS:**

a. Sign the Document  
b. Submit with the Response

**Signatures:**

The person signing must be authorized to bind the Respondent.
DISPOSITION OF PROPOSALS/BIDS/SUBMISSIONS OF QUALIFICATIONS

All proposals/bids/submissions of qualification submitted in response to the RFP shall become the property of the City of Los Angeles and a matter of public record. Proposers must identify all copyrighted materials, trade secrets, or other proprietary information that they claim are exempt from disclosure under the Public Records Act (California Code, Section 6250 et seq.)

In the event such an exemption is claimed, the proposer must state in the proposal/bid/submission of qualification that the proposer will defend any action brought against the City for its refusal to disclose such material, trade secret, or other proprietary information to any party making such a request. The proposer is required to state in the proposal/bid/submission of qualification that:

“The proposer will indemnify the City or Agency and hold it harmless from any claim or liability and defend any action brought against the City of Los Angeles for its refusal to disclose copyrighted material, trade secrets, or other proprietary information to any persons making a request therefore.”

Proposer’s obligations herein include, but are not limited to, all attorney’s fees (both in house and outside counsel), costs of litigation incurred by the City or its attorneys (including all actual costs incurred by the City, not merely those costs recoverable by a prevailing party, and specifically including costs of experts and consultants) as well as all damages or liability or any nature whatsoever arising out of any such suits, claims, and causes of action brought against the City, through and including any appellate proceedings. Proposer’s obligations to the City under this indemnification provision shall be due and payable on a monthly, on-going basis within thirty (30) days after each submission to Proposer of the City’s invoices for all fees and costs incurred by the City, as well as all damages or liability of any nature.

“I have read and understand the Disposition of Proposals/Bids/Submissions of Qualifications and agree that the City of Los Angeles may release any materials and information contained in the proposal/bid/submission submitted by the undersigned’s firm in the event that the required hold harmless statement is not included in the Proposal/Bid/Submission of Qualification.”

_________________________________________  Date

Signature of person authorized to bind proposer
SECTION C
CERTIFICATION OF COMPLIANCE WITH CHILD SUPPORT OBLIGATIONS

Responders must complete, sign, and return with their response the “Certification of Compliance with Child Support Obligations,” and agree to comply with all terms and conditions within. Failure to return the signed and completed certification with your response will result in your response being deemed non-responsive.

CHILD CARE POLICIES

This Contract is subject to the policy of the City of Los Angeles regarding City Child Care Policies and Vendor System as adopted by City Council. CONTRACTOR is required to complete the Child Care Declaration statement which is attached hereto as Form D and Form E.

I. City Child Care Policy and Vendor System – On February 24, 1987, the City Council adopted the Child Care Policy for the City of Los Angeles. This policy acknowledges the importance of quality, affordable, accessible child care to the individual, family, workplace, and community. The City further recognizes that existing child care services and facilities are not adequate to meet current demand, and that such demand is increasing. Failure to address this critical unmet need will have serious, detrimental effects on the physical, social, and economic life of Los Angeles. Thus, the City Child Care Policy was adopted, committing the City to use its resources as educator, employer, model, and facilitator to act as a catalyst in expanding the supply of quality, affordable child care in Los Angeles.

The City Child Care Policy includes an item specifically designed to address the development and implementation of child care policies and practices by vendors, as follows:

THE CITY OF LOS ANGELES SHALL ENCOURAGE ALL ITS VENDORS TO ADOPT A STATED POLICY ON CHILD CARE. TO THE EXTENT PERMITTED BY LAW, VENDORS WITH STATED CHILD CARE POLICIES SHALL RECEIVE PREFERENCE IN CONTRACTING WITH THE CITY OF LOS ANGELES.

It is the goal of the City to promote and facilitate the establishment and implementation of child care policies and practices which address the critical unmet local need for quality, affordable child care services.

A company may, after a review and due consideration, determine that child care is not an employee need or that a child benefit/service cannot feasibly be offered by the company. In this case, a written policy statement to this effect would also qualify a company for the vendor preference.

II. Request Child Care Policy Information from Vendors – All vendor applicants should complete the “Child Care Declaration Statement” form, declaring whether the business has a stated child care policy and/or offers any form of child care assistance to employees. Those vendors indicating they have a stated child care policy for employees should file a copy of said policy along with the “Declaration Form”.
III. Definition of a Stated Child Care Policy – A “Stated Child Care Policy” is a written statement of intent and/or attitude by an employer regarding the provision of child care assistance to employees.

IV. Definitions of Child Care Assistance – The following definitions apply to the various forms of child care assistance listed on the “Child Care Declaration Statement.”

A. EMPLOYER SUBSIDIZED CHILD CARE CENTER(S) – Group care for children (may range from twelve (12) to three hundred (300) children), in a licensed setting such as a preschool or other center, which may serve infants, toddlers, preschoolers or school-age children; the center receives funds, goods and/or services from an employer which thus subsidizes part or all of the child care center operating costs, and employees of the subsidizing employer may enroll dependents in this center.

B. EMPLOYER SUBSIDIZED CHILD CARE HOME(S) Care for up to fourteen (14) children in the home of a licensed caregiver; may include one (1) home or a network of two (2) or more family day care homes, which receive funds, goods and/or services from an employer who thus subsidizes part of all of the home operating costs; employees of the subsidizing employer may enroll dependents in this care home.

C. CHILD CARE REIMBURSEMENT IN ADDITION TO OTHER BENEFITS Employer helps employees pay for child care expenses by reimbursing the employee or his/her care provider for all or part of the cost of child care; allows employee to select the child care provider, or employer may designate providers or conditions (e.g. only reimburse licensed providers); such reimbursement is provided to the employee in addition to the other employee benefits.

D. CHILD CARE REIMBURSEMENT IN A FLEXIBLE BENEFIT PACKAGE System which allows employees to make individual choices among a range of benefits provided by the employer (e.g., health, dental, retirement, etc.) and child care is included as a benefit choice.

E. PAID PARENTAL LEAVE Employees are given paid time off work due to childbirth or adoption, with a guaranteed return to the same or a comparable job and seniority status.

F. PURCHASE OF SERVICES FOR EMPLOYEES IN A COMMUNITY CHILD CARE PROGRAMS Company contributes funds, goods and/or services to a child care program in the community (center or family day care home), for the purpose of preferential consideration for use by employees.

G. SALARY SET-ASIDE/FLEXIBLE SPENDING ACCOUNT FUNDED WITH EMPLOYEE SALARY DOLLARS Employer has set up a qualified Dependent Care Assistance Plan under IRS Section 125 and 129, which allows employees to designate an amount up to Five Thousand Dollars ($5,000.00) per year to be set aside from their salaries to pay for dependent care; since such a salary set aside is not taxed, both employee and employer receive financial benefits.

H. CHILD CARE REFERRAL SERVICES A service to employees which provides information, referrals and consultation regarding local child care services (e.g., locations, hours, rates).

I. PARENTING SEMINARS
Company offers workshops, educational presentations, and related activities to provide information and support in such areas as parenting skills, work-family relations, child development, and related topics; may be provided by in-house staff or by contracted services.

J. COUNSELING OF A SELF-SUPPORTING CENTER
Company provides (through in-house or contracted services) group, family or individual counseling services to support employees in the resolution of work/family issues.

K. START-UP OF A SELF-SUPPORTING CENTER
Company has provided funds, goods and/or services to directly assist in the land acquisition, design, construction, renovation, equipment, furnishing or other costs associated with starting a child care program; this was one-time-only assistance for start-up, with the center now operating on a self-supporting basis.

L. START-UP CONTRIBUTIONS TO A CONSORTIUM CENTER
Company has provided funds, goods and/or services to a child care center, working in cooperation to develop and support a child care service available to employees of contributing companies.

M. FLEXIBLE WORK HOURS
Employees are allowed to make choices about work schedules, with such possible options as 5-day/40-hour vs. 4-day/40-hour work weeks or flexible hours scheduled within a day; may include establishment of “core” working hours during which an employee must be present at the work site.

N. FLEXIPLACE/WORK-AT-HOME
Company offers employees the option to work in their homes; may be available part- or full-time.

O. PERMANENT PART-TIME/JOB SHARING
Company offers job opportunities in which employees may work less than full-time while retaining permanent employment status, and/or two employees may share a single full-time position with salary and benefits prorated between the two employees.

P. WORK-AT-HOME FOLLOWING MATERNITY LEAVE
Employees are offered the option to perform their jobs at home for a period following leave for childbirth or adoption.

Q. UNPAID PARENTAL LEAVE
Employees are allowed unpaid time off due to childbirth or adoption, with a guaranteed return to the same or a comparable job and seniority status.

R. DONATION TO ENHANCE AN EXISTING CHILD CARE PROGRAM
Company has contributed funds, goods and/or services to a child care program, for the purpose of improving the quality, affordability, or accessibility of said program.

All Requests for Bids, Requests for Bids, Invitations for Bids, advertisements for bids, and other similar documents must give notice of these provisions to those who bid on or submit Bids for prospective contracts with the City. All bidders and proposers are required to complete the attached Certification of Compliance with Child Support Obligations. Failure to return the completed certification as part of the proposal/bid/submission of qualification will result in the proposal/bid/submission of qualification being deemed unresponsive and being rejected.
INSTRUCTIONS:

a. Complete and sign the document
b. Submit with the Response
CITY OF LOS ANGELES
CERTIFICATION OF COMPLIANCE WITH CHILD SUPPORT OBLIGATIONS

The undersigned hereby agrees that ____________________________________________________________ will:

Name of Business

1. Fully comply with all applicable State and Federal employment reporting requirements for its employees.
2. Fully comply with and implement all lawfully served Wage and Earnings Assignment Order and Notices of Assignment.
3. Certify that the principal owner(s) of the business are in compliance with any Wage and Earnings Assignment Orders and Notices of Assignment applicable to them personally.
4. Certify that the business will maintain such compliance throughout the term of the contract.
5. This certification is a material representation of fact upon which reliance was placed when the parties entered into this transaction.
6. The undersigned shall require that the language of this Certification be included in all subcontractors and that subcontractors shall certify and disclose accordingly.

To the best of my knowledge, I declare under penalty of perjury that the foregoing is true and was executed at:

________________________________________
City/County/State

________________________________________
Date

________________________________________
Name of Business  Address

________________________________________
Signature of Authorized Office or Representative  Print Name

________________________________________
TitleTelephone Number
SECTION D

CONTRACTOR RESPONSIBILITY ORDINANCE STATEMENT

The Contractor Responsibility Ordinance (CRO) requires a determination, via the CRO questionnaire, that prospective contractors are responsible and capable of fully performing the work before a contract is awarded by the City of Los Angeles. Additional information may be found at the following website: http://bca.lacity.org/

Bidders are advised that any contract awarded pursuant to this procurement process shall be subject to the provisions of Los Angeles Administrative Code Section 10.40 et seq. Contractor Responsibility Ordinance (CRO). Bidder shall refer to “Contractor Responsibility Ordinance”, for further information regarding the requirements of the ordinance.

All Bidders shall complete and return, with their Bid, the Responsibility Questionnaire (Exhibit E), see attachment file for Questionnaire) included in the Exhibit Section. Failure to return the competed questionnaire may result in a Bidder being deemed non-responsive. (CRO RFB Language – rev 7/1/03

ARTICLE – CONTRACTOR RESPONSIBILITY ORDINANCE

Unless otherwise exempt in accordance with the provisions of the ordinance, this contract is subject to the provisions of the Contractor Responsibility Ordinance, Section 10.40 et seq., of Article 14, Chapter 1 of Division 10 of the Los Angeles Administrative Code, which requires CONTRACTOR/CONSULTANT to update its Bids to the responsibility questionnaire within thirty calendar days after any change to the Bids previously provided if such change would affect CONTRACTOR’S/CONSULTANT’S fitness and ability to continue performing the CONTRACTOR/CONSULTANT pledges, under penalty of perjury, to comply with all applicable federal, state and local laws in the performance of this contract, including but not limited to, laws regarding health and safety, labor and employment, wages and hours, and licensing laws which affect employees. The CONTRACTOR/CONSULTANT further agrees to:

2. Notify the awarding authority within thirty (30) calendar days after receiving notification that any government agency has initiated an investigation which may result in a finding that the CONTRACTOR/CONSULTANT is not in compliance with all applicable federal, state and local laws in performance of this contract.

3. Notify the awarding authority with thirty (30) calendar days of all findings by a government agency or court of competent jurisdiction that the CONTRACTOR/CONSULTANT has violated the provisions of Section 10.40.3(a) of the Ordinance.

4. Ensure that its subcontractor(s) working on the CONTRACTOR’S/CONSULTANT’S City Contract submit a Pledge of Compliance to awarding authorities; and

5. Ensure that its subcontractor(s) working on the CONTRACTOR’S/CONSULTANT’S City Contract submit a Pledge of Compliance and requirement to notify Awarding Authorities within thirty (30) calendar days after any government agency or court of competent jurisdiction has initiated an investigation or has found that the subcontractor has violated Section 10.403(a) of the Ordinance in performance of the subcontract.

INSTRUCTIONS:
The questionnaire must be completed, appropriately signed, and submitted with the proposal/bid/submission of qualification (Including All Pages Following).
CITY OF LOS ANGELES

CONTRACTOR RESPONSIBILITY ORDINANCE
(Los Angeles Administrative Code Section 10.40 et seq.)

1. What is the Contractor Responsibility Ordinance?

The Contractor Responsibility Ordinance (CRO) requires that each department make a determination as to whether prospective contractors are responsible and capable of fully performing the work before being awarding a City contract. The Ordinance also requires prospective contractors to complete a Responsibility Questionnaire that will be posted on the internet for 14 calendar days for public review.

2. When was the Ordinance adopted?

The City Council adopted the CRO on November 21, 2000. Regulations implementing the Ordinance were adopted on June 19, 2001.

3. Who is responsible for the administration and enforcement of the Ordinance?

Three (3) departments were named as administrative agencies responsible for the administration of the CRO. Each Designated Administrative Agency (DAA) administers the Ordinance for a specific type of agreement. The three DAA’s, the type of agreement each DAA is responsible for, and contact information for each DAA is provided in the table below.

<table>
<thead>
<tr>
<th>Administrative Agency</th>
<th>Agreement Type</th>
<th>Contact Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>Public Works, BCA</td>
<td>Service</td>
<td>Russ Strazella</td>
</tr>
<tr>
<td></td>
<td></td>
<td>(213) 580-5012</td>
</tr>
<tr>
<td>Public Works, BCA</td>
<td>Construction</td>
<td>Russ Struzella</td>
</tr>
<tr>
<td></td>
<td></td>
<td>(213) 580-5012</td>
</tr>
<tr>
<td>General Services</td>
<td>Procurement</td>
<td>Raymond Richards</td>
</tr>
<tr>
<td></td>
<td></td>
<td>(213) 485-4591</td>
</tr>
</tbody>
</table>

4. Are all service, procurement, and construction agreements subject to the CRO?

Generally, an agreement, including one processed as an Authorization for Expenditure (AFE) with a Letter of Agreement, is covered by the CRO if it meets one of the definitions below.

Service agreements: Agreements covered under the general category of a “service agreement” include:
- An agreement for $25,000.00 or more and for at least three months in which a contractor will provide services to or for the City.
- An agreement for a lease or license of City property if the service to be performed on the property is something that City employees could perform.
- An agreement for the lease or license of City property that is in a location where a substantial number of the general public might visit.
- An agreement for the grant of City financial assistance for $100,000 or more if the agreement is for the purpose of economic development or job growth. City financial assistance may also include loans if certain conditions are met. (Refer to Sec. 10.40.0(b) of the CRO.)
Purchase agreements: Purchase agreements are covered if they are for One Hundred Thousand Dollars ($100,000.00) or more. Agreements to purchase garments are covered if they are for Twenty-Five Thousand Dollars ($25,000.00) or more.

Construction agreements: All construction agreements are covered, regardless of amount or term.

5. When did the Ordinance become applicable?

The Ordinance is being applied to Invitations for Bids (IFB) (including Requests for Proposals, Requests for Bids and Requests for Qualifications, “sole-sourced” contracts, and any other procurement process) released to the public on or after September 4, 2001. An agreement entered into as a result of an IFB released prior to that date is not subject to the CRO unless it is amended after September 4, 2001, and the amended agreement meets the definitions stated in the answer to Question #4 above.

6. If an IFB is subject to the CRO, what must a department do?

The department must inform prospective bidders/proposers that the CRO is applicable to the IFB. The department must also include the appropriate Responsibility Questionnaire for bidders/proposers to fill out. Depending on the type of contract to be awarded, one of three Questionnaires may be included in the IFB: Service; Procurement; and Construction.

7. What is a Responsibility Questionnaire?

The Responsibility Questionnaire asks for information about the bidder/proposer: business organization or structure; financial resources and responsibility; performance history; prior disputes; and history in complying with laws. Before a department awards a contract, the department will consider information contained in the Questionnaire as part of the review of a bidder/proposer’s responsibility, as well as any information contained in the Office of Contract Compliance’s Contractor Evaluation database [http://caodocs.ci.la.ca.us/ContEval/] regarding the proposer’s prior performance on City contracts.

8. What must a bidder/proposer do when responding to an IFB?

If the IFB is subject to the CRO, the bidder/proposer must complete the Responsibility Questionnaire and return it to the City department with the proposal/bid/submission of qualification. If a bidder/proposer does not submit a completed Questionnaire with the proposal/bid/submission of qualification, the City department may consider the bidder/proposer to be non-responsive to the IFB and may disqualify the bidder/proposer from the rest of the IFB process.

9. Is a separate Questionnaire required for each IFB?

Unless the IFB is exempt, a separate Questionnaire must be submitted for each IFB to which a bidder/proposer responds.

10. What will the City do with the Questionnaire?

The department responsible for awarding the agreement will review the information contained in the submitted questionnaires, and if necessary, follow up with the bidder/proposer to clarify any information contained in the Questionnaire. The awarding authority will send the completed Questionnaires to the appropriate DAA. The DAA will post the Questionnaires on the City’s Bidder/Contractor Responsibility website: www.lacity.org/bidresp. This posting also applies to “sole-sourced” contracts, so the completed Questionnaire from a proposed “sole-sourced” contractor must be forwarded to the appropriate DAA for posting.
How long will the Questionnaires be posted?

The Questionnaires will be posted on the internet for fourteen (14) calendar days. Unless an exemption applies, a department cannot award an agreement until the posting requirement has been met.

11. What happens during the fourteen (14) calendar-day posting period?

The general public will be able to review the Questionnaires posted. If, during the fourteen (14) calendar-day posting period, the DAA receives information that calls into question a bidder/proposer’s responsibility, the DAA will investigate the matter. In that case, no agreement may be awarded until the DAA finishes its investigation. Information obtained during the investigation will be provided to the department to consider in its determination of a bidder/proposer’s responsibility.

12. How does a department know that the posting requirement has been met?

The awarding department should complete the top portion of the Posting Verification Form and forward it to the DAA along with the Questionnaires. The DAA will complete the bottom portion of the Posting Verification Form and return it to the department when the posting requirement has been met.

13. Are contract amendments subject to the CRO?

If an agreement is amended after September 4, 2001, and the amended agreement meets the definitions stated in the answer to Question #4 above, it is subject to the CRO. Contractors do not have to submit a Questionnaire; however, the CRO Contract Language must be incorporated into the amended agreement.

14. After the agreement is awarded, or the agreement is amended, what does the CRO require the contractor to do?

The CRO requires a contractor to:

- Comply with all federal, state, and local laws in the performance of the contract, including but not limited to laws regarding health and safety, labor and employment, wage and hours, and licensing laws, which affect employees.
- Notify the awarding authority within 30 calendar days after receiving notice that any governmental agency has started an investigation into violations of, or has found that the contractor has violated, any federal, state, or local law in the performance of the contract.
- When applicable, provide the awarding authority, within thirty (30) calendar days, updated responses to the Questionnaire if a change occurs that would affect the contractor’s responsibility and ability to continue the agreement.
- Ensure that subcontractors working on the City agreement comply with all federal, state, and local laws in the performance of the agreement.
- Ensure that subcontractors working on the City agreement submit a Pledge of Compliance to comply with the CRO.

15. What happens if a contractor is found to be in violation of the Ordinance?

The DAA will notify the contractor that a violation has been found and give the contractor ten (10) calendar days to correct the violation. If the contractor fails to do so, the City may terminate the agreement and pursue all available contractual remedies. The City may also hold a non-responsibility hearing and debar the contractor from doing business with the City for five (5) years.
What about subcontractors?

Subcontractors are subject to the CRO, and the contractor must ensure that each of its subcontractors complies with the CRO. Subcontractors do not need to complete a Questionnaire, but they must submit to the awarding department a Pledge of Compliance with the Ordinance before they can start work on a City agreement.

16. What if a subcontractor is found to be in violation of the Ordinance?

Because the prime contractor is responsible for ensuring that all its subcontractors comply with the CRO, the sanctions listed in the answer to Question #16 may be applied to the prime contractor if the subcontractor does not correct the violation(s).

17. Are there any exemptions under the Ordinance?

Generally, two (2) categories of exemptions exist under the CRO:

1. Agreements exempt from all the CRO requirements:
   - Contracts with a governmental entity such as the United States of America, the State of California, a county, city or public agency of such entities, or a public or quasi-public corporation located therein and declared by law to have such status.
   - Contracts for the investment of trust moneys or agreements relating to the management of trust assets.
   - Banking contracts entered into by the Treasurer pursuant to California Government Code Section 53630 et seq.

2. Agreements that are only exempt from the requirement that a bidder/proposer submit a Questionnaire. The contractor must still comply with all other CRO provisions.
   - Agreements awarded on the basis of emergency circumstances when the awarding authority finds that the City would suffer a financial loss or that City operations would be adversely impacted. This exemption is subject to approval by the DAA.
   - Agreements for goods or services that are proprietary or available from only one source. This exemption is subject to approval by the DAA.
   - Agreements awarded under the authority of Charter Sections 371(e)(5), (6), (7) or (8). The awarding authority must certify in writing that the contract is entered into in compliance with the requirements of those Charter sections.

18. Where can I obtain a copy of the Contractor Responsibility Ordinance and the Rules and Regulations?

All CRO-related information and documents can be found on the CRO website: http://www.lacity.org/bidresp.
CITY OF LOS ANGELES
RESPONSIBILITY QUESTIONNAIRE

RESPONSES TO THE QUESTIONS CONTAINED IN THIS QUESTIONNAIRE MUST BE SUBMITTED ON THIS FORM.

In responding to the Questionnaire, neither the City form, nor any of the questions contained therein, may be retyped, recreated, modified, altered, or changed in any way, in whole or in part. Bidders or Proposers that submit responses on a form that has been retyped, recreated, modified, altered, or changed in any way shall be deemed non-responsive.

The signatory of this questionnaire guarantees the truth and accuracy of all statements and answers to the Questions herein. Failure to complete and return this questionnaire, any false statements, or failure to answer (a) question(s) when required, may render the proposal/bid/submission of qualification non-responsive. All responses must be typewritten or printed in ink. Where an explanation is required or where additional space is needed to explain an answer, use the Responsibility Questionnaire Attachments. Submit the completed form and all attachments to the awarding authority. Retain a copy of this completed form for future reference. Contractors must submit updated information to the awarding authority if changes have occurred that would render any of the responses inaccurate in any way. Updates must be submitted to the awarding authority within thirty (30) days of the change(s).

A. CONTACT INFORMATION

CITY DEPARTMENT INFORMATION

City Department/Division Awarding Contract  City Contact Person  Phone

City Bid or Contract Number and Project Title (if applicable)  Bid  Date

BIDDER/CONTRACTOR INFORMATION

Bidder/Proposer Business Name  Contractor’s License Number

Street Address  City  State  Zip

Contact Person, Title  Phone  Fax

TYPE OF SUBMISSION:

The Questionnaire being submitted is:

☐ An initial submission of a completed Questionnaire.

☐ An update of a prior Questionnaire dated _______ / _______ / _______.

☐ No change. I certify under penalty of perjury under the laws of the State of California that there has been no change to any of the responses since the last Responsibility Questionnaire dated ______________/__________/_________ was submitted by the firm. Attach a copy of that Questionnaire and sign below.

Print Name, Title  Signature  Date

TOTAL NUMBER OF PAGES SUBMITTED, INCLUDING ALL ATTACHMENTS: __________
Indicate the organizational structure of your firm. “Firm” includes a sole proprietorship, corporation, joint venture, consortium, association, or any combination thereof.

☐ Corporation: Date incorporated: _________ / _____ / ______ State of incorporation: ______________________
List the corporation’s current officers.
President: _____________________________________________
Vice President: _____________________________________________
Secretary: _____________________________________________
Treasurer: _____________________________________________

☐ Check the box only if your firm is a publicly traded corporation.
List those who own (5%) or more of the corporation’s stock. Use Attachment A if more space is needed. Publicly traded corporations need not list the owners of five percent (5%) or more of the corporation’s stock.

_________________________________________  _____________________________________________
_________________________________________  _____________________________________________

☐ Partnership: Date formed: _________ / _____ / ______ State of formation: ______________________
List all partners in your firm. Use Attachment A if more space is needed.

_________________________________________  _____________________________________________

☐ Sole Proprietorship: Date started: _____ / __ / ___
List any firm(s) that you have been associated with as an owner, partner, or officer for the last five years. Use Attachment A if more space is needed. Do not include ownership of stock in a publicly traded company in your response to this question.

_________________________________________  _____________________________________________

☐ Joint Venture: Date formed: _____ / __ / ___
List: (1) each firm that is a member of the joint venture and (2) the percentage of ownership the firm will have in the joint venture. Use Attachment A if more space is needed. Each member of the Joint Venture must complete a separate Questionnaire for the Joint Venture’s submission to be considered as responsive to the invitation.

_________________________________________  _____________________________________________

Responsibility Questionnaire (rev 1/25/12)
C. OWNERSHIP AND NAME CHANGES

1. Is your firm a subsidiary, parent, holding company, or affiliate of another firm?
   □ Yes □ No

   If Yes, explain on Attachment A the relationship between your firm and the associated firms. Include information about an affiliated firm only if one firm owns fifty percent (50%) or more of another firm, or if an owner, partner or officer of your firm holds a similar position in another firm.

2. Has any of the firm’s owners, partners, or officers operated a similar business in the past five (5) years?
   □ Yes □ No

   If Yes, list on Attachment A the names and addresses of all such businesses, and the person who operated the business. Include information about a similar business only if an owner, partner or officer of your firm holds a similar position in another firm.

3. Has the firm changed names in the past five years?
   □ Yes □ No

   If Yes, list on Attachment A all prior names, addresses, and the dates they were used. Explain the reason for each name change in the last five (5) years.

4. Are any of your firm’s licenses held in the name of a corporation or partnership?
   □ Yes □ No

   If Yes, list on Attachment A the name of the corporation or partnership that actually holds the license.

Bidders/Contractors must continue on to Section D and answer all remaining questions contained in this Questionnaire.

The responses in this Questionnaire will not be made available to the public for review. This is not a public document. [CPCC §20101(a)]
D. FINANCIAL RESOURCE AND RESPONSIBILITY

5. Is your firm now, or has it ever been at any time in the last five (5) years, the debtor in a bankruptcy case?
   □ Yes □ No

   If Yes, explain on Attachment B the circumstances surrounding each instance.

6. Is your firm in the process of, or in negotiations toward, being sold?
   □ Yes □ No

   If Yes, explain the circumstances on Attachment B.

E. PERFORMANCE HISTORY

7. How many years has your firm been in business?_______ Years.

8. Has your firm ever held any contracts with the City of Los Angeles or any of its departments?
   □ Yes □ No

   If Yes, list on Attachment B all contracts your firm has had with the City of Los Angeles for the last ten (10) years. For each contract listed in response to this question, include: (a) entity name; (b) name of a contact and phone number; (c) purpose of contract; (d) total cost; (e) starting date; and (f) ending date.

9. List on Attachment B all contracts your firm has had with any private or governmental entity (other than the City of Los Angeles) over the last five (5) years that are similar to the work to be performed on the contract for which you are bidding or proposing. For each contract listed in response to this question, include: (a) entity name; (b) name of a contact and phone number; (c) purpose of contract; (d) total cost; (e) starting date; and (f) ending date.

   □ Check the box if you have not had any similar contracts in the last five (5) years.

10. In the past five years, has a governmental or private entity or individual terminated your firm’s contract prior to its completion of the contract?
    □ Yes □ No

    If Yes, explain on Attachment B the circumstances surrounding each instance.

11. In the past five (5) years, has your firm used any subcontractor to perform work on a government contract when you knew that the subcontractor had been debarred by a governmental entity?
    □ Yes □ No

    If Yes, explain on Attachment B the circumstances surrounding each instance.

12. In the past five (5) years, has your firm defaulted on a contract or been debarred or determined to be a non-responsible bidder or contractor?
    □ Yes □ No

    If Yes, explain on Attachment B the circumstances surrounding each instance.
F. DISPUTES

13. In the past five (5) years, has your firm been the defendant in court on a matter related to any of the following issues? For parts (a) and (b) below, check Yes even if the matter proceeded to arbitration without court litigation. For part (c), check Yes only if the matter proceeded to court litigation. If you answer Yes to any of the questions below, explain the circumstances surrounding each instance on Attachment B. You must include the following in your response: the name of the plaintiffs in each court case, the specific causes of action in each case; the date each case was filed; and the disposition/current status of each case.

   • Payment to subcontractors?
     □ Yes □ No

   • Work performance on a contract?
     □ Yes □ No

   • Employment-related litigation brought by an employee?
     □ Yes □ No

14. Does your firm have any outstanding judgments pending against it?
    □ Yes □ No

    If Yes, explain on Attachment B the circumstances surrounding each instance.

15. In the past five (5) years, has your firm been assessed liquidated damages on a contract?
    □ Yes □ No

    If Yes, explain on Attachment B the circumstances surrounding each instance and identify all such projects, the amount assessed and paid, and the name and address of the project owner.

G. COMPLIANCE

16. In the past five (5) years, has your firm or any of its owners, partners or officers, ever been investigated, cited, assessed any penalties, or been found to have violated any laws, rules, or regulations enforced or administered, by any of the governmental entities listed on Attachment C (Page 10)? For this question, the term “owner” does not include owners of stock in your firm if your firm is a publicly traded corporation.

    □ Yes □ No

    If Yes, explain on Attachment B the circumstances surrounding each instance, including the entity that was involved, the dates of such instances, and the outcome.

17. If a license is required to perform any services provided by your firm, has your firm, or any person employed by your firm, been investigated, found to have violated, cited, assessed any penalties, or subject to any disciplinary action by a licensing agency for violation of any licensing laws in the past five years?

    □ Yes □ No

    If Yes, explain on Attachment B the circumstances surrounding each instance in the last five years.

18. In the past five (5) years, has your firm, any of its owners, partners, or officers, ever been penalized or given a letter of warning by the City of Los Angeles for failing to obtain authorization from the City for the substitution of a Minority-owned (MBE), Women-owned (WBE), or Other (OBE) business enterprise?

    □ Yes □ No

    If Yes, explain on Attachment B the circumstances surrounding each instance in the last five years.
H. BUSINESS INTEGRITY

19. For questions (a), (b), and (c) below, check Yes if the situation applies to your firm. For these questions, the term “firm” includes any owners, partners, or officers in the firm. The term “owner” does not include owners of stock in your firm if your firm is a publicly traded corporation. If you check Yes to any of the three questions below, explain on Attachment B the circumstances surrounding each instance.

(a) Is a governmental entity or public utility currently investigating your firm for making (a) false claim(s) or material misrepresentation(s)?
   □ Yes □ No

(b) In the past five years, has a governmental entity or public utility alleged or determined that your firm made (a) false claim(s) or material misrepresentation(s)?
   □ Yes □ No

(c) In the past five years, has your firm been convicted of, or found liable in a civil suit for, making (a) false claim(s) or material misrepresentation(s) to any governmental entity or public utility?
   □ Yes □ No

20. In the past five (5) years, has your firm, any of its owners or officers been convicted of a crime involving the bidding of a government contract, the awarding of a government contract, the performance of a government contract, or the crime of theft, fraud, embezzlement, perjury, or bribery? For this question, the term “owner” does not include owners of stock in your firm if your firm is a publicly traded corporation.
   □ Yes □ No

If Yes, explain on Attachment B the circumstances surrounding each instance.

CERTIFICATION UNDER PENALTY OF PERJURY

I certify under penalty of perjury under the laws of the State of California that I have read and understand the questions contained in this questionnaire and the responses contained herein and on all Attachments. I further certify that I have provided full and complete answers to each question, and that all information provided in response to this Questionnaire is true and accurate to the best of my knowledge and belief.

Print Name, Title  Signature  Date
ATTACHMENT A FOR SECTIONS A THROUGH C

Where additional information or an explanation is required, use the space below to provide the information or explanation. Information submitted on this sheet must be typewritten. Include the number of the question for which you are submitting additional information. Make copies of this Attachment if additional pages are needed.

Page
ATTACHMENT B FOR SECTIONS D THROUGH I

Where additional information or an explanation is required, use the space below to provide the information or explanation. Information submitted on this sheet must be typewritten. Include the number of the question for which you are submitting additional information. Make copies of this Attachment if additional pages are needed.

Page
ATTACHMENT C: GOVERNMENTAL ENTITIES FOR QUESTION NO. 16

Check **Yes** in response to Question No. 16 if your firm or any of its owners, partners or officers, have ever been investigated, cited, assessed any penalties, or found to have violated any laws, rules, or regulations enforced or administered, by any of the governmental entities listed below (or any of its subdivisions), including but not limited to those examples specified below. The term “owner” does not include owners of stock in your firm if your firm is a publicly traded corporation. If you answered **Yes**, provide an explanation on Attachment B of the circumstances surrounding each instance, including the entity involved, the dates of such instances, and the outcome.

**FEDERAL ENTITIES**

**Federal Department of Labor**
- American with Disabilities Act
- Immigration Reform and Control Act
- Family Medical Leave Act
- Fair Labor Standards Act
- Davis-Bacon and laws covering wage requirements for federal government contract workers
- Migrant and Seasonal Agricultural Workers Protection Act
- Immigration and Naturalization Act
- Occupational Safety and Health Act
- anti-discrimination provisions applicable to government contractors and subcontractors
- whistleblower protection laws

**Federal Department of Justice**
- Civil Rights Act
- American with Disabilities Act
- Immigration Reform and Control Act of 1986
- bankruptcy fraud and abuse

**Federal Department of Housing and Urban Development (HUD)**
- anti-discrimination provisions in federally subsidized/assisted/sponsored housing programs
- prevailing wage requirements applicable to HUD related programs

**Federal Environmental Protection Agency**
- Environmental Protection Act

**National Labor Relations Board**
- National Labor Relations Act

**Federal Equal Employment Opportunity Commission**
- Civil Rights Act
- Equal Pay Act
- Age Discrimination in Employment Act
- Rehabilitation Act
- Americans with Disabilities Act

**STATE ENTITIES**

**California’s Department of Industrial Relations**
- wage and labor standards, and licensing and registration
- occupational safety and health standards
- workers’ compensation self insurance plans
- Workers’ Compensation Act
- wage, hour, and working standards for apprentices
- any provision of the California Labor Code

**California’s Department of Fair Employment and Housing**
- California Fair Employment and Housing Act
- Unruh Civil Rights Act
- Ralph Civil Rights Act

**California Department of Consumer Affairs**
- licensing, registration, and certification requirements
- occupational licensing requirements administered and/or enforced by any of the Department’s boards, including the Contractor’s State Licensing Board

**California’s Department of Justice**

**LOCAL ENTITIES**

**City of Los Angeles** or any of its subdivisions for violations of any law, ordinance, code, rule, or regulation administered and/or enforced by the City, including any letters of warning or sanctions issued by the City of Los Angeles for an unauthorized substitution of subcontractors, or unauthorized reductions in dollar amounts subcontracted.

**OTHERS**

Any other federal, state, local governmental entity for violation of any other federal, state, or local law or regulation relating to wages, labor, or other terms and conditions of employment.
SECTION E
CONTRACTOR RESPONSIBILITY ORDINANCE PLEDGE OF COMPLIANCE

Unless otherwise exempt in accordance with the provisions of the Ordinance, this Contract is subject to the provisions of the Contractor Responsibility Ordinance, Section 10.40 et seq., of the Los Angeles Administrative Code, which requires CONTRACTOR/CONSULTANT to update its responses to the responsibility questionnaire within thirty calendar days after any change to the responses previously provided if such change would affect CONTRACTOR'S/CONSULTANT’S fitness and ability to continue performing the contract. In accordance with the provisions of this Ordinance, by signing this Contract, CONTRACTOR/CONSULTANT pledges, under penalty of perjury, to comply with all applicable federal, state and local laws in the performance of this contract, including but not limited to, laws regarding health and safety, labor and employment, wages and hours, and licensing laws which affect employees. The CONTRACTOR/CONSULTANT further agrees to:

1. Notify the awarding authority within thirty (30) calendar days after receiving notification that any government agency has initiated an investigation which may result in a finding that the CONTRACTOR/CONSULTANT is not in compliance with all applicable federal, state and local laws in performance of this contract.

2. Notify the awarding authority with thirty (30) calendar days of all findings by a government agency or court of competent jurisdiction that the CONTRACTOR/CONSULTANT has violated the provisions of Section 10.40.3(a) of the Ordinance.

3. Ensure that its subcontractor(s) working on the CONTRACTOR'S/CONSULTANT’S City Contract submit a Pledge of Compliance to awarding authorities; and

4. Ensure that its subcontractor(s), as defined in the Ordinance, comply with the requirements of the Pledge of Compliance and the requirement to notify Awarding Authorities within thirty calendar days after any government agency or court of competent jurisdiction has initiated an investigation or has found that the subcontractor has violated Section 10.40.3(a) of the Ordinance in performance of the subcontract.

For further information on Contractor Responsibility Ordinance:
http://bca.lacity.org/site/pdf/cro/CRO%20Contractor%20Responsibility%20Ordinance.PDF

INSTRUCTIONS:

a. Complete and sign the document
b. Submit with the Response
CITY OF LOS ANGELES
PLEDGE OF COMPLIANCE WITH CONTRACTOR RESPONSIBILITY ORDINANCE

Los Angeles Administrative Code (LAAC) Section 10.40 et seq. (Contractor Responsibility Ordinance) provides that, unless specifically exempt, City contractors working under service contracts of at least Twenty-Five Thousand Dollars ($25,000.00) and three (3) months, contracts for the purchase of goods and products of at least One Hundred Thousand Dollars ($100,000.00), contracts for the purchase of garments of at least Twenty-Five Thousand Dollars ($25,000.00), and construction contracts of any amount; public lessees; public licensees; and certain recipients of City financial assistance or City grant funds, shall comply with all applicable provisions of the Ordinance. Upon award of a City contract, public lease, public license, financial assistance or grant, the contractor, public lessee, public licensee, City financial assistance recipient, or grant recipient, and any its subcontractor(s), shall submit this Pledge of Compliance to the awarding authority.

The contractor agrees to comply with the Contractor Responsibility Ordinance and the following provisions:

(a) To comply with all federal, state, and local laws in the performance of the contract, including but not limited to laws regarding health and safety, labor and employment, wage and hours, and licensing laws, which affect employees.
(b) To notify the awarding authority within thirty (30) calendar days after receiving notification that any governmental agency has initiated an investigation which may result in a finding that the contractor did not comply with any federal, state, or local law in the performance of the contract, including but not limited to laws regarding health and safety, labor and employment, wage and hours, and licensing laws, which affect employees.
(c) To notify the awarding authority within thirty (30) calendar days of all findings by a governmental agency or court of competent jurisdiction that the contractor has violated any federal, state, or local law in the performance of the contract, including but not limited to laws regarding health and safety, labor and employment, wage and hours, and licensing laws which affect employees.
(d) If applicable, to provide the awarding authority, within thirty (30) calendar days, updated responses to the Responsibility Questionnaire if any change occurs which would change any response contained within the Responsibility Questionnaire and such change would affect the contractor’s fitness and ability to continue the contract.
(e) To ensure that subcontractors working on the City agreement (including contractors or subcontractors of a public lessee, licensee, sublessee, or sublicensee that perform or assist in performing services on the leased or licensed premises) shall comply with all federal, state, and local laws in the performance of the contract, including but not limited to laws regarding health and safety, labor and employment, wage and hours, and licensing laws, which affect employees.
(f) To ensure that subcontractors working on the City agreement (including contractors or subcontractors of a public lessee, licensee, sublessee, sublicensee that perform or assist in performing services on the leased or licensed premises) submit a Pledge of Compliance.
(g) To ensure that subcontractors working on the City agreement (including contractors or subcontractors of a public lessee, licensee, sublessee, or sublicensee that perform or assist in performing services on the leased or licensed premises) shall comply with paragraphs (b) and (c).

**Failure to complete and submit this form to the Awarding Authority may result in withholding of payments by the City Controller, or contract termination.**

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SRIS/CRO-3, Pledge of Compliance (Rev. 5/25/04)
SECTION F

LIVING WAGE ORDINANCE
AND
SERVICE CONTRACT WORKER RETENTION ORDINANCE

Unless approved for an exemption, contractors under contracts primarily for the furnishing of services to or for the City and that involve an expenditure in excess of Twenty-Five Thousand Dollars ($25,000.00) and a contract term of at least three (3) months, lessees and licensees of City property, and certain recipients of City financial assistance, shall comply with the provisions of the Los Angeles Administrative Code Section 10.37 et seq., Living Wage Ordinance and 10.36 et seq. Service Contractor Worker Retention Ordinance. Additional information may be found at the following websites:

http://bca.lacity.org/index.cfm?nxt=lco&nxt_body=content_lwo.cfm

http://bca.lacity.org/index.cfm?nxt=soo&nxt_body=content_scwro.cfm

PREVAILING WAGES (If Applicable)

A contract awarded hereunder may require the Contractor to comply with the applicable provisions of the Labor Code of the State of California relating to Public Works wages. These provisions require the Contractor to pay no less than the "General Prevailing Wage Rates" to all workers employed in the execution of the contract and to post a copy of the "General Prevailing Wage Rates" at the job site, in a conspicuous place available to all employees and applicants for employment.

The "General Prevailing Wage Rates" shall be those rates as determined by the Director of the Department of Industrial Relations of the State of California. Information regarding prevailing wage rates, please contact the Division of Labor Statistics and Research, Prevailing Wage Unit, P.O. Box 420603, San Francisco, CA 94142, (415)703-5070.

In accordance with the California Labor Code, Section 1771.5 (b) 1, 2, 3, 4, 5, 6, the Labor Compliance Section of the Department of Public Works Office of Contract Compliance may conduct pre-construction conferences with both the Prime Contractor and its Subcontractors listed in the proposal/bid/submission of qualification prior to the commencement of work, at which time Federal and State prevailing wage determinations and applicable reporting requirements will be discussed.

INSTRUCTIONS:

If applying for an exemption, complete and submit the appropriate exemption forms with the response; if no exemptions are claimed, mark “NOT APPLICABLE” on the forms, and submit them with the response.
CITY OF LOS ANGELES

LIVING WAGE ORDINANCE
(Los Angeles Administrative Code Section 10.37 et seq.)

1. What is the Living Wage Ordinance?

The Living Wage Ordinance (LWO) requires employers who have agreements with the City to pay their employees at least a minimum “living wage” and to provide certain benefits. If the agreement is subject to the LWO, the employer must do the following:

- Pay employees working on the subject agreement a wage rate that is at least equal to the “living wage” rate. The “living wage” is adjusted annually and becomes effective July 1 of each year. Employers can obtain information about the living wage rate currently in effect by going to Department of Public Works, Bureau of Contract Administration, Office of Contract Compliance (OCC) website at www.lacity.org/bca/OCCmain.html.
- Provide employees with at least twelve (12) paid days off per year for sick leave, vacation, or personal necessity; and at least ten (10) unpaid sick days off per year.
- Tell employees who make less than Twelve Dollars ($12.00) per hour that they may qualify for the federal Earned Income Tax Credit and provide them with the forms required to apply for the credit.
- Cooperate with the City by providing access to the work site and to payroll and related documents so that the City can determine if the employer is complying with the LWO.
- Pledge to comply with federal laws prohibiting an employer from retaliating against employees for union organizing.
- Not retaliate against any employee who makes claims about non-compliance with the LWO.

2. When was the Ordinance adopted?

The LWO was adopted in May, 1997 and amended in January, 1999.

3. What types of agreements are subject to the Ordinance?

Generally, the LWO covers the following types of agreements:

- An agreement in an amount over Twenty-Five Thousand Dollars ($25,000.00) and for at least three (3) months in which an employer will provide services to or for the City.
- An agreement for the lease or license of City property if the service being performed on the property is something that City employees would otherwise do.
- An agreement for the lease or license of City property that is in a location where a substantial number of the general public might visit.
- An agreement in which the City gives financial assistance for the purpose of promoting economic development or job growth.
- An agreement in which the City determines that applying the LWO would be in the best interest of the City.
4. Is an agreement subject to the LWO if it was entered into before May, 1997?

Agreements executed after May, 1997 are subject to the LWO. An agreement entered into before May 1997 may become subject to LWO if it is later amended or modified in order to add time or money to the original agreement.

5. Are there any requirements that would apply to an employer who does not have an agreement with City that is subject to the LWO?

All employers are required to comply with the LWO’s prohibition against retaliation, even if the employer does not have an agreement with the City that is subject to the Ordinance.

6. Are all employees covered by the Ordinance?

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7. Are an employer’s subcontractors subject to the requirements of the Ordinance?

A subcontractor may be covered by the Ordinance if the subcontractor performs work on the subject agreement. If so, the subcontractor must also comply with the requirements of the LWO, including all reporting requirements. The prime contractor is responsible for the making sure that the subcontractor complies with the LWO.

8. What happens if an employer is found to be in violation of the Ordinance?

Payments due may be withheld. Also, the employer may be deemed to be in material breach of the agreement. When that happens, the City may take the following steps:

- Terminate the agreement and pursue all available contractual remedies.
- Debar the employer from doing business with the City for three (3) years or until all penalties and restitution have been fully paid, whichever occurs last.
- Bring a lawsuit against the employer for all unpaid wages and health benefit premiums and/or seek a fine of up to One Hundred Dollars ($100.00) for each day the violation remains uncorrected.

9. What if a subcontractor is found to be in violation of the Ordinance?

Because the prime contractor is responsible for making sure that all its subcontractors comply with the LWO, the sanctions listed in answer #8 may be applied to the prime contractor if the subcontractor does not correct the violation(s).

10. What can an employee do if an employer is in violation of the Ordinance?

The employee can submit a complaint to the Office Contract Compliance which will investigate the complaint. Also, the employee can bring his or her own lawsuit against the employer for:

Living Wage Ordinance Summary – 06/09
• Back pay for failing to pay the correct wages or correct health benefit premiums.
• Reinstatement and back pay for retaliation.
• Triple the amount of the back pay that is owed if the violation was found by the court to be willful.

11. **Are there any exemptions available under the Ordinance?**

An employer may apply for an exemption based on the following categories:

• Service agreements that are less than three (3) months or Twenty-Five Thousand Dollars ($25,000.00) or less.
• Agreements for the purchase of goods, property, or the leasing of property (with City as the lessee).
• Construction contracts that do not meet the definition of a service agreement.
• Employees who are required to have an occupational license in order to provide services to or for the City are exempt.
• Employers who are party to a collective bargaining agreement (CBA) that has language stating that the CBA shall supersede the LWO.
• Financial assistance recipients who meet the requirements stated in Section 10.37.1(c) of the LWO.
• Employers (contractors, subcontractors, financial assistance recipients) organized under IRS Code, Section 501(c)(3) whose chief executive officer’s hourly wage rate is less than eight times the hourly wage rate of the lowest paid worker are exempt. However, this exemption does not apply to child care workers.
• Lessees or licensees who have no more than a total of seven employees and who have annual gross revenue of less than Four Hundred Fifty-Four Thousand Sixteen Dollars ($454,016.00) (effective July 1, 2009). The qualifying annual gross revenue is adjusted every July.
• One-person contractors, lessees, licensees or financial assistance recipients who employ no workers.
• Agreements that involve other governmental entities.

12. **Who is responsible for the administration and enforcement of the Ordinance?**

The Department of Public Works, Bureau of Contract Administration, Office of Contract Compliance, located at 1149 S. Broadway Street, Suite 300, Los Angeles, CA 90015. For additional information, please call (213) 847-2625, or go to the Office of Contract Compliance website at [http://bca.lacity.org](http://bca.lacity.org).
LIVING WAGE ORDINANCE STATUTORY EXEMPTIONS

Living Wage Ordinance (LWO) statutory exemptions are now divided into the following three categories:

1. Exemptions that do not require approval from the Department of Public Works, Bureau of Contract Administration, Office of Contract Compliance (OCC).
2. Exemptions that do not require OCC approval but require a Contractor Certification of Exemption.
3. Exemptions that require submission of an Application for Exemption and OCC approval of the Application.

1. The following exemptions do not require OCC approval or any Contractor Certification: Departments only need to indicate the exemption in the appropriate category on the LWO Departmental Determination of Coverage Form.

   a. Less than three (3) months OR less than Twenty-Five Thousand Dollars ($25,000.00) (LAAC 10.37.1(j)).
      Service contracts or Authority for Expenditures that do not meet these thresholds are not covered by the LWO.

   b. Other governmental entities (LAAC 10.37.1(g)). Agreements with other governmental entities such as Los Angeles County, the State of California, or the University of California, are not covered by the LWO. Subcontractors to these entities are also not covered by the LWO.

   c. Purchase of goods, property, or the leasing of property, with the City as lessee (LAAC 10.37.1(j)). Such contracts are categorically exempt from the LWO unless they include a service component that is more than just incidental (regular and recurring services is required). Examples of such categorically exempt contracts include contracts to purchase office supplies or to lease space to be occupied by City departments.

   d. Construction contracts, not conforming to the definition of a service contract (LAAC 10.37.1(j)). Such contracts are categorically exempt from the LWO. Examples include construction of buildings and infrastructure.

   e. City financial assistance not meeting thresholds (LAAC 10.37.1(c)). Agreements to provide a contractor with City financial assistance (which typically mean grants or loans provided at interest rates that are lower than the Applicable Federal Rate) are categorically exempt from the LWO if they meet both of the following:

      (1) The assistance given in a twelve (12) month period is below One Million Dollars ($1,000,000.00) AND less than One Hundred Thousand Dollars ($100,000.00) per year.

      (2) The assistance is not for economic development or job growth.

   f. Business Improvement Districts (BID) (LWO Regulation #11). Service agreements are categorically exempt from the LWO if the services are funded with the BID’s assessment money collected by the City after the formation of the BID. Service contracts in which City money is used to hire firms to help in forming the BID remain subject to the LWO unless the contractor otherwise qualifies for an exemption.

2. The following exemption categories do not require OCC approval, but the contractor must still submit a Contractor Certification of Exemption from Living Wage (OCC/LW-13). No OCC approval is required for the exemption to be valid. However, the department must include the Contractor Certification of Exemption with the contract.

   a. 501(c)(3) Non-profit organizations (LAAC 10.37.1(g)): Employers (contractors, subcontractors, financial assistance recipients) organized under IRS Code Section 501(c)(3) are exempt from the LWO if the hourly wage rate of the corporation’s highest paid employee is less than eight times the hourly wage rate of the corporation’s lowest paid worker. However, the exemption does not extend to Child Care Workers as defined in the LWO Rules and Regulations (an employee “whose work on an agreement involves the care or supervision of children twelve (12) years of age and under.”). A copy of the IRS 501(c)(3) Exemption Letter will be required.

   b. One-person contractors with no employees (LAAC 10.37.1(f)): Contractors, lessees, licensees or financial assistance recipients who employ no workers are exempt from the LWO.

Form OCC/LW-10 (Rev. 6/09)
3. The following exemption categories require submission of an application for exemption and OCC approval of the application to be valid.

a. **Collective bargaining agreements (CBA) that supersede the LWO (LAAC 10.37.12):** Contractors whose employees are covered by a CBA that supersede the requirements of the LWO are not subject to the LWO. A copy of the CBA with the superseding language or a letter from the union indicating that the union has agreed to allow the CBA to supersede the LWO will be required to be submitted. Example: Labor agreement between parking contractor and a labor union with language that wages and benefits in the CBA shall supersede the LWO. Contractors must use the LWO Application for Non-Coverage or Exemption form (Form OCC/LW-10) and submit a copy of the CBA or a letter from the union.

b. **Occupational license (LAAC 10.37.1(f)):** Employees required to possess an occupational license in order to provide the services under the City agreement are not subject to the LWO. However, only the individual employees who are required to possess an occupational license are exempt. Employees who work on the City contract and are not required to possess an occupational license remain subject to the LWO. Example: Under California Labor Code Sections 7375 – 7380, a person must be licensed by the State of California in order to inspect and certify cranes and derricks used in lifting services. Contractors must use the LWO Application for Non-Coverage or Exemption form (Form OCC/LW-10) and submit a listing of the employees who possess occupational licenses and a copy of the licenses.

c. **Small business exemptions for Public Lessees/Licensees (LAAC 10.37.1(i)):** Small business that lease property from the City may apply for OCC approval for LWO exemption if the lessee or licensee:
   (1) employs no more than a total of seven (7) employees; and
   (2) has annual gross revenues of less than Four Hundred Fifty-Four Thousand Sixteen Dollars ($454,016.00) (adjusted July 1, 2009). This applies only to lessees with lease agreements executed after February 24, 2001, and to amendments executed after February 24, 2001 that add monies or extend term. Use the Application for “Small Business” Exemption (Form OCC/LW-20) and submit the application with the documents requested on that form.

d. **City financial assistance agreements that exceed the LWO monetary thresholds may apply for one of the exemptions below.** Applicants and departments should refer to Regulation #3(c) for the requirements and the documents that must be submitted with the LWO Application for Non-Coverage or Exemption (OCC/LWO-10).

   (1) The City financial assistance recipient (CFAR) is in its first year of operation (LAAC 10.37.1(c)).
   (2) The CFAR employs fewer than five employees (LAAC 10.37.1(c)).
   (3) The CFAR would face undue hardship because it employs the long-term unemployed or provides trainee positions to prepare employees for permanent positions (LAAC 10.37.1(c)). **REQUIRES COUNCIL APPROVAL.**
LWO – DEPARTMENTAL EXEMPTION APPLICATION
EXEMPTIONS THAT REQUIRE AWARDING DEPARTMENT APPROVAL

This application for exemption must be submitted along with your bid or proposal to the AWARDING DEPARTMENT. INCOMPLETE SUBMISSIONS WILL BE RETURNED.

Los Angeles Administrative Code 10.37, the Living Wage Ordinance (LWO), presumes all City contractors (including service contractors, subcontractors, financial assistance recipients, lessees, licensees, sublessees and sublicensees) are subject to the LWO unless an exemption applies.

TO BE FILLED OUT BY THE CONTRACTOR:

1. Company Name: ___________________________ Phone Number: __________________

2. Company Address: ___________________________

3. Are you a Subcontractor?  □ Yes  □ No  If YES, state the name of your Prime Contractor: ___________________________

4. Type of Service Provided: ___________________________

EXEMPTION INFORMATION:

CHECK OFF ONE BOX BELOW THAT BEST DESCRIBES THE TYPE OF EXEMPTION YOU ARE APPLYING FOR AND ATTACH THE SUPPORTING DOCUMENTATION LISTED ON THE RIGHT:

<table>
<thead>
<tr>
<th>EXEMPTION</th>
<th>SUPPORTING DOCUMENTATION REQUIRED</th>
</tr>
</thead>
<tbody>
<tr>
<td>501(c)(3) Non-Profit Organizations:</td>
<td>1. ATTACH a copy of your 501(c)(3) letter from the IRS.</td>
</tr>
<tr>
<td>- A corporation organized under 501(c)(3) of the IRS Code qualifies for an exemption from the LWO if the highest paid employee makes less than eight times the hourly wage of the lowest paid employee.</td>
<td></td>
</tr>
<tr>
<td>- The exemption is valid for all employees except Child Care Workers.</td>
<td></td>
</tr>
<tr>
<td>- Therefore, even if a 501(c)(3) organization meets the salary test, Child Care Workers performing work on the City agreement must still be provided with the LWO required wage and time off benefits.</td>
<td></td>
</tr>
<tr>
<td>- Under the LWO’s Rules and Regulations, a Child Care Worker is an employee “whose work on an agreement involves the care or supervision of children 12 years of age and under.”</td>
<td></td>
</tr>
<tr>
<td>- This is read broadly so that the term would include, for example, tutors working with children 12 or under.</td>
<td>2. ANSWER the following questions:</td>
</tr>
<tr>
<td>- STATE the hourly wage of HIGHEST paid employee in the organization: $</td>
<td></td>
</tr>
<tr>
<td>- STATE the hourly wage of LOWEST paid employee in the organization: $</td>
<td></td>
</tr>
<tr>
<td>- MULTIPLY B by 8: $ Q</td>
<td></td>
</tr>
<tr>
<td>3. Based on Question 2 above, is A less than C?  □ YES  □ NO</td>
<td></td>
</tr>
<tr>
<td>- If NO, your company is NOT eligible for an exemption. If YES, sign and submit this application for final approval.</td>
<td>4. Will there be any Child Care Workers (as defined by the LWO Regulations) working on this Agreement?  □ YES  □ NO</td>
</tr>
<tr>
<td>5. Fill &amp; Submit LW-18 Subcontractor Information Form.</td>
<td></td>
</tr>
</tbody>
</table>

□ One-Person Contractors: Contractors that have no employees are exempt from the LWO. If you have employees in the future, you must comply with the Ordinance. Fill and Submit the LW-18 Form.

I declare under penalty of perjury under the laws of the State of California that: (1) I am authorized to bind the entity listed above; (2) the information provided on this form is true and correct to the best of my knowledge; and (3) the entity qualifies for exemption from the LWO on the basis indicated above. By signing below, I further agree that should the entity listed above cease to qualify for an exemption because of a change in salary structure, non-profit status, the hiring of employees, or any other reason, the entity will notify the Awarding Department and the OCC of such change and comply with the LWO’s wage and time off requirements.

Print Name of Person Completing This Form: ___________________________ Signature of Person Completing This Form: ___________________________

Title: ___________________________ Phone #: ___________________________ Date: ___________________________

ANY APPROVAL OF THIS APPLICATION EXEMPTS ONLY THE LISTED CONTRACTOR FROM THE LWO DURING THE PERFORMANCE OF THIS CONTRACT. A SUBCONTRACTOR PERFORMING WORK ON THIS CONTRACT IS NOT EXEMPT UNLESS THE OFFICE OF CONTRACT COMPLIANCE HAS APPROVED A SEPARATE EXEMPTION FOR THE INDIVIDUAL SUBCONTRACTOR.

AWARDING DEPARTMENT USE ONLY:

Dept: ___________________________ Dept Contact: ___________________________ Contact Phone: ___________________________ Contract #: ___________________________

Approved / Not Approved – Reason: ___________________________ Date: ___________________________

By Analyst: ___________________________ Date: ___________________________

Form OCC/LW-13, Rev. 06/89

OFFICE OF CONTRACT COMPLIANCE, EEO SECTION: (213) 847-2625
LWO – OCC NON-COVERAGE/EXEMPTION APPLICATION

This application for non-coverage/exemption must be submitted by the Contractor along with its bid or proposal to the AWARDING DEPARTMENT. Awarding Departments may also apply for an exemption for OCC approval. INCOMPLETE SUBMISSIONS WILL BE RETURNED.

Los Angeles Administrative Code 10.37, the Living Wage Ordinance (LWO), presumes all City contractors (including service contractors, subcontractors, financial assistance recipients, lessees, licensees, sublessees and sublicensees) are subject to the LWO unless an exemption applies.

### CONTRACTOR INFORMATION:

1. Company Name: ___________________________ Phone Number: ___________________________
2. Company Address: ___________________________
3. Are you a Subcontractor? □ Yes □ No If YES, state the name of your Prime Contractor: ___________________________

### NON-COVERAGE INFORMATION:

**REQUEST FOR NON-COVERAGE DETERMINATION**

- ☐ Per Section 10.37.13 of the LWO, contractors may request a determination of non-coverage on any basis allowed by this article, including, but not limited to: non-coverage, for failure to satisfy definition of “City financial assistance recipient”, “public lease/license”, or “service contract”.

**SUPPORTING DOCUMENTATION REQUIRED**

- A detailed memorandum explaining the basis of the request, which may include, but is not limited to: the terms of a city financial assistance agreement, purpose of the contract, location, and work performed. OCC may request further information to issue a determination.

### EXEMPTION INFORMATION:

CHECK OFF ONE BOX BELOW THAT BEST DESCRIBES THE TYPE OF EXEMPTION YOU ARE APPLYING FOR AND ATTACH THE SUPPORTING DOCUMENTATION LISTED ON THE RIGHT:

**TO BE REQUESTED BY AWARDING DEPARTMENTS ONLY**

- ☐ Grant Funded Services, provided that the grant funding agency indicates in writing that the provisions of the Ordinances should not apply.

**SUPPORTING DOCUMENTATION REQUIRED**

- Provide a copy of grant-funding agency’s determination to the OCC.

**TO BE REQUESTED BY CONTRACTORS ONLY**

- ☐ Collective bargaining agreement with supersession language - (LAAC 10.37.12): Contractors who are party to a collective bargaining agreement (CBA) which contains specific language indicating that the CBA will supersede the LWO may receive an exemption as to the employees covered under the CBA.

**SUPPORTING DOCUMENTATION REQUIRED**

- A copy of the CBA with the superseding language clearly marked
  - OR
  - A letter from the union stating that the union has agreed to allow the CBA to supersede the LWO.

- ☐ Occupational license required - (LAAC 10.37.14): Only the individual employees who are required to possess an Occupational license to provide services to or for the City are exempt.

**SUPPORTING DOCUMENTATION REQUIRED**

- A listing of the employees required to possess occupational licenses to perform services to or for the City
  - AND
  - Copies of each of these employees’ occupational licenses.

By signing, the contractor certifies under penalty of perjury under the laws of the State of California that the information submitted in support of this application is true and correct to the best of the contractor’s knowledge.

<table>
<thead>
<tr>
<th>Print Name of Person (Contractor) Completing This Form</th>
<th>Signature of Person (Contractor) Completing This Form</th>
</tr>
</thead>
<tbody>
<tr>
<td>Title: ___________________________ Phone #: __________</td>
<td>Date: ________________________________________</td>
</tr>
</tbody>
</table>

ANY DETERMINATION/APPROVAL IS APPLICABLE ONLY TO THE LISTED CONTRACTOR FROM THE LWO DURING THE PERFORMANCE OF THIS CONTRACT. A SUBCONTRACTOR PERFORMING WORK ON THIS CONTRACT IS NOT EXEMPT UNLESS THE OFFICE OF CONTRACT COMPLIANCE HAS APPROVED A SEPARATE APPLICATION FOR THE INDIVIDUAL SUBCONTRACTOR.

AWARDING DEPARTMENT USE ONLY:

| Dept: ___________________________ Dept Contact: ___________________________ Contract #: ___________________________ |
|--------------------------------------------------------|---------------------------------------------------|
| Approved / Not Approved – Reason: ___________________________ Date: ___________________________ |
| By OCC Analyst: ________________________________________ | OFFICE OF CONTRACT COMPLIANCE, EEO SECTION: (213) 847-2625 |
1. What is the Service Contractor Worker Retention Ordinance?

The Service Contractor Worker Retention Ordinance (SCWRO), effective May, 1996, requires a successor contractor and its subcontractors to retain for a 90-day period certain employees who worked for the terminated contractor or its subcontractors for at least twelve (12) months. (See also Question #7 regarding which employees are covered.)

2. What is a successor contractor?

A successor contractor is one who has been awarded an agreement to provide services to or for the City that are similar to those that were provided under a recently terminated agreement.

3. What types of agreements are covered by the Ordinance?

The SCWRO covers the following types of agreements:

- For services in an amount over Twenty-Five Thousand Dollars ($25,000.00) and for at least three (3) months.
- In which the primary purpose is to provide services to or for the City (including leases and licenses).
- In which the City provides financial assistance for the purpose of promoting economic development or job growth.

4. What does the Ordinance require a terminated contractor to do?

The SCWRO requires the terminated contractor to provide the awarding authority with the names, addresses, dates of hire, hourly wage, and job classes of each employee who worked on the City agreement for that terminated contractor or its subcontractor. The awarding authority will provide the information to the successor contractor.

5. What does the Ordinance require a successor contractor to do?

The Ordinance requires the successor contractor to:

- Offer employment and retain for a ninety (90)-day period the employees who worked for at least twelve (12) months for the terminated contractor or its subcontractors.
- Not discharge the employees retained under the SCWRO without cause during the ninety (90)-day period.
- Perform a written performance evaluation of each employee retained under the SCWRO at the end of the ninety (90)-day period.

Service Contractor Worker Retention Ordinance Summary (06/09)
6. Do the employees retained under the Ordinance receive any additional protection?

Employees retained under the SCWRO are employed under the terms and conditions of the successor contractor or as required by law. However, if the agreement the employees are working under is subject to Living Wage Ordinance (LWO), the employees must be paid the wage rate and be provided the benefits required by LWO.

7. Does the successor contractor have to retain all the prior contractor’s employees?

The SCWRO covers only employees who meet all of the following requirements:

- Earn less than Fifteen Dollars ($15.00) per hour.
- Primary job is in the City working on or under the City agreement.
- Worked for the terminated contractor or its subcontractor for the preceding twelve (12) months or longer.
- Not a managerial, supervisory, or confidential employee; or an employee required to possess an occupational license.

8. What if the successor contractor determines that fewer employees are required to provide the services than were required by the prior contractor?

The names of the affected employees will be placed in order by seniority within each job classification. The successor contractor is required to retain employees based on seniority. The names of employees not retained will be placed on a preferential hiring list from which the successor contractor must use for subsequent hires.

9. What happens if an employee is discharged in violation of the Ordinance?

The employee may bring a lawsuit against the successor contractor. The employee can also submit a complaint to the Department of Public Works, Bureau of Contract Administration, Office of Contract Compliance which will investigate the complaint.

10. What if a contractor is found to be in violation of the Ordinance?

The City may terminate the agreement or pursue other legal remedies.

11. Who is responsible for administering and enforcing the Ordinance?

The Department of Public Works, Bureau of Contract Administration, Office of Contract Compliance, located at 1149 S. Broadway St., Suite 300, Los Angeles, CA 90015. For additional information, please call (213) 847-2625, or go to the Office of Contract Compliance web site at [http://bea.lacity.org](http://bea.lacity.org).
Established by Mayor’s Executive Directive No. 14, this program requires all respondents to Request for Bids (RFBs), Requests for Proposals (RFPs), and Requests for Qualifications (RFQs) to perform subcontractor outreach to all available MBE/WBE/SBE/EBE/DVBE/OBE firms which could perform a portion of the scope of work required in the respective RFB, RFP, or RFB. As proof of the respondent’s outreach efforts, the respondent is required to perform the Business Inclusion Program Outreach on the Business Assistance Virtual Network (BAVN), www.labavn.org.

INSTRUCTIONS:

All Respondents must perform and submit the Business Inclusion Program Outreach as described in the following instructions.
CITY OF LOS ANGELES
BUSINESS INCLUSION PROGRAM (BIP) FOR A REQUEST FOR BID, QUALIFICATIONS, PROPOSALS (RFB, RFQ, RFP)

Performance of a BIP outreach to Minority Business Enterprise (MBE), Woman Business Enterprise (WBE), Small Business Enterprise (SBE), Emerging Business Enterprise (EBE), Disabled Veteran Business Enterprise (DVBE), and Other Business Enterprise (OBE) subconsultants must be completed on the Business Assistance Virtual Network (BAVN), www.labavn.org.

It is the policy of the City to provide Minority Business Enterprise (MBE), Women Business Enterprise (WBE), Small Business Enterprise (SBE), Emerging Business Enterprise (EBE), Disabled Veteran Business Enterprise (DVBE), and all Other Business Enterprise (OBE) concerns an equal opportunity to participate in the performance of all City contracts. Bidder will assist the City in implementing this policy by taking all reasonable steps to ensure that all available business enterprises; including MBEs, WBEs, SBEs, EBEs, DVBEs, and OBEs, have an equal opportunity to compete for, and participate in, City contracts. Equal opportunity will be determined by the Bidder’s BIP outreach documentation. Participation by MBEs, WBEs, SBEs, EBEs, DVBEs, and OBEs may be in the form of subcontracting. BIP outreach must be performed using the Business Assistance Virtual Network (www.labavn.org). A Bidder's failure to utilize and complete their BIP Outreach may result in their proposal/bid/submission of qualification being deemed non-responsive.

All BIP Outreach documentation must be submitted with the bid response submittal deadline.

Note – the BIP Outreach closes on its own deadline which is prior to submittal deadline for bid responses.

<table>
<thead>
<tr>
<th>The Board of Public Works (Board) anticipated levels of</th>
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</thead>
<tbody>
<tr>
<td>MBE Participation:</td>
</tr>
<tr>
<td>WBE Participation:</td>
</tr>
<tr>
<td>SBE Participation:</td>
</tr>
<tr>
<td>EBE Participation:</td>
</tr>
<tr>
<td>DVBE Participation:</td>
</tr>
</tbody>
</table>

NOTE: It is recognized that it is not possible at the time of submission of the RFB, RFQ, RFP response to accurately predict the amount of work that can be subconsulted for any subsequent contract awarded as a result of this RFB, RFQ, RFP. BIP Outreach Program information and/or assistance may be obtained through the City’s Office of Contract Compliance by e-mail at bca.biphelp@lacity.org.
DEPARTMENT OF PUBLIC WORKS’ POLICY
BUSINESS INCLUSION PROGRAM FOR A REQUEST FOR BID (RFB) SUMMARY

This policy sets forth the Department of Public Works’ rules and procedures to be followed by respondents on advertised personal services contracts in regards to the City’s BIP outreach requirements. In general, this policy provides that respondents for contracts must demonstrate compliance with the indicators relating to an active outreach program to obtain participation by MBEs, WBEs, SBEs, EBEs, DVBEs, and OBEs. Failure to demonstrate outreach on the BAVN to comply with the indicators will render the response submission non-responsive.

A. GENERAL

This policy statement explains how the City’s BIP will be administered within the Department of Public Works for personal services contracts. The Department is committed to ensuring full and equitable participation by minority, women, small, emerging, disabled veteran, and other businesses in the provision of all goods and services to the Department on a contractual basis. This BIP is set forth in this policy Statement. Respondents to this department shall be fully informed concerning the requirements of this Program. Failure to comply with the City’s BIP outreach requirements will render the response non-responsive and result in its rejection.

Additional information and/or assistance in implementing this program may be obtained through the Office of Contract Compliance, Bureau of Contract Administration by e-mail at bca.biphelp@lacity.org.

B. DEFINITIONS

1. Minority or Women Business Enterprise (MBE or WBE): For the purpose of this program, Minority or Women Business Enterprise shall mean a business enterprise that meets both of the following criteria:
   a. A business that is at least fifty-one percent (51%) owned by one (1) or more minority persons or women, in the case of any business whose stock is publicly held, at least fifty-one percent (51%) of the stock is owned by one (1) or more minority persons or women; and
   b. A business whose management and daily business operations are controlled by one or more minority persons or women.

2. Small Business Enterprise (SBE): For the purpose of this program, Small Business Enterprise shall mean a business enterprise that meets the following criteria:
   a. A business (personal or professional services, manufacturer, supplier, or vendor) whose three (3) year average annual gross revenue does not exceed $7 million.
   b. A business (construction contractors) whose three (3) year average annual gross revenue does not exceed Fourteen Million Dollars ($14,000,000.00).

3. Emerging Business Enterprise (EBE): For the purpose of this program, Emerging Business Enterprise shall mean a business enterprise whose three (3) year average annual gross revenue does not exceed Three Million, Five Hundred Thousand Dollars ($3,500,000.00).

4. Disabled Veteran Business Enterprise (DVBE): For the purpose of this program, Disabled Veteran
Business Enterprise shall mean a business enterprise that meets the following criteria:

a. A business that is at least fifty-one percent (51%) owned by one or more disabled veterans.

b. A business whose daily business operation must be managed and controlled by one or more disabled veterans.

5. Other Business Enterprise (OBE): For the purpose of this program, Other Business Enterprise shall mean any business enterprise which either does not otherwise qualify or has not been certified as a Minority, Women, Small, Emerging, and/or Disabled Veteran Business Enterprise.

6. Minority person: For the purpose of this program, the term "Minority person" shall mean African Americans; Hispanic Americans; Native Americans (including American Indians, Eskimos, Aleuts, and Native Hawaiians); Asian-Pacific Americans (including persons whose origins are from Japan, China, Taiwan, Korea, Vietnam, Laos, Cambodia, the Philippines, Samoa, Guam, the United States Trust Territories of the Pacific, Northern Marianas); and Subcontinent Asian Americans (including persons whose origins are from India, Pakistan and Bangladesh).

7. Disabled Veteran: For the purpose of this program, the term “Disabled Veteran” shall mean a veteran of the U.S. military, naval, or air service: the veteran must have a service-connected disability of at least ten (10%) or more, and the veteran must reside in California.

8. Certification must be current on the date the task work order for the project is assigned if credit is to be allowed towards the anticipated levels of MBE, WBE, SBE, EBE, and/or DVBE participation on this contract.

a. Certification as a Minority or Women Business Enterprise: an MBE/WBE must be certified by 1) City of Los Angeles, Bureau of Contract Administration; 2) State of California Department of Transportation (CalTrans); 3) Los Angeles County Metropolitan Transportation Authority (Metro); 4) Southern California Minority Supplier Development Council; or 5) any certifying agency that is a part of the State of California Unified Certification Program (CUCP) so long as the certification meets all of the City of Los Angeles’ MBE/WBE certification requirements.

Applications for certification and directories of MBE/WBE certified firms are available at the following locations:

a. City of Los Angeles
   Bureau of Contract Administration, Office of Contract Compliance 1149 S. Broadway, Suite 300, Los Angeles, CA 90015
   Telephone: (213) 847-2684 FAX: (213) 847-2777
   Internet address: http://bca.lacity.org/

b. CalTrans
   State of California, Department of Transportation, Civil Rights Group 1823 14th Street, Sacramento, CA 95814
   Telephone: (916) 324-1700
   To order a directory, call (916) 445-3520
   Internet address: http://www.dot.ca.gov/hq/bep/
c. Los Angeles County Metropolitan Transportation Authority  
Equal Opportunity Department  
1 Gateway Plaza, Los Angeles, CA 90012  
Telephone: (213) 922-2600    FAX: (213) 922-7660  
Internet address: http://www.mta.net

d. Southern California Minority Supplier Development Council, Inc. (for a fee) 800  
W. 6th Street, Suite 850, Los Angeles, CA 90017  
Telephone: (213) 689-6960    FAX: (213) 689-1707  
Internet address: http://www.scmsdc.org

9. Business Inclusion Program Outreach documentation: The respondent must take affirmative steps prior to submission of their RFB response to ensure that a maximum effort is made to recruit potential subconsultants. Minority, women, small, emerging, disabled veteran owned and controlled businesses must be considered along with other business enterprises whenever possible as sources of subconsulting services. Affirmative steps for BIP Outreach documentation are outlined in Paragraph C herein. The BIP Outreach documentation must be submitted as described in Paragraph C herein. Failure to submit the BIP Outreach documentation will render the response non-responsive.

10. Subcontract: For the purpose of this program, the term “Subcontract” denotes an agreement between the prime Consultant and an individual, firm or corporation for the performance of a particular portion of the work which the prime Consultant has obligated itself.

11. Subconsultant: An individual, firm, or corporation having a direct contract with the consultant for the performance of a part of the work which is proposed to be constructed or done under the contract or permit, including the furnishing of all labor, materials, or equipment. For the purposes of this Program, a subconsultant may also be referred to as a subcontractor.

12. Vendor and/or supplier: A firm that owns, operates or maintains a store, warehouse, or other establishment in which the materials or supplies required for the performance of the contract are bought, kept in stock, and regularly sold to the public in the usual course of business. The firm must engage in, as its principal business, and its own name, the purchase and sale of the products in question. A vendor and/or supplier of bulk items such as steel, cement, stone and petroleum products need not keep such products in stock, if it owns or operates distribution equipment.

13. Manufacturer: A firm that operates or maintains a factory or establishment that produces on the premises the materials or supplies obtained by the contractor.

14. Broker: A firm that charges for providing a bona fide service, such as professional, technical, consultant or managerial services and assistance in the procurement of essential personnel, facilities, equipment, insurance or bonds, materials or supplies required for performance of the contract. The fee or commission is to be reasonable and not excessive as compared with fees customarily allowed for similar services.

15. Participation Recognition: This applies to recognition as an MBE, WBE, SBE, EBE, and/or DVBE.

a. All listed MBE, WBE, SBE, EBE, and/or DVBE firms must be certified as defined under Paragraph B, Definitions, Item 4, on the date the task work order for the project is assigned before credit may be allowed toward the respective MBE, WBE, SBE, EBE, and/or DVBE pledged participation level.
b. Work performed by a MBE, WBE, SBE, EBE, and/or DVBE prime consultant will not be considered when determining a prime consultant’s BIP Outreach. The prime consultant will be required to make a BIP Outreach to obtain reasonable anticipated MBE, WBE, SBE, EBE, and/or DVBE participation levels through subconsulting or materials and supplies acquisition.

c. Recognition for materials and/or supplies is limited to sixty percent (60%) of the amount to be paid to the vendor for such materials/supplies in computing the pledged levels of MBE, WBE, SBE, EBE, and/or DVBE participation, unless the vendor manufactures or substantially alters the materials/supplies.

d. MBE, WBE, SBE, EBE, and/or DVBE credit for brokers required for performance of the contract is limited to the reasonable fee or commission charged, as not considered excessive, as compared with fees customarily allowed for similar services.

e. A firm which qualified as both a MBE and a WBE will be credited as either MBE participation or as WBE participation, but will not be credited for both. However, a MBE and/or WBE firm may also receive SBE, EBE, and/or DVBE credit if so qualified.

f. A listed MBE, WBE, SBE, EBE, and/or DVBE firm must be potentially available to perform a commercially useful function, i.e., must be potentially responsible for the execution of a distinct element of the work and potentially available to carry out its responsibility by performing, managing and supervising the work.

g. MBE/WBE credit shall not be given to a Joint Venture partner listed as a subconsultant by a Joint Venture respondent.

h. A SBE, EBE, DVBE prime consultant shall receive pledged participation credit for the work performed by its own workforce.

C. BIP OUTREACH DOCUMENTATION

It is the policy of the City of Los Angeles to provide Minority Business Enterprises (MBEs), Women Business Enterprises (WBEs), Small Business Enterprises (SBEs), Emerging Business Enterprises (EBEs), Disabled Veteran Business Enterprises (DVBEs), and all Other Business Enterprises (OBEs) an equal opportunity to participate in the performance of City contracts. In order to maximize this participation while minimizing the administrative impact on City staff and RFB respondents alike, the Mayor’s Office has developed a BIP. The BIP requires City departments to set anticipated participation levels based on the opportunities presented in their advertised contracts and Department’s achievement of its annual goals. A respondent’s BIP Outreach to MBEs, WBEs, SBEs, EBEs, DVBEs, and OBEs shall be determined by their compliance with the following BIP Outreach process which will be performed on the City’s Business Assistance Virtual Network (BAVN). The BAVN can be accessed by going to the City’s Webpage (www.lacity.org) and linking onto “Bids, RFPs & Grants” or directly at www.labavn.org. Failure to meet the anticipated MBE, WBE, SBE, EBE, and/or DVBE participation levels will not by itself be the basis for disqualification or determination of non-compliance with this policy. However, failure to comply with the BIP Outreach documentation requirements as described in this section will render the RFB response non-responsive and will result in its rejection. Compliance with the BIP Outreach requirements is required even if the proposer has achieved the anticipated MBE, WBE, SBE, EBE, and DVBE participation levels. Adequacy of a respondent’s BIP Outreach will be determined by the Board after consideration of the indicators of BIP Outreach as set forth below.
Any technical difficulties while utilizing the BAVN should be reported immediately using the following steps:

1. Email BAVN Support at ITA.BAVN@lacity.org.
2. Email Bureau of Contract Administration, Subcontractor Outreach and Enforcement Section (SOE) at bca.biphelp@lacity.org.
3. If you are not contacted within fifteen (15) minutes during normal City working hours (7:00 a.m. to 4:30 p.m. Monday-Friday), call (213) 847-2605 and ask for an SOE Analyst to assist you.

If the above procedures are not followed as stipulated, incomplete outreach and/or incomplete documentation may not be accepted.

Each indicator (2-7) is evaluated on a pass/fail basis. All indicators (2-7) must be passed to be deemed responsive. Only BIP Outreach documentation submitted under the respondent’s name will be evaluated. Therefore submission by a third party will result in the respondent being deemed non-responsive.

1 LEVEL OF ANTICIPATED MBE, WBE, SBE, EBE, and DVBE PARTICIPATION

The respondent has performed a BIP Outreach in an attempt to obtain potential subconsultant participation by MBEs, WBEs, SBEs, EBEs, DVBEs, and OBEs which could be expected by the Board to produce a reasonable level of participation by interested business enterprises, including the MBE, WBE, SBE, EBE, and DVBE anticipated percentages set forth on Page 1 herein and to have the respondent meet the subconsulting expectations for the project.

2 ATTENDED PRE-SUBMITTAL MEETING

The respondent attended the pre-submittal meeting scheduled by the Project Manager to inform all respondents of the requirements for the project for which the contract will be awarded. This requirement may be waived if the respondent certifies it is informed as to those project requirements and has participated in a City-sponsored or City-approved matchmaking event in the prior twelve (12) months.

**Required Documentation:** An employee of the respondent’s company must attend the pre-submittal meeting scheduled for this project. Credit may not be given if the employee arrives late or fails to sign the pre-submittal meeting attendance roster. This requirement will be waived if the respondent both certifies in writing that it is informed as to the BIP Outreach requirements for the project and has participated in a City-sponsored or City-approved matchmaking event in the prior twelve (12) months as is evidenced by the event attendance documents.

**Note:** If the RFB states that the pre-submittal meeting is mandatory, then attendance at the pre-submittal meeting is the only way to pass this indicator.

3 SUFFICIENT WORK IDENTIFIED FOR SUBCONSULTANTS

The respondent has identified the minimum number, as determined by the Department, of specific items of work that will be performed by subconsultants. This will ensure an opportunity for subcontractor participation among MBEs, WBEs, SBEs, EBEs, DVBEs, and OBEs.

**Required Documentation:** Outreach via e-mail in the selected potential work items. This outreach must be performed using the BAVN’s BIP Outreach system. The outreach must be to potential MBE, WBE, SBE, EBE,
DVBE, and OBE subconsultants who are currently registered on the BAVN. Failure of the respondent to outreach in all of the potential work items selected by the City as potential subconsulting work items may result in the RFB response being deemed non-responsive.

Note: City staff will access the BAVN and verify compliance with this indicator after the RFB submission deadline.

4 WRITTEN NOTICES TO SUBCONSULTANTS

All notifications must be provided utilizing BAVN, and made not less than **fifteen (15) calendar days** prior to the date the RFB responses are required to be submitted. In all instances, respondents must document that invitations for subconsulting bids were sent to available MBEs, WBEs, SBEs, EBEs, DVBEs, and OBEs for each item of work to be performed.

**Required Documentation:** E-mail notification in each of the selected potential work items to potentially available MBEs, WBEs, SBEs, EBEs, DVBEs, and OBEs for each anticipated work item to be performed. The notification must be performed using the BAVN’s BIP Outreach system. The notification must be to potential subconsultants currently registered on the BAVN. If the respondent is aware of a potential subconsultant that is not currently registered on the BAVN, it is the respondent’s responsibility to encourage the potential subconsultant to become registered so that the respondent can include them as part of their outreach. Notifications must contain areas of work anticipated to be subconsulted, City of Los Angeles project name, name of the respondent, and contact person's name, address, and telephone number. Respondents are required to send notifications to a sufficient number of firms comprised of MBEs, WBEs, SBEs, EBEs, DVBEs, and OBEs in each potential work item chosen, as determined by the City. What is considered sufficient will be determined by the total number of potential subconsultants in each specific work item.

The City will determine each work area by the North American Industry Classification System (NAICS) code. The following table shows the sufficient number of MBE, WBE, SBE, EBE, DVBE, and OBE subconsultants that need to be notified for each work area.

<table>
<thead>
<tr>
<th># of Subconsultants in NAICS Code</th>
<th>% Prime Must Notify</th>
<th>Number Prime Must Notify</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 – 10</td>
<td>100%</td>
<td>1-10</td>
</tr>
<tr>
<td>11 – 20</td>
<td>80%</td>
<td>9-16</td>
</tr>
<tr>
<td>21 – 50</td>
<td>60%</td>
<td>13-30</td>
</tr>
<tr>
<td>51 – 100</td>
<td>40%</td>
<td>21-40</td>
</tr>
<tr>
<td>101 – 200</td>
<td>25%</td>
<td>26-50</td>
</tr>
<tr>
<td>&gt; 200</td>
<td>10%</td>
<td>20+</td>
</tr>
</tbody>
</table>

A respondent’s failure to utilize this notification function will result in their RFB response being deemed non-responsive.

Note: Respondents will not be able to utilize the BAVN’s BIP Outreach notification function if there are less than fifteen (15) calendar days prior to the RFB response submittal deadline. In utilizing the BAVN’s notification function, respondents will receive a message if they have failed to outreach to a sufficient number of firms when they go to view their summary sheet. Respondents will be given an opportunity to include their own customized statements when utilizing the notification function. However, the City will take into consideration the wording and may deem a respondent non-responsive if the wording is perceived to seriously limit potential subconsultant responses. City staff will access the BAVN and verify compliance with this indicator after the RFB submission deadline. Respondents are encouraged to print their BIP Outreach summary sheet prior to logging out as documented proof of their progress.
The respondent provided interested potential subconsultants with information about the availability of project scope, services requested, and other requirements for the anticipated subconsulting work.

**Required Documentation:** Include in Indicator 4, information detailing how, where and when the respondent will make the required information available to interested potential subconsultants. The notification must be performed using the BAVN’s BIP Outreach system.

**Note:** For purposes of RFBs, making a copy of the RFB available to potential subconsultants will meet this requirement. At the time a respondent utilizes the BAVN’s BIP Outreach notification function, the required information will automatically be included in the notification. Respondents will not be able to utilize the BAVN’s Outreach notification function if there are less than fifteen (15) calendar days prior to the RFB response submittal deadline. City staff will access the BAVN and verify compliance with this indicator after the RFB submission deadline.

---

6 NEOTIATED IN GOOD FAITH

The respondent has responded to every unsolicited offer sent by a registered subconsultant using BAVN and has evaluated in good faith bids or proposal/bid/submission of qualification submitted by interested potential MBEs, WBEs, SBEs, EBEs, DVBEs, and OBEs. Respondents must not unjustifiably reject as unsatisfactory a proposal/bid/submission of qualification offered by a registered subconsultant, as determined by the Board. The respondent must submit a list of all subconsultants for each item of work, including dollar amounts of proposals/bids/submissions of qualifications received. This list must include an explanation of the evaluation that lead to the proposal/bid/submission of qualification being rejected and the explanation must have been communicated to the subconsultant using BAVN.

**Required Documentation:**

a) Schedule A List of Potential MBE/WBE/SBE/EBE/DVBE/OBE Subconsultants;
b) An online Summary Sheet organized by work area, listing the following:
   1) the responses and/or bids received;
   2) the name of the subconsultant who submitted the bid/quote;
   3) a brief reason given for selection/non-selection as a subconsultant;
c) Copies of all potential MBE/WBE/SBE/EBE/DVBE/OBE bids or quotes received must be submitted prior to award of a contract by the City;

The reasons for selection/non-selection should be included in the notes section of the online Summary Sheet. If the respondent elects to perform a listed work area with its own forces, they must include a bid/quote for comparison purposes and an explanation must be provided and included on the summary sheet. **All bids/quotes received, regardless of whether or not the respondent outreached to the subconsultant, must be submitted and included on the online Summary Sheet.** To that extent, the City expects the respondent to submit a bid from each subconsultant listed on the online Summary Sheet, including those listed on the respondent’s Schedule A. **All potential subconsultants with whom the respondent has had contact outside of the BAVN must be documented on the online Summary Sheet.**

The Summary Sheet must be performed using the BAVN’s BIP Outreach system and must be submitted by 4:30 p.m. on the first calendar day following the day of the RFB response submittal deadline.
If a bid/quote is submitted by a firm that is not registered with the BAVN, the respondent is required to add that firm to their Summary Sheet. A respondent’s failure to utilize the BAVN’s Summary Sheet function will result in their RFB response being deemed non-responsive.

**Note:** For the purposes of this RFB only, letters of intent acknowledging a potential subconsultant’s interest in being contacted for work and/or hourly rates for their type of work will be considered the “bids or quotes received.” Staff will request copies of all of the bids/quotes received as part of the BIP Outreach evaluation process. Respondents must have a bid/quote from each potential subconsultant listed on their Schedule A prior to submission of the Schedule A. The submission of the Schedule A is outlined in G herein. Respondents are encouraged to submit all of their bids/quotes with their RFB response submittal. Respondents will not be able to edit their Summary Sheet on the BAVN’s BIP Outreach Summary Sheet function after 4:30 p.m. on the first calendar day following the day of the RFB response submittal deadline. City staff will access the BAVN and verify compliance with the summary sheet provision of this indicator after the RFB submission deadline. Respondents are required to have each of the subconsultants on their Schedule A registered on the BAVN prior to being awarded the contract.

<table>
<thead>
<tr>
<th>7</th>
<th>BOND, LINES OF CREDIT, AND INSURANCE ASSISTANCE</th>
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</thead>
</table>

Each notification by the respondent shall also include an offer of assistance to interested potential MBEs, WBEs, SBEs, EBEs, DVBEs, and OBEs in obtaining bonds, lines of credit, or insurance required by the Awarding Authority or proposer.

**Required Documentation:** Include in Indicator 4, information about the respondent's efforts to assist with bonds, lines of credit and insurance. The notification must be performed using the BAVN’s BIP Outreach system.

**Note:** At the time a respondent utilizes the BAVN’s BIP Outreach notification function, the required information will automatically be included in the notification. Respondents will not be able to utilize the BAVN’s BIP Outreach notification function if there are less than fifteen (15) calendar days prior to the RFB response submittal deadline. Respondents will be given an opportunity to include their own customized statements when utilizing the notification function. However, the City will take into consideration the wording and may deem a respondent non-responsive if the wording seriously limits potential subconsultant responses or is deemed contrary to the intent of this indicator. City staff will access the BAVN and verify compliance with this indicator after the RFB submission deadline.

The respondent shall submit completed BIP Outreach documentation either via the BAVN’s BIP Outreach system or prior to award, as specified for each indicator. The Board in its review of the BIP Outreach documentation may request additional information to validate and/or clarify that the BIP Outreach submission was adequate. Any additional information submitted after the response due date and time will be treated at a higher level of scrutiny and may require third party documentation in order to substantiate its authenticity. Such information shall be submitted promptly upon request by the Board.

**D. AWARD OF CONTRACT**

The Board reserves the right to reject any and all RFB responses. The award of a contract will be to the responsive, responsible Respondent whose submittal complies with all requirements prescribed herein. This includes compliance with the required BIP Outreach. A positive and adequate demonstration to the satisfaction of the Board that a BIP Outreach to include potential MBE/WBE/SBE/EBE/DVBE/OBE subconsultants’ participation was made is a condition for eligibility for award of the contract.
In the event that the Board considers awarding away from a respondent because of the respondent’s failure to supply adequate BIP Outreach documentation, the Board shall afford the respondent an opportunity to present further evidence to the Board prior to a public hearing of the respondent’s BIP Outreach evaluation.

E. **SUBCONSULTANTSUBSTITUTION**

In addition to the requirements set forth in the provisions pertaining to the listing of potential subconsultants, the following shall apply for the purpose of this Program:

1. Substitution During Contract Duration: The contract award requires that the level of all subconsultant participation shall be maintained throughout the duration of the contract. To this extent, any unapproved reduction in the listed subcontract amount will be considered an unauthorized substitution.
   
   a. The Consultant shall request approval of the Board for all substitutions of bid-listed (Schedule B) subconsultants.
   
   b. The request shall be in writing and submitted to the designated Project Manager for the Board. The request shall give the reason for the substitution, the name of the subconsultant and the name of the replacement.

2. MBE/WBE/SBE/EBE/DVBE/OBE Subconsultant Substitution: The Board requires that whenever the Consultant seeks to substitute a bid-listed (Schedule B) subconsultant, the Consultant must make a BIP Outreach to replace the subconsultant.
   
   a. The Consultant shall contact some of each of the following: certified MBE, certified WBE, certified SBE, certified EBE, certified DVBE, and OBE sub-bid prospects from each trade (see Schedule A) for which sub-bid/subconsulting work is available and document the following for submittal:
      
      1. Name of company contacted; contact person and telephone number; date and time of contact.
      
      2. Response for each item of work which was solicited, including dollar amounts.
      
      3. Reason for selection or rejection of sub-bid prospect.
      
      4. In the event that the Consultant is unable to find some certified MBE, certified WBE, certified SBE, certified EBE, certified DVBE, and OBE sub-bid prospects, (first from their Schedule A, then from other outreach methods) for each trade, the Consultant should contact the Office of Contract Compliance by e-mail at bca.biphelp@lacity.org for assistance prior to certifying under penalty of perjury that it was unable to fully meet this requirement.
   
   b. The Consultant shall submit all documentation to the Department’s Project Manager who may refer it to the Office of Contract Compliance for review and approval.

3. In the event that a subcontract is reduced due to a project change that will not be specified in a change order, the Consultant shall request approval for reducing the subcontract by documenting the following for submittal:

Rev. 12/30/12 (Public Works RFB - BAVN)
a. The name of the company for which the subcontract reduction is requested and the dollar amount of the reduction.

b. The reason for the reduction. Specific details should be given in order for the Consultant’s request to be processed promptly.

c. The Consultant shall submit all documentation to the Department’s Project Manager who may refer it to the Office of Contract Compliance for review and approval.

F. **SUB-AGREEMENT FALSIFICATION**

Falsification or misrepresentation of a sub-agreement as to company name, contract amount and/or actual work to be done by the sub-bidder/subconsultant will result in sanctions set forth in provisions pertaining to listing of subconsultants.

G. **SUBMITTAL DOCUMENTS**

1. List of Potential MBE/WBE/SBE/EBE/DVBE/OBE Subconsultants (Schedule A)

   Respondents shall submit with their RFB response the List of Potential MBE/WBE/SBE/EBE/DVBE/OBE Subconsultants, provided herein as Schedule A. The respondent shall list the name, address, telephone, contact person and a description of work or supplies to be provided by each of the firms which may be utilized to perform portions of work in a specific task. This list is considered the respondent’s list of prequalified subconsultants which will be utilized when preparing a proposal/bid/submission of qualification for a specific project or task work order. For this reason, it is expected that the respondent will list multiple potential subconsultants for each specific area of work. Respondents are expected to only use the firms listed on the Schedule A when preparing a proposal/bid/submission of qualification for a specific project or task work order. In the event that the respondent has either a desire to update their Schedule A or a need to solicit subconsultants that are not on the Schedule A, the respondent will be expected to perform an outreach which, at a minimum, conforms to the requirements set forth under “E. Subconsultant Substitutions” of this document.

2. Task Work Order List of Subconsultants (Schedule B)

   At the time a specific task work order is assigned to the consultant, the consultant must submit the Task Work Order List of Subconsultants (Schedule B). The Schedule B is required prior to commencement of work. The consultant is committing itself to utilizing the subconsultants listed on this schedule for the portions of work and subcontract amounts for which they are listed. It is expected that the subconsultants listed on the Schedule B will be from the pool of potential subconsultants listed on the Schedule A. If the consultant needs to list subconsultants that are not on their Schedule A, the consultant needs to refer to the directions included under “1. List of Potential MBE/WBE/SBE/EBE/DVBE/OBE Subconsultants (Schedule A)” for additional details on the process for adding subconsultants to their Schedule A.

3. MBE/WBE/SBE/EBE/DVBE/OBE Utilization Profile (Schedule C)

   During the term of the contract, the consultant must submit a separate MBE/WBE/SBE/EBE/DVBE/OBE Utilization Profile (Schedule C) for each task work order when submitting an invoice to the City.

Rev. 12/30/12 (Public Works RFB - BAVN)
4. Final Subconsulting Report (Schedule D)

Upon completion of each task work order, a summary of these records shall be prepared on the "Final Report of Subconsulting and Purchases" form (Schedule D) and certified correct by the consultant or its authorized representative. The completed form shall be furnished to the Department within 15 working days after completion of the task work order.

H. RESPONSIBILITY FOR IMPLEMENTATION AND MONITORING

The Bureau which acts as the City’s Project Manager for the resulting contract will be the responsible entity for proper implementation and monitoring of the policy.

I. AWARD OF CONTRACT

Nothing herein restricts the discretion of the Board of Public Works to reject all proposals/bids/submissions of qualifications in accordance with Charter Section 371.
**Schedule A**

**LIST OF POTENTIAL MBE/WBE/SBE/EBE/DVBE/OBE SUBCONSULTANTS**

(NO: COPY THIS PAGE AND ADD ADDITIONAL SHEETS AS NECESSARY, SIGN ALL SHEETS)

<table>
<thead>
<tr>
<th>No.</th>
<th>Company Name</th>
<th>Address</th>
<th>Telephone/Contact Person</th>
<th>License No.</th>
<th>MBE/WBE/SBE/EBE/DVBE/OBE</th>
<th>Description of work to be performed.</th>
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<tbody>
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</table>

NOTE: I hereby declare that I will be utilizing this list to solicit proposals/bids/submissions of qualifications from these subconsultants before responding to a specific project/individual Task Work Order under the Request for Bid for Pre-Qualified On-Call Architectural and Related Professional Services Consultants List.

__________________________________________
Signature of Person Completing this Form

__________________________________________
Printed Name of Person Completing this Form

__________________________________________
Title Date

MUST BE SUBMITTED WITH THE RFB RESPONSE
**SCHEDULE B**

**TASK WORK ORDER LIST OF SUBCONSULTANTS**

*(NOTE: COPY THIS PAGE AND ADD ADDITIONAL SHEETS AS NECESSARY, SIGN ALL SHEETS)*

<table>
<thead>
<tr>
<th>Project Title</th>
<th>Work Order Number</th>
</tr>
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</table>

<table>
<thead>
<tr>
<th>Contractor</th>
<th>Address</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Contact Person</th>
<th>Phone/Fax</th>
</tr>
</thead>
</table>

**LIST OF ALL SUBCONSULTANTS (SERVICE PROVIDERS/SUPPLIERS/ETC.)**

<table>
<thead>
<tr>
<th>NAME, ADDRESS, TELEPHONE NO. OF SUBCONSULTANT</th>
<th>DESCRIPTION OF WORK OR SUPPLY</th>
<th>MBE/WBE/SBE/EBE/DVBE/OBE</th>
<th>CALTRANS/CITY/MTA CERT. NO.</th>
<th>DOLLAR VALUE OF SUBCONTRACT</th>
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</tbody>
</table>

**PERCENTAGE OF MBE/WBE/SBE/EBE/DVBE/OBE PARTICIPATION**

<table>
<thead>
<tr>
<th></th>
<th>DOLLARS</th>
<th>PERCENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>TOTAL MBE AMOUNT</td>
<td>$</td>
<td>%</td>
</tr>
<tr>
<td>TOTAL WBE AMOUNT</td>
<td>$</td>
<td>%</td>
</tr>
<tr>
<td>TOTAL SBE AMOUNT</td>
<td>$</td>
<td>%</td>
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<tr>
<td>TOTAL EBE AMOUNT</td>
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<td>%</td>
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<tr>
<td>TOTAL DVBE AMOUNT</td>
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<td>%</td>
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<tr>
<td>TOTAL OBE AMOUNT</td>
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<td>%</td>
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<tr>
<td>BASE BID AMOUNT</td>
<td>$</td>
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</tbody>
</table>

Signature of Person Completing this Form

Printed Name of Person Completing this Form

Title Date

**MUST BE SUBMITTED PRIOR TO THE ISSUANCE OF THE NOTICE TO PROCEED**
# SCHEDULE C
## MBE/WBE/SBE/EBE/DVBE/OBE UTILIZATION PROFILE

<table>
<thead>
<tr>
<th>Project Title</th>
<th>Contract No.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</table>

<table>
<thead>
<tr>
<th>Consultant</th>
<th>Address</th>
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<tbody>
<tr>
<td></td>
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</table>

<table>
<thead>
<tr>
<th>Contact Person</th>
<th>Phone/Fax</th>
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<tbody>
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</table>

## CONTRACT AMOUNT (INCLUDING AMENDMENTS) | THIS INVOICE AMOUNT | INVOICED TO DATE AMOUNT (INCLUDE THIS INVOICE)

### MBE/WBE/SBE/EBE/DVBE/OBE SUBCONTRACTORS (LIST ALL SUBS)

<table>
<thead>
<tr>
<th>NAME OF SUBCONTRACTOR</th>
<th>MBE/WBE/SBE/EBE/DVBE/OBE</th>
<th>ORIGINAL SUBCONTRACT AMOUNT</th>
<th>THIS INVOICE AMOUNT (AMOUNT NOW DUE)</th>
<th>INVOICED TO DATE (INCLUDE THIS INVOICE)</th>
<th>SCHEDULED PARTICIPATION TO DATE</th>
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</tbody>
</table>

## CURRENT PERCENTAGE OF MBE/WBE/SBE/EBE/DVBE/OBE PARTICIPATION TO DATE

<table>
<thead>
<tr>
<th></th>
<th>DOLLARS</th>
<th>PERCENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>TOTAL MBE PARTICIPATION</td>
<td>$</td>
<td>%</td>
</tr>
<tr>
<td>TOTAL WBE PARTICIPATION</td>
<td>$</td>
<td>%</td>
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<tr>
<td>TOTAL SBE PARTICIPATION</td>
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<td>%</td>
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<td>TOTAL EBE PARTICIPATION</td>
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<td>TOTAL DVBE PARTICIPATION</td>
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<tr>
<td>TOTAL OBE PARTICIPATION</td>
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<td>%</td>
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Signature of Person Completing this Form:

__________________________________________

Printed Name of Person Completing this Form:

__________________________________________

Title: __________________ Date: __________

MUST BE SUBMITTED WITH EACH INVOICE
# SCHEDULE D
## FINAL SUBCONTRACTING REPORT

<table>
<thead>
<tr>
<th>Project Title</th>
<th>Contract No.</th>
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<tbody>
<tr>
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<table>
<thead>
<tr>
<th>Company Name</th>
<th>Address</th>
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<table>
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<tr>
<th>Contact Person</th>
<th>Phone</th>
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<table>
<thead>
<tr>
<th>Name, Address, Telephone No. of all Subconsultants Listed on Schedule C</th>
<th>Description of Work or Supply</th>
<th>MBE/WBE/SBE/EBE/DVBE/OBE</th>
<th>Original Dollar Value of Subcontract</th>
<th>Actual Dollar Value of Subcontract*</th>
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</table>

* If the actual dollar value differs from the original dollar value, explain the differences and give details.

<table>
<thead>
<tr>
<th>Total Dollars</th>
<th>Achieved Levels</th>
<th>Pledged Levels</th>
<th>Total Dollars</th>
<th>Achieved Levels</th>
<th>Pledged Levels</th>
</tr>
</thead>
<tbody>
<tr>
<td>MBE Participation</td>
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<td></td>
<td>WBE Participation</td>
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<tr>
<td>SBE Participation</td>
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<td></td>
<td>EBE Participation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>DVBE Participation</td>
<td></td>
<td></td>
<td>OBE Participation</td>
<td></td>
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</tr>
</tbody>
</table>

**Signature of Person Completing this Form**

**Printed Name**

**Title**

**Date**

**SUBMIT WITHIN 15 DAYS OF TASK WORK ORDER COMPLETION**
The City’s Municipal Lobbying Ordinance (Ord No. 169916) requires certain individuals and entities to register with the City Ethics Commission and requires public disclosure of certain lobbying activities, including money received and spent. Additionally, for all construction contracts, public leases, or licenses of any value and duration; goods or service contracts with a value greater than Twenty-Five Thousand Dollars ($25,000.00) and a term of at least three (3) months, each Respondent must submit with its response a certification, on forms CEC Form 50, prescribed by the City Ethics Commission, that the Respondent acknowledges and agrees to comply with the disclosure requirements and prohibitions established in the Los Angeles Municipal Lobbying Ordinance, if the Respondent qualifies as a lobbying entity. A copy of the ordinance can be found at:

https://ethics.lacity.org/contracts/bidders/

**INSTRUCTIONS:**

All Respondents must complete the enclosed Bidder Certification Forms (CEC Form 50) and submit them with the Response.
Bidder Certification

This form must be submitted with your bid or proposal to the City department that is awarding the contract noted below. If you have questions about this form, please contact the Ethics Commission at (213) 978-1960.

[ ] Original Filing  [ ] Amendment: Date of Signed Original __________ Date of Last Amendment __________

Reference Number (Bid, Contract, or BAVN)  Awarding Authority (Department awarding the contract)

Bidder Name

Address

Email Address  Phone Number

Certification

I certify the following on my own behalf or on behalf of the entity named above, which I am authorized to represent:

A. I am applying for one of the following types of contracts with the City of Los Angeles:
   1. A goods or services contract with a value of more than $25,000 and a term of at least three months;
   2. A construction contract with any value and duration;
   3. A financial assistance contract, as defined in Los Angeles Administrative Code § 10.40.1(h), with a value of at least $100,000 and a term of any duration; or
   4. A public lease or license, as defined in Los Angeles Administrative Code § 10.40.1(i), with any value and duration.

B. I acknowledge and agree to comply with the disclosure requirements and prohibitions established in the Los Angeles Municipal Lobbying Ordinance if I qualify as a lobbying entity under Los Angeles Municipal Code § 48.02.

I certify under penalty of perjury under the laws of the City of Los Angeles and the state of California that the information in this form is true and complete.

Name ________________________________
Signature ________________________________

Title ________________________________
Date ________________________________
Los Angeles Administrative Code § 10.40.1

(h) "City Financial Assistance Recipient" means any person who receives from the City discrete financial assistance in the amount of One Hundred Thousand Dollars ($100,000.00) or more for economic development or job growth expressly articulated and identified by the City, as contrasted with generalized financial assistance such as through tax legislation.

Categories of such assistance shall include, but are not limited to, bond financing, planning assistance, tax increment financing exclusively by the City, and tax credits, and shall not include assistance provided by the Community Development Bank. City staff assistance shall not be regarded as financial assistance for purposes of this article. A loan shall not be regarded as financial assistance. The forgiveness of a loan shall be regarded as financial assistance. A loan shall be regarded as financial assistance to the extent of any differential between the amount of the loan and the present value of the payments thereunder, discounted over the life of the loan by the applicable federal rate as used in 26 U.S.C. Sections 1274(d), 7872(f). A recipient shall not be deemed to include lessees and sublessees.

Los Angeles Administrative Code § 10.37.1

(l) "Public lease or license".

(a) Except as provided in (l)(b), "Public lease or license" means a lease or license of City property on which services are rendered by employees of the public lessee or licensee or sublessee or sublicensee, or of a contractor or subcontractor, but only where any of the following applies:

1. The services are rendered on premises at least a portion of which is visited by substantial numbers of the public on a frequent basis (including, but not limited to, airport passenger terminals, parking lots, golf courses, recreational facilities); or
2. Any of the services could feasibly be performed by City employees if the awarding authority had the requisite financial and staffing resources; or
3. The DAA has determined in writing that coverage would further the proprietary interests of the City.

(b) A public lessee or licensee will be exempt from the requirements of this article subject to the following limitations:

1. The lessee or licensee has annual gross revenues of less than the annual gross revenue threshold, three hundred fifty thousand dollars ($350,000), from business conducted on City property;
2. The lessee or licensee employs no more than seven (7) people total in the company on and off City property;
3. To qualify for this exemption, the lessee or licensee must provide proof of its gross revenues and numbers of people it employs in the company’s entire workforce to the awarding authority as required by regulation;
4. Whether annual gross revenues are less than three hundred fifty thousand dollars ($350,000) shall be determined based on the gross revenues for the last tax year prior to application or such other period as may be established by regulation;
5. The annual gross revenue threshold shall be adjusted annually at the same rate and at the same time as the living wage is adjusted under section 10.37.2 (a);
6. A lessee or licensee shall be deemed to employ no more than seven (7) people if the company’s entire workforce worked an average of no more than one thousand two-hundred fourteen (1,214) hours per month for at least three-fourths (3/4) of the time period that the revenue limitation is measured;
7. Public leases and licenses shall be deemed to include public subleases and sublicenses;
8. If a public lease or license has a term of more than two (2) years, the exemption granted pursuant to this section shall expire after two (2) years but shall be renewable in two-year increments upon meeting the requirements therefor at the time of the renewal application or such period established by regulation.
The City Council, on January 7, 1992, adopted a motion that requires bidders to state their headquarter address as well as the percentage of their workforce residing in the City of Los Angeles. All Respondents must complete the Los Angeles Residence Information form in order to be considered for a contract award.

**INSTRUCTIONS:**

1. Complete and sign the Los Angeles Residence Information Form.
2. Submit with the Response.
LOS ANGELES RESIDENCE INFORMATION
The City Council in consideration of the importance of preserving and enhancing the economic base and well-being of the City encourages businesses to locate or remain within the City of Los Angeles. This is important because of the jobs businesses generate and for the business taxes they remit. The City Council, on January 7, 1992, adopted a motion that requires bidders to state their headquarter address as well as the percentage of their workforce residing in the City of Los Angeles.

Organization:  

I. Corporate or Main Office Address:

II. Total Number of Employees in the Organization:

III. Percentage of the Bidder’s Total Workforce Employed within the City of Los Angeles:

IV. Address of any Branch Offices Located within the City of Los Angeles and Total Number Employed in each Los Angeles Branch:

V. Percentage of the Workforce in each Los Angeles Branch Offices that is Employed within The City:

REV 11/07/08
SECTION J
REPORTING REQUIREMENTS AFTER AWARD OF CONTRACT

Respondent is responsible for submitting a Monthly Ethnic Composition of Work Force (ECWF) report by the 10th of each month for the preceding month. Subcontractors with a contract valued at greater than Five Thousand Dollars ($5,000.00) must also submit the ECWF as well. The Respondent will be responsible to submit a list of subcontractors working on every project, note which subcontractors have subcontracts in excess of Five Thousand Dollars ($5,000.00), and ensure such subcontractors submit an Affirmative Action Plan prior to commencing work.

INSTRUCTIONS:

1. Complete and sign the document.
2. Submit with the Response.
REPORTING REQUIREMENTS AFTER AWARD OF A CONTRACT

The contractor is required to provide a Monthly Ethnic Composition of Work Force (ECWF) Report due by the tenth (10th) of each month for the preceding month. Contractors should submit the original to the Department of Recreation and Parks, Planning, Construction and Maintenance Branch, authorized City representative at the job site. This report must also be submitted by all subcontractors whose contracts exceed Five Thousand Dollars ($5,000.00).

The contractor awarded this project will be required to submit a list of all subcontractors on the project prior to commencing work and indicate by an asterisk (*) those whose sub-subcontracts exceed Five Thousand Dollars ($5,000.00).

The contractor is reminded that pursuant to the City’s Affirmative Action Ordinance, subcontractors whose contracts exceed Five Thousand Dollars ($5,000.00) must submit an Affirmative Action Plan prior to commencing work.

The contractor awarded the contract is responsible for the preparation and submission of all reports. Failure to submit the required reports may delay the contractor’s payment requests.

Contractor/Bidder/Respondent has read the “REPORTING REQUIREMENTS AFTER AWARD OF A CONTRACT” above and made it a part of the Response documents for this contract.

Contractor or Name of Company

________________________________________
By: (Signature)                                    Date
SECTION K
COMPLIANCE WITH LOS ANGELES CITY
CHARTER SECTION 470(c)(12) (MEASURE H)

Charter Section 470(c)(12) and related ordinances state that respondents may not make campaign contributions to and/or engage in fundraising for certain elected City officials or candidates for elected City office from the time they submit a response until either the contract is approved or, for awarded responders, twelve (12) months after the contract is signed. The respondent’s principals and subcontractors performing $100,000 or more in work on the contract, as well as the principals of those subcontractors, are also subject to the same limitations on campaign contributions and fundraising. By submitting the Bidder Contributions form (CEC Form 55), as prescribed by the City Ethics Commission, the respondent acknowledges and agrees to comply with the requirements of Charter Section 470(c)(12) and related ordinances. Additional information regarding these restrictions and requirements may be obtained from the City Ethics Commission as (213) 978-1960 or ethics.lacity.org.

INSTRUCTIONS:

All respondents must complete the Bidder Contributions form (CEC Form 55) and submit it with the Response. Responses submitted without a completed CEC Form 55 shall be deemed nonresponsive. Responders who fail to comply with City law may be subject to penalties, termination of contract, and debarment.
Prohibited Contributors
(Bidders)

This form must be completed in its entirety and submitted with your bid or proposal to the City department that is awarding the contract. Failure to submit a completed form may affect your bid or proposal. If you have questions about this form, please contact the Ethics Commission at (213) 978-1960.

Original Filing □  Amendment: Date of Signed Original ___________ Date of Last Amendment ___________

Reference Number (Bid, Contract, or BAVN): _______________ Date Bid Submitted: _______________

Contract Description (Title of the RFP or City contract solicitation and description of the services to be provided):

Awarding Authority (Department awarding the contract):

Bidder Name: ____________________________________________

Bidder Address: __________________________________________

Bidder Email Address: __________________ Bidder Phone Number: __________________

Schedule Summary

Please complete all three of the following:

1. SCHEDULE A — Bidder’s Principals (check one)
   The bidder has one or more PRINCIPALS, as defined in LAMC § 49.7.35(A)(6).
   At least one principal is required for entities. (If you check “Yes”, Schedule A is required.)
   Yes □ No □

2. SCHEDULE B — Subcontractors and Their Principals (check one)
   The bidder has one or more SUBCONTRACTORS on this bid or proposal with subcontracts worth $100,000 or more. (If you check “Yes”, Schedule B is required.)
   Yes □ No □

3. TOTAL NUMBER OF PAGES SUBMITTED (including this cover page): _____

Certification

I certify the following under penalty of perjury under the laws of the City of Los Angeles and the state of California:
A) I understand, will comply with, and have notified my principals and subcontractors of the requirements and restrictions in Los Angeles City Charter § 470(c)(12) and any related ordinances; B) I understand that I must amend this form within ten business days if any information changes; C) I am the bidder named above or I am authorized to represent the bidder named above, and my name appears below; and D) The information provided in this form is true and complete to the best of my knowledge and belief.

Name: ___________________________ Signature: ___________________________

Title: ___________________________ Date: ___________________________
Please identify the names and titles of all the bidder's principals (attach additional sheets if necessary). Principals include the bidder's board chair, president, chief executive officer, chief operating officer, and individuals who serve in the functional equivalent of one or more of those positions. Principals also include individuals who hold an ownership interest in the bidder of at least 20 percent and employees of the bidder who are authorized by the bid or proposal to represent the bidder before the City.

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☐ Check this box if additional Schedule A pages are attached.
Schedule B - Subcontractors and Their Principals

Please identify all subcontractors whose subcontracts are worth $100,000 or more. Separate Schedule B pages are required for each subcontractor who meets the threshold.

Subcontractor's Name

Subcontractor's Address

Please check one of the following options:

This subcontractor has one or more principals.  [ ] Yes  [ ] No

* Each principal's name and title must be identified below. Attach additional sheets if necessary. Principals include a subcontractor's board chair, president, chief executive officer, chief operating officer, and individuals who serve in the functional equivalent of one or more of those positions. Principals also include individuals who hold an ownership interest in the subcontractor of at least 20 percent and employees of the subcontractor who are authorized by the bid or proposal to represent the subcontractor before the City.

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[ ] Check this box if additional Schedule B pages are attached.

Los Angeles City Charter § 471(d)(12), Los Angeles Municipal Code § 49.7.558(c)(1)(4)
INTRODUCTION

Bidders who respond to certain City contract solicitations are limited by City law in their ability to spend money in connection with City elections. They are prohibited from making campaign contributions to and engaging in prohibited fundraising activity for City candidates and officeholders. They are also required to disclose their identities and the identities of their subcontractors and principals. Form 55 must be used for that purpose, and these instructions provide information about how to complete the form.

CONTACT INFORMATION

All questions about Form 55 and the laws regarding bidders and contractors should be directed to the Los Angeles City Ethics Commission:

ethics.commission@lacity.org
(213) 978-1960 phone
(213) 978-1988 fax
Whistleblower Hotline: (800) 824-4825

200 North Spring Street
City Hall 24th Floor, Suite 2410
Los Angeles CA 90012

ethics.lacity.org
BIDDER RESPONSIBILITIES

A bidder is any person who bids on or submits a proposal or other response to a City contract solicitation, whether it involves a competitive or a non-competitive selection process.

You are a bidder required to complete Form 55 when all of the following apply:

- You submit a response or proposal for an RFP (request for proposals), RFQ (request for qualifications), RFB (request for bids), or any other written or verbal request to enter into a competitive or non-competitive City contract; and
- The contract is expected to be valued at $100,000 or more; and
- The contract must be approved by an elected office (City Council, Mayor, City Controller, or City Attorney).

For purposes of Form 55, a contract is any agreement, franchise, lease, non-regulatory permit, land use license or easement, or concession with the City that meets the qualifications listed above. This includes an agreement for the performance of any work, service, or construction; the provision of any materials, goods, or equipment; the sale or purchase of property; and the making of grants. This also includes the selection of a pre-qualified list of persons to contract with the City if if the RFQ’s not-to-exceed amount is at least $100,000 and the list selection requires approval by an elected City office. The definition does not include a contract with another government agency or a contract between a City proprietary department and an underwriting firm for a noncompetitive sale of revenue bonds.

Form 55 is used to disclose information about the following individuals and entities:

- You (the bidder);
- Your principals;
- Your subcontractors with subcontracts valued at $100,000 or more; and
- The principals of those subcontractors.

The campaign finance restrictions and requirements in Los Angeles City Charter § 470(c)(12) and Los Angeles Municipal Code § 49.7.35 apply to all of those individuals and entities. They are subject to the laws because of the positions they hold in relation to a City bid, not because they are disclosed on your Form 55. See section G for more information.

You are required to do all of the following:

1. **Submit** a completed Form 55 with your bid or proposal documents to the City department awarding the contract.

2. **Amend** your Form 55 within 10 business days if the information in the form changes after you submit it with your bid or proposal.

3. **Notify** your principals and subcontractors of the campaign finance restrictions and requirements that apply to them.
A. ORIGINAL OR AMENDED FILING

**ORIGINAL FILING**

Check this box if this is the first time you are submitting a Form 55 in connection with the City contract that you are currently seeking or have been awarded.

**AMENDMENT**

Check this box if you are making changes to a Form 55 that you previously submitted in connection with the same City contract that you are seeking or have been awarded. For an amended filing, you must provide the later of:

- The date that your original Form 55 submission was signed; or
- The date that your most recent amendment was signed.

**Example 1:** Your law firm submitted a Form 55 last month when responding to an RFP from the City Attorney’s Office for legal services. Your law firm is now responding to an RFP with the Port of Los Angeles for a different contract to provide legal services. Check the “Original Filing” box on the Form 55 submitted to the Port, because this is the first time your firm is submitting Form 55 in connection with the contract with the Port.

**Example 2:** Your company submitted a Form 55 last week when responding to an RFP from the Department of Water and Power (DWP) for construction services. This week, your company moved its offices to a new location. Your company is required to update its contact information on the Form 55 submitted with its proposal. On a new Form 55, check the “Amendment” box, because your company is submitting an updated version of the Form 55 that was already submitted in connection with the construction services contract.

B. REFERENCE NUMBER

If applicable, provide the bid number, contract number, BAVN ID, or other identifying number or code assigned to the bid or contract that you seek. You can usually find this number on the City solicitation package (e.g., the RFP documents). However, not all solicitations have a reference number.

If there is no reference number for the bid or contract, enter “N/A” in this box.

C. DATE BID SUBMITTED

Enter the date that you submit your bid or response documents to the City department that will be awarding the contract.
D. CONTRACT DESCRIPTION

Provide the following information in this section:

- Title of the RFP, RFQ, or RFB, as listed on the City solicitation documents; and
- Description of the services to be provided under the contract.

A brief description of the contract is usually given in the RFP, RFQ, RFB, or solicitation documents. If you cannot find one, describe what will be performed under the contract.

E. AWARDING AUTHORITY

Provide the name of the City department that will be awarding the contract you seek.

F. BIDDER INFORMATION

Provide all of the following information:

- Bidder’s full legal name;
- Bidder’s business address;
- Bidder’s telephone number; and
- Bidder’s email address.

The email address and telephone number provided in this section will be used to contact you if there are questions about the information provided in your Form 55.

Remember to amend your Form 55 to keep this information current.

G. SCHEDULE SUMMARY

ITEM 1: BIDDER’S PRINCIPALS

Indicate whether you have one or more principals. Check only one box (“Yes” or “No”).

A principal is any of the following:

- Board chair;
- President;
- Chief executive officer;
- Chief operating officer;
- An individual who serves in the functional equivalent of any of the above positions;
- An individual who holds an ownership interest of 20% or more; or
- An employee authorized to represent you before the City regarding this contract.
Example 1: You are putting together a proposal for a City contract on behalf of your employer, ABC, Inc. The proposal must include a Form 55. Because ABC, Inc. is an entity, you must check the “Yes” box and disclose ABC, Inc.’s principals on attached Schedule A pages.

Example 2: You are an individual submitting a proposal for a City contract and must complete a Form 55. You have two employees who are authorized to represent you before the City on this proposal. You must check the “Yes” box and disclose yourself and those employees as your principals on attached Schedule A pages.

All bidders who are entities are required to complete Schedule A. Most bidders are entities, so most bidders must check the “Yes” box and attach Schedule A pages to the cover page.

Attach to the cover page as many Schedule A pages as necessary to identify all of your principals.

ITEM 2: SUBCONTRACTORS AND THEIR PRINCIPALS

Indicate whether you have one or more subcontractors with subcontracts valued at $100,000 or more on the City contract you seek. Check only one box (“Yes” or “No”).

Example 1: Your construction company is submitting a response to a City RFP to provide construction services on a development project and must submit a Form 55. For the proposed project, you expect to hire ABC Company as a subcontractor that will perform $500,000 worth of work and XYZ Corporation as another subcontractor that will perform $200,000 worth of work. Check the “Yes” box and attach Schedule B pages to disclose XYZ Corporation and its principals.

Example 2: Your architecture firm is submitting a response to a City RFP to provide landscape design services at a new park, and a Form 55 is required. For the proposed project, you expect to hire two subcontractors: More Sunshine, Inc., which will provide consulting services worth $30,000; and Beautiful Parks Company, which will perform $85,000 worth of the work. Check the “No” box, indicating that you do not have any subcontractors with subcontracts valued at $100,000 or more.

Attach to the cover page as many Schedule B pages as necessary to identify all of your subcontractors and their principals.

ITEM 3: TOTAL NUMBER OF PAGES SUBMITTED

Enter the total number of Form 55 pages that you are submitting, including the cover page and all attached Schedule A and B pages.

H. CERTIFICATION

Form 55 must be signed by an authorized representative of the bidder. By signing this section, you are certifying under penalty of perjury all of the following:

- You understand and will comply with the requirements and restrictions in Los Angeles City Charter § 470(c)(12) and Los Angeles Municipal Code § 49.7.35;
- You have notified your principals and subcontractors of the requirements and restrictions; and
- The information you provided in the Form 55 and all attached pages is true and complete to the best of your knowledge and belief.
**PAGE 2: SCHEDULE A – BIDDER’S PRINCIPALS**

You must complete this section if you have principals. If you are an entity, this section is required. You must disclose the name, title, and business address for each of your principals. For a definition of “principal”, see the instructions for Page 1, Section G.

If you need more space, mark the box indicating that you are attaching additional Schedule A pages. You may attach as many additional Schedule A pages as necessary to disclose all of your principals.

*Remember to include all Schedule A pages in the total page count on your cover page and attach them to the cover page.*

**PAGE 3: SCHEDULE B – SUBCONTRACTORS AND THEIR PRINCIPALS**

You must complete this section if you will have subcontractors with subcontracts worth $100,000 or more. You must disclose the names and business addresses of those subcontractors and the names, titles, and business addresses of their principals. For a definition of “principal”, see the instructions for Page 1, Section G.

You must submit at least one Schedule B page for each subcontractor. Provide the name and business address of the subcontractor, and then mark the appropriate box to indicate whether the subcontractor has principals.

If a subcontractor has more principals than will fit on one page—or if you have multiple subcontractors to disclose—mark the box indicating that you are attaching additional Schedule B pages. You may attach as many additional Schedule B pages as necessary to disclose all of your subcontractors with subcontracts worth $100,000 or more and all of their principals.

*Remember to include all Schedule B pages in the total page count on your cover page and attach them to the cover page.*
Respondents are advised that any contract awarded pursuant to this procurement process shall be subject to the applicable provisions of Los Angeles Administrative Code Section 10.8.2., Non-discrimination Clause.

Construction projects with the City of Los Angeles for which the consideration is One Thousand Dollars ($1,000.00) or more shall comply with the provisions of Los Angeles Administrative Code Sections 10.8.3., Equal Employment Practices Provisions. All Respondents shall complete the Non-Discrimination/Equal Employment Practices Affidavit (two (2) pages) prior to award of a City contract valued at One Thousand Dollars ($1,000.00) or more.

Construction projects with the City of Los Angeles for which the consideration is Five Thousand Dollars ($5,000.00) or more shall comply with the provisions of Los Angeles Administrative Code Sections 10.8.4 and 10.8.13, herewith referred to as the Affirmative Action Program. All Bidders/Proposers/Respondents shall complete and upload, the City of Los Angeles Affirmative Action Plan Affidavit (four [4] pages) prior to award of a City construction contract valued at Five Thousand Dollars ($5,000.00). Respondents are required to complete item #6 on page four (4) of the City of Los Angeles Affirmative Action Plan Affidavit.

Additionally, Respondents must complete and submit to the awarding department, the Anticipated Employment Utilization Report for each contract awarded prior to issuance of a “Notice to Proceed” to effectuate the requirements of the Los Angeles Administrative Code Section 10.8.13, applicable to construction contracts. Furthermore, the same requirements apply to all subcontractors who must also submit the Anticipated Employment Utilization Report prior to commencing work on the contract.

INSTRUCTIONS:

1. Complete and sign the document.
2. Submit with the Response.
CITY OF LOS ANGELES

NONDISCRIMINATION • EQUAL EMPLOYMENT PRACTICES
CONSTRUCTION & NON-CONSTRUCTION CONTRACTOR

Los Angeles Administrative Code (LAAC), Division 10, Chapter 1, Article 1, Section 10.8 stipulates that the City of Los Angeles, in letting and awarding contracts for the provision to it or on its behalf of goods or services of any kind or nature, intends to deal only with those contractors that comply with the non-discrimination and Affirmative Action provisions of the laws of the United States of America, the State of California, and the City of Los Angeles. The City and each of its awarding authorities shall therefore require that any person, firm, corporation, partnership or combination thereof, that contracts with the City for services, materials or supplies, shall not discriminate in any of its hiring or employment practices, shall comply with all provisions pertaining to nondiscrimination in hiring and employment, and shall require Affirmative Action Programs in contracts in accordance with the provisions of the LAAC. The awarding authority and/or Office of Contract Compliance of the Department of Public Works shall monitor and inspect the activities of each such contractor to determine that they are in compliance with the provisions of this chapter.

I. Los Angeles Administrative Code Section 10.8.2 All Contracts: Non-discrimination Clause

Notwithstanding any other provision of any ordinance of the City of Los Angeles to the contrary, every contract which is let, awarded or entered into with or on behalf of the City of Los Angeles, shall contain by insertion therein a provision obligating the contractor in the performance of such contract not to discriminate in his or her employment practices against any employee or applicant for employment because of the applicant’s race, religion, national origin, ancestry, sex, sexual orientation, age, disability, marital status, domestic partner status, or medical condition. All contractors who enter into such contracts with the City shall include a like provision in all subcontracts awarded for work to be performed under the contract with the City. Failure of the contractor to comply with this requirement or to obtain the compliance of its subcontractors with such obligations shall subject the contractor to the imposition of any and all sanctions allowed by law, including but not limited to termination of the contractor’s contract with the City.


Every non-construction contract with or on behalf of the City of Los Angeles for which the consideration is $1,000 or more, and every construction contract for which the consideration is $1,000 or more, shall contain the following provisions, which shall be designated as the EQUAL EMPLOYMENT PRACTICES provision of such contract:

A. During the performance of this contract, the contractor agrees and represents that it will provide equal employment practices and the contractor and each subcontractor hereunder will ensure that in his or her employment practices persons are employed and employees are treated equally and without regard to or because of race, religion, ancestry, national origin, sex, sexual orientation, age, disability, marital status or medical condition.

1. This provision applies to work or service performed or materials manufactured or assembled in the United States.

2. Nothing in this section shall require or prohibit the establishment of new classifications of employees in any given craft, work or service category.

3. The contractor agrees to post a copy of Paragraph A hereof in conspicuous places at its place of business available to employees and applicants for employment.

B. The contractor will, in all solicitations or advertisements for employees placed by or on behalf of the contractor, state that all qualified applicants will receive consideration for employment without regard to their race, religion, ancestry, national origin, sex, sexual orientation, age, disability, marital status or medical condition.
C. part of the City’s supplier registration process, and/or at the request of the awarding authority, or the Board of Public Works, Office of Contract Compliance, the contractor shall certify in the specified format that he or she has not discriminated in the performance of City contracts against any employee or applicant for employment on the basis or because of race, religion, national origin, ancestry, sex, sexual orientation, age, disability, marital status or medical condition.

D. The contractor shall permit access to and may be required to provide certified copies of all of his or her records pertaining to employment and to employment practices by the awarding authority or the Office of Contract Compliance for the purpose of investigation to ascertain compliance with the Equal Employment Practices provisions of City contracts. On their or either of their request the contractor shall provide evidence that he or she has or will comply therewith.

E. The failure of any contractor to comply with the Equal Employment Practices provisions of this contract may be deemed to be a material breach of City contracts. Such failure shall only be established upon a finding to that effect by the awarding authority, on the basis of its own investigation or that of the Board of Public Works, Office of Contract Compliance. No such finding shall be made or penalties assessed except upon a full and fair hearing after notice and an opportunity to be heard has been given to the contractor.

F. Upon a finding duly made that the contractor has failed to comply with the Equal Employment Practices provisions of a City contract, the contract may be forthwith canceled, terminated or suspended, in whole or in part, by the awarding authority, and all monies due or to become due hereunder may be forwarded to and retained by the City of Los Angeles. In addition thereto, such failure to comply may be the basis for a determination by the awarding authority or the Board of Public Works that the said contractor is an irresponsible bidder or proposer pursuant to the provisions of Section 371 of the Charter of the City of Los Angeles. In the event of such a determination, such contractor shall be disqualified from being awarded a contract with the City of Los Angeles for a period of two years, or until the contractor shall establish and carry out a program in conformance with the provisions hereof.

G. Notwithstanding any other provision of this contract, the City of Los Angeles shall have any and all other remedies at law or in equity for any breach hereof.

H. The Board of Public Works shall promulgate rules and regulations through the Office of Contract Compliance, and provide necessary forms and required language to the awarding authorities to be included in City Request for proposals/bids/submission of qualification packages or in supplier registration requirements for the implementation of the Equal Employment Practices provisions of this contract, and such rules and regulations and forms shall, so far as practicable, be similar to those adopted in applicable Federal Executive orders. No other rules, regulations or forms may be used by an awarding authority of the City to accomplish the contract compliance program.

I. Nothing contained in this contract shall be construed in any manner so as to require or permit any act which is prohibited by law.

J. At the time a supplier registers to do business with the City, or when an individual proposal/bid/submission of qualification is submitted, the contractor shall agree to adhere to the Equal Employment Practices specified herein during the performance or conduct of City Contracts.

K. Equal Employment Practices shall, without limitation as to the subject or nature of employment activity, be concerned with such employment practices as:

1. Hiring practices;

2. Apprenticeships where such approved programs are functioning, and other on-the-job training for non-apprenticeable occupations;

3. Training and promotional opportunities; and

4. Reasonable accommodations for persons with disabilities.

L. All contractors subject to the provisions of this section shall include a like provision in all subcontracts awarded
for work to be performed under the contract with the City and shall impose the same obligations, including but not limited to filing and reporting obligations, on the subcontractors as are applicable to the contractor. Failure of the contractor to comply with this requirement or to obtain the compliance of its subcontractors with all such obligations shall subject the contractor to the imposition of any and all sanctions allowed by law, including but not limited to termination of the contractor’s contract with the City.
Equal Employment Practices Provisions Certification –

The Contractor by its signature affixed hereto declares under penalty of perjury that:

1. The Contractor has read the Nondiscrimination Clause in Section I above and certifies that it will adhere to the practices in the performance of all contracts.
2. The Contractor has read the Equal Employment Practices Provisions as contained in Section II above and certifies that it will adhere to the practices in the performance of any construction contract or non-construction contract of One Thousand Dollars ($1,000.00) or more.

COMPANY NAME

ADDRESS

CITY, COUNTY, STATE, ZIP

AUTHORIZED SIGNATURE

NAME AND TITLE (TYPE OR PRINT)

TELEPHONE/E-MAIL

Form OCC/ND-EEP-1 (7/11)
Any Responders who have an employee need of child care and who have adopted a stated policy on child care shall receive preference in contracting with the City of Los Angeles. In order to determine which firms qualify for contract preference, all Respondents must complete and return with their response the Vendor Child Care Policy Program – Child Care Declaration Statement. Failure to return the signed and completed declaration (must be signed in two [2] places) may result in your response being deemed non-responsive.

**INSTRUCTIONS:**

1. Complete and sign the document in two (2) places.
2. Submit with the Response
CHILD CARE POLICIES

This Contract is subject to the policy of the City of Los Angeles regarding City Child Care Policies and Vendor System as adopted by City Council. CONTRACTOR is required to complete the Child Care Declaration statement which is attached hereto as Form D and Form E.

I. City Child Care Policy and Vendor System – On February 24, 1987, the City Council adopted the Child Care Policy for the City of Los Angeles. This policy acknowledges the importance of quality, affordable, accessible child care to the individual, family, work place and community. The City further recognizes that existing child care services and facilities are not adequate to meet current demand, and that such demand is increasing. Failure to address this critical unmet need will have serious, detrimental effects on the physical, social and economic life of Los Angeles. Thus, the City Child Care Policy was adopted, committing the City to use its resources as educator, employer, model and facilitator to act as a catalyst in expanding the supply of quality, affordable child care in Los Angeles.

The City Child Care Policy includes an item specifically designed to address the development and implementation of child care policies and practices by vendors, as follows:

THE CITY OF LOS ANGELES SHALL ENCOURAGE ALL ITS VENDORS TO ADOPT A STATED POLICY ON CHILD CARE. TO THE EXTENT PERMITTED BY LAW, VENDORS WITH STATED CHILD CARE POLICIES SHALL RECEIVE PREFERENCE IN CONTRACTING WITH THE CITY OF LOS ANGELES.

It is the goal of the City to promote and facilitate the establishment and implementation of child care policies and practices which address the critical unmet local need for quality, affordable child care services.

A company may, after a review and due consideration, determine that child care is not an employee need or that a child benefit/service cannot feasibly be offered by the company. In this case, a written policy statement to this effect would also qualify a company for the vendor preference.

II. Request Child Care Policy Information from Vendors – All vendor applicants should complete the “Child Care Declaration Statement” form, declaring whether the business has a stated child care policy and/or offers any form of child care assistance to employees. Those vendors indicating they have a stated child care policy for employees should file a copy of said policy along with the “Declaration Form”.

III. Definition of a Stated Child Care Policy – A “Stated Child Care Policy” is a written statement of intent and/or attitude by an employer regarding the provision of child care assistance to employees.

IV. Definitions of Child Care Assistance – The following definitions apply to the various forms of child care assistance listed on the “Child Care Declaration Statement.”

A. EMPLOYER SUBSIDIZED CHILD CARE CENTER(S) – Group care for children (may range from twelve [12] to three hundred [300] children), in a licensed setting such as a preschool or other center, which may serve infants,
toddlers, preschoolers or school-age children; the center receives funds, goods and/or services from an employer which thus subsidizes part or all of the child care center operating costs, and employees of the subsidizing employer may enroll dependents in this center.

B. EMPLOYER SUBSIDIZED CHILD CARE HOME(S)
Care for up to fourteen (14) children in the home of a licensed caregiver; may include one (1) home or a network of two (2) or more family day care homes, which receive funds, goods and/or services from an employer who thus subsidizes part of all of the home operating costs; employees of the subsidizing employer may enroll dependents in this care home.

C. CHILD CARE REIMBURSEMENT IN ADDITION TO OTHER BENEFITS Employer helps employees pay for child care expenses by reimbursing the employee or his/her care provider for all or part of the cost of child care; allows employee to select the child care provider, or employer may designate providers or conditions (e.g. only reimburse licensed providers); such reimbursement is provided to the employee in addition to the other employee benefits.

D. CHILD CARE REIMBURSEMENT IN A FLEXIBLE BENEFIT PACKAGE System which allows employees to make individual choices among a range of benefits provided by the employer (e.g., health, dental, retirement, etc.) and child care is included as a benefit choice.

E. PAID PARENTAL LEAVE
Employees are given paid time off work due to childbirth or adoption, with a guaranteed return to the same or a comparable job and seniority status.

F. PURCHASE OF SERVICES FOR EMPLOYEES IN A COMMUNITY CHILD CARE PROGRAMS Company contributes funds, goods and/or services to a child care program in the community (center or family day care home), for the purpose of preferential consideration for use by employees.

G. SALARY SET-ASIDE/FLEXIBLE SPENDING ACCOUNT FUNDED WITH EMPLOYEE SALARY DOLLARS
Employer has set up a qualified Dependent Care Assistance Plan under IRS Section 125 and 129, which allows employees to designate an amount up to Five Thousand Dollars ($5,000.00) per year to be set aside from their salaries to pay for dependent care; since such a salary set aside is not taxed, both employee and employer receive financial benefits.

H. CHILD CARE REFERAL SERVICES
A service to employees which provides information, referrals and consultation regarding local child care services (e.g., locations, hours, rates).

I. PARENTING SEMINARS
Company offers workshops, educational presentations, and related activities to provide information and support in such areas as parenting skills, work-family relations, child development, and related topics; may be provided by in-house staff or by contracted services.

J. COUNSELING OF A SELF-SUPPORTING CENTER
Company provides (through in-house or contracted services) group, family or individual counseling services to support employees in the resolution of work/family issues.

K. START-UP OF A SELF-SUPPORTING CENTER
Company has provided funds, goods and/or services to directly assist in the land acquisition, design, construction, renovation, equipment, furnishing or other costs
associated with starting a child care program; this was one-time-only assistance for start-up, with the center now operating on a self-supporting basis.

L. START-UP CONTRIBUTIONS TO A CONSORTIUM CENTER
Company has provided funds, goods and/or services to a child care center, working in cooperation to develop and support a child care service available to employees of contributing companies.

M. FLEXIBLE WORK HOURS
Employees are allowed to make choices about work schedules, with such possible options as 5-day/40-hour vs. 4-day/40-hour work weeks or flexible hours scheduled within a day; may include establishment of “core” working hours during which an employee must be present at the work site.

N. FLEXIPLACE/WORK-AT-HOME
Company offers employees the option to work in their homes; may be available part- or full-time.

O. PERMANENT PART-TIME/JOB SHARING
Company offers job opportunities in which employees may work less than full-time while retaining permanent employment status, and/or two employees may share a single full-time position with salary and benefits prorated between the two employees.

P. WORK-AT-HOME FOLLOWING MATERNITY LEAVE
Employees are offered the option to perform their jobs at home for a period following leave for childbirth or adoption.

Q. UNPAID PARENTAL LEAVE
Employees are allowed unpaid time off due to childbirth or adoption, with a guaranteed return to the same or a comparable job and seniority status.

R. DONATION TO ENHANCE AN EXISTING CHILD CARE PROGRAM
Company has contributed funds, goods and/or services to a child care program, for the purpose of improving the quality, affordability, or accessibility of said program.

All Requests for Proposals/Bids/Submissions of Qualifications, Invitations for Bids, advertisements for bids, and other similar documents must give notice of these provisions to those who bid on or submit proposals/bids/submissions of qualifications for prospective contracts with the City. All bidders and proposers are required to complete the attached Certification of Compliance with Child Support Obligations. Failure to return the completed certification as part of the proposal/bid/submission of qualification will result in the proposal/bid/submission of qualification being deemed unresponsive and being rejected.
**CITY OF LOS ANGELES**  
**VENDOR CHILD CARE POLICY PROGRAM**  
**CHILD CARE DECLARATION STATEMENT**

The business concern listed below declares the following status on the “Child Care Policy of the City of Los Angeles, XI. Vendors” as defined in the attached supplementary instructions to bidders. It is incumbent upon the concern to notify the City of any changes applicable to this declaration.

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Note: A “stated child care policy” may include services and/or benefits for employees and their families, including infants through school-age child care centers or family day care homes, before and after school programs, day camps, and services for ill children with special needs, family leave, and more. Please refer to the attached instructions for definitions. Please check ALL items on the form that apply to your business concern.

### Part One

**DOES YOUR BUSINESS HAVE A STATED CHILD CARE POLICY?**

If YES, please attach a copy

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### Part Two

**DOES YOUR BUSINESS PROVIDE CHILD CARE ASSISTANCE?**

If YES, please check which from(s) of assistance

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- Subsidized company child care center
- Subsidized Network of child care homes
- Child care reimbursement in addition to other benefits
- Child care reimbursement in a flexible benefit package
- Paid parental leave
- Purchase of spaces for employees in community child care program(s) (centers or homes)
- Salary set aside/flexible spending account funded with employee salary dollars/Section 125
- Child care referral services
- Parenting seminars
- Counseling on work/family issues
- Start-up of a self-supporting center
- Start-up contributions to a “consortium center”
- Flexible work hours
- Flex-place/work-at-home
- Permanent part-time/job sharing
- Work-at-home following maternity leave
- Unpaid parental leave
- Donations to enhance child care programs
- Other: (Describe)

**I HAVE READ AND COMPLETED:**

(Signed) ________________________________  (Date) ____________

For additional information on child care options and benefits for employees, please contact the City Child Care Coordinator’s Office, 333 South Spring Street, Los Angeles, CA 90013.

Do not write in this space

Date Filed: ____________  Expiration Date: ____________

50-184 (11/89)
City of Los Angeles
CERTIFICATION OF COMPLIANCE WITH CHILD SUPPORT OBLIGATIONS

This document must be returned with the Proposal/Bid/Submission of Qualification

The undersigned hereby agrees that

will:

Name of Business

1. Fully comply with all applicable State and Federal employment reporting requirements for its employees.

2. Fully comply with and implement all lawfully served Wage and Earnings Assignment Orders and Notices of Assignment.

3. Certify that the principal owner(s) of the business are in compliance with any Wage and Earnings Assignment Orders and Notices of Assignment applicable to them personally.

4. Certify that the business will maintain such compliance throughout the term of the contract.

5. This certification is a material representation of fact upon which reliance was placed when the parties entered into this transaction.

6. The undersigned shall require that the language of this Certification be included in all subcontracts and that all subcontractors shall certify and disclose accordingly.

To the best of my knowledge, I declare under penalty of perjury that the foregoing is true and was executed at:

________________________________________________________________________
 City/County/State \hspace{1cm} Date

________________________________________________________________________
 Name of Business

________________________________________________________________________
 Address of Business

________________________________________________________________________
 Signature of Authorized Officer or Representative \hspace{1cm} Print Name

________________________________________________________________________
 Title \hspace{1cm} Telephone Number
In accordance with California Public Contract Code Sections 2200-2208, all bidders submitting proposal/bid/submission of qualification for, entering into, or renewing contracts with the City of Los Angeles for goods and services estimated at One Million Dollars ($1,000,000.00) or more are required to complete, sign, and submit the “Iran Contracting Act of 2010 Compliance Affidavit”.

For more information, proposers can visit the State of California, Department of General Services, Office of Policies, Procedures, and Legislation (OPPL) website at http://www.dgs.ca.gov/pd/Resources/PDLegislation.aspx

**INSTRUCTIONS:**

1. Complete and sign the document (either certifying compliance, or requesting exemption).
2. Submit with the Response.
IRAN CONTRACTING ACT OF 2010 COMPLIANCE AFFIDAVIT

(California Public Contract Code Sections 2200-2208)

The California Legislature adopted the Iran Contracting Act of 2010 to respond to policies of Iran in a uniform fashion (PCC § 2201(q)). The Iran Contracting Act prohibits bidders engaged in investment activities in Iran from bidding on, submitting proposal/bid/submission of qualification for, or entering into or renewing contracts with public entities for goods and services of One Million Dollars ($1,000,000.00) or more (PCC § 2203(a)). A bidder who “engages in investment activities in Iran” is defined as either:

1. A bidder providing goods or services of Twenty Million Dollars ($20,000,000.00) or more in the energy sector of Iran, including provision of oil or liquefied natural gas tankers, or products used to construct/maintain pipelines used to transport oil or liquefied natural gas, for the energy sector of Iran; or

2. A bidder that is a financial institution (as that term is defined in 50 U.S.C. § 1701) that extends Twenty Million Dollars ($20,000,000.00) or more in credit to another person, for forty-five (45) days or more, if that person will use the credit to provide goods or services in the energy sector in Iran and is identified on a list created by the California Department of General Services (DGS) pursuant to PCC § 2203(b) as a person engaging in the investment activities in Iran.

The bidder shall certify that at the time of submitting a bid for new contract or renewal of an existing contract, the bidder is not identified on the DGS list of ineligible businesses or persons and that the bidder is not engaged in investment activities in Iran in violation of the Iran Contracting Act of 2010.

California law establishes penalties for providing false certifications, including civil penalties equal to the greater of Two Hundred Fifty Thousand Dollars ($250,000.00) or twice the amount of the contract for which the false certification was made; contract termination; and three- (3) year ineligibility to bid on contracts (PCC § 2205).

To comply with the Iran Contracting Act of 2010, the bidder shall provide its vendor or financial institution name, and City Business Tax Registration Certificate (BRTC) if available, in completing ONE (1) of the options shown below.

**OPTION #1: CERTIFICATION**

I, the official named below, certify that I am duly authorized to execute this certification on behalf of the bidder or financial institution identified below, and that the bidder or financial institution identified below is not on the current DGS list of persons engaged in investment activities in Iran and is not a financial institution extending Twenty Million Dollars ($20,000,000.00) or more in credit to another person or vendor, for forty-five (45) days or more, if that other person or vendor will use the credit to provide goods or services in the energy sector in Iran and is identified on the current DGS list of persons engaged in investment activities in Iran.

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<th>Vendor Name/Financial Institution (printed)</th>
<th>BTRC (or name)</th>
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<td>By (Authorized Signature)</td>
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<td>City Approval (Signature)</td>
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**OPTION #2: EXEMPTION**

Pursuant to PCC § 2203(c) and (d), a public entity may permit a bidder or financial institution engaged in investment activities in Iran, on a case-by-case basis, to be eligible for, or to bid on, submit a proposal/bid/submission of qualification for, or enter into, or renew, a contract for goods and services. If the bidder or financial institution identified below has obtained an exemption from the certification requirement under the Iran Contracting Act of 2010, the bidder or financial institution shall complete and sign below and attach documentation demonstrating the exemption approval.

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SECTION O

AMERICANS WITH DISABILITIES ACT (ADA) CERTIFICATION

All Respondents receiving an award under this RFQ, RFB, RFP, RFI must fill out the Certification Regarding Compliance with the Americans with Disabilities Act (ADA) and submit it to the City of Los Angeles Department of Recreation and Parks (RAP) Board of Commissioners (Board).

INSTRUCTIONS:

Complete and submit the ADA Certification form to the Board with your Response to this RFQ, RFB, RFP, RFI. The agreement number will be added to conform to the contract once fully executed.
CERTIFICATION REGARDING COMPLIANCE WITH THE AMERICANS WITH DISABILITIES ACT

The undersigned certifies, that to the best of his/her knowledge and belief, that:

1. The Contractor/Borrower/Agency (hereafter Contractor) is in compliance with and will continue to comply with the Americans with Disabilities Act 42 U.S.C. 12101 et. seq. and its implementing regulations.

2. The Contractor will provide for reasonable accommodations to allow qualified individuals with disabilities to have access and participate in its programs, services and activities in accordance with the provisions of the Americans With Disabilities Act.

3. The Contractor will not discriminate against persons with disabilities nor against persons due to their relationship or association with a person with a disability.

4. The Contractor will require that the language of this certification be included in the award documents for all sub-awards at all tiers (including sub-contracts, sub-grants, and contracts under grants, loans and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

5. This Certification is a material representation of fact upon which the City relied when entering into this agreement.

AGREEMENT NUMBER: __________________________________________

CONTRACTOR: ________________________________________________

_____________________________________________________________

NAME AND TITLE OF AUTHORIZED REPRESENTATIVE
SECTION P

OUT-OF-STATE BIDDERS
OUT-OF-STATE BIDDERS

Out-of-State of California bidders or any bidder with a remittance address outside the State of California that has a California State Board of Equalization permit to collect California sales tax shall enter the permit number in the space provided.

Permit Number: ________________________________

If Bidder has no permit number, check box below and sign.

No Permit Number: [ ] ________________________________

Signature: ________________________________

Date: __________________
SECTION Q

CONTRACTOR KEY EMPLOYEE REFERENCE SHEET/
GOVERNMENTAL PROJECT SHEET
Respondents are required to complete the following reference information. This information will be reviewed as part of the response package for determining the successful Respondent. Contractor shall provide information on key employees (including superintendents, supervisors/general foremen, foremen etc.). Information shall consist of name, title, years’ experience, current licenses and/or certifications, and any other pertinent information. Attach additional sheets, if necessary.

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Please print additional pages if required.
CONTRACTOR GOVERNMENTAL PROJECT REFERENCE SHEET

CONTRACTORS MUST USE THIS FORM

Bidders are required to complete the following reference information below. This information will be reviewed as part of the Bid package for determining the successful Bidder. Contractor shall have a verifiable track record. List all projects or past related contracts in chronological order starting with the most recent, even if not yet completed, going back at least three (3) years. Make sure to include all projects/contracts involving local, county, state and federal agencies. Attach additional sheets, if necessary.

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<thead>
<tr>
<th>Name of Project</th>
<th>Location of Project</th>
<th>Project Description</th>
<th>Amount of the Contract</th>
<th>Duration in Months</th>
<th>Awarding Agency</th>
<th>Awarding Agency Address</th>
<th>City</th>
<th>State</th>
<th>Zip Code</th>
<th>Awarding Agency Telephone Number (Include Area Code)</th>
<th>Awarding Agency Project Liaison</th>
<th>Project Liaison Telephone Number (Include Area Code)</th>
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SECTION R

INFORMATION RELEASE FORM
DEPARTMENT OF RECREATION AND PARKS

INFORMATION RELEASE FORM

By signing below, I hereby authorize, without any reservations, any person or company I have listed as a reference in my Bid 3 to disclose in good faith any information they may have regarding my Bids for contracting. All information obtained will be in connection with Bids for contracted work. My authorization releases the Company, its agents, and all those who have provided information from any and all liability for damages arising from the investigation and disclosure of the requested information.

By signing below, I agree not to assert any claims or causes or action of any kind against the City of Los Angeles. I further release and discharge the City of Los Angeles from any and all claims, demands, damages, actions, cause of action, or suits of any kind or nature arising from the City’s investigations.

I hereby acknowledge that I have read the above disclosure statement and have understood it. Name: ______________________ Title: ______________________

Signature: ______________________ Date: ______________________

Firm’s Name: ______________________ Phone: ______________________

Firm’s Address: ______________________

______________________________
Street, City, State Zip
SECTION S

NON-COLLUSION AFFIDAVIT TO ACCOMPANY PROPOSALS/BIDS/SUBMISSIONS OF QUALIFICATIONS
NON-COLLUSION AFFIDAVIT TO ACCOMPANY PROPOSAL/BID/SUBMISSION OF QUALIFICATION

I/We, ____________________________________________________________

being first duly sworn, deposes and states: That the undersigned

__________________________

(Insert “Sole Owner”, “General Partner”, “President”, “Secretary”, or other proper title)

is of _________________________________ (Name of firm / business entity)

Who submits herewith to City of Los Angeles the attached proposal/bid/submission of qualification:

Affiant deposes and states: That said proposal/bid/submission of qualification is genuine; that the same is not sham or collusive; that all statements of fact therein are true; that such proposal/bid/submission of qualification was not made in the interest or behalf of any person, partnership, company, association, organization or corporation not therein named or disclosed.

Affiant deposes and states: That the proposer has not directly or indirectly by agreement, communication or conference with anyone attempted to induce action prejudicial to the interests of the public body which is to award the contract, or of any other proposer, or anyone else interested in the proposed contract: that the proposer has not in any manner sought by collusion to secure for itself an advantage over any other proposer.

Affiant further deposes and states that prior to the public opening and reading of proposals/bids/submissions of qualifications the said proposer:

(a) Did not, directly or indirectly, induce or solicit anyone else to submit a false or sham proposal/bid/submission of qualification;

(b) Did not, directly or indirectly, collude, conspire, connive or agree with anyone else that said proposer or anyone else or fix the proposal/bid/submission of qualification price of said proposer or of anyone else, or to raise or fix any overhead, profit or cost element of its price or of that of anyone else;

(c) Did not, directly or indirectly, submit its proposal/bid/submission of qualification price or any breakdown thereof, or the contents thereof, or divulge information or data relative thereto, to any corporation, partnership, company, association, organization, proposal/bid/submission of qualification depository, or to any member or agent thereof, or to any individual or group of individuals, except to the awarding authority or to any person or persons who have a partnership or other financial interest with said proposer in its business.

I understand and agree that any falsification in the affidavit will be grounds for rejection of this proposal/bid/submission of qualification or cancellation of any contract awarded pursuant to this proposal/bid/submission of qualification.

I hereby certify or declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

STATE OF CALIFORNIA
COUNTY OF ____________________________

Subscribed and sworn to before me this ____________________________ day of ____________________________

________________________________________

(Signature)

________________________________________

(Month / Year)

________________________________________

(Title)

________________________________________

(Notary Public)

________________________________________

(Date)

PROPOSALS/BIDS/SUBMISSIONS OF QUALIFICATIONS WILL NOT BE CONSIDERED UNLESS THE AFFIDAVIT HEREON IS FULLY EXECUTED, INCLUDING THE CERTIFICATE OF THE NOTARY AND THE NOTARIAL SEAL
SUB SECTION II

Compliance Documents to be submitted by Selected Proposer
All Respondents receiving an award under this RFB must obtain a Business Tax Registration Certificate Number (BTRC) from the City of Los Angeles Department of Finance - Tax/Permit Division, unless exempt. Registration is renewable annually.

**INSTRUCTIONS:**

Complete the BTRC Number or Business Tax Exemption Number form, and submit it to the Board within the time frame specified in the RFB after receiving a Notice of Award. If an application is pending and no number has been received yet, a copy of the application must be attached. If the Respondent has an exemption, enter the exemption number and provide an explanation. This form is not required with the Response and need not be attached to the Response.

You may register Online as a new business in the City of Los Angeles, or renew your Business Tax Registration Certificate at: http://finance.lacity.org/online-taxpayer-services
BUSINESS TAX REGISTRATION CERTIFICATE NUMBER
OR BUSINESS TAX EXEMPTION NUMBER FORM

All persons who do business with or within the City of Los Angeles, must first file with the Department of Finance (Tax/Permit Division), and obtain from that office a Business Tax Registration Certificate account number (BBTRC) or Vendor Registration Number (VRN). Registration is renewable annually. For further information, contact the Tax and Permit Division located at 200 N. Spring St., Rm101, Los Angeles, CA 90012 (213) 473-5901

(Authority: Article 1, Chapter 2, Section 21.00 et seq. – LAMC)

Company Name:

Enter your current Business Tax Registration or Vendor Registration Number:

**Old format:**

<table>
<thead>
<tr>
<th>ACCOUNT NUMBER</th>
<th>FUND</th>
<th>CLASS</th>
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New Format:

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<tr>
<th>ACCOUNT NUMBER</th>
<th>FUND</th>
<th>CLASS</th>
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State effective dates here: to

If you have an application pending in the Department of Finance, and have not yet received your number, a copy of your application must be submitted with your proposal/bid/submission of qualification.

IF YOU HAVE RECEIVED AN EXEMPTION FORM THE Department of Finance, provide an explanation for the exemption and the exemption number.

Exemption Number:

<table>
<thead>
<tr>
<th>ACCOUNT NUMBER</th>
<th>FUND</th>
<th>CLASS</th>
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Explanation:
Evidence of sufficient insurance as specified on the 146 Insurance Requirements Form (see Section II Compliance Package) must be provided and approved prior to contract execution. The selected Contractor must instruct their insurance broker or agent to submit the appropriate proof of insurance to the City by accessing KwikComply at https://kwikcomply.org/. Additional instructions and information on complying with City insurance requirements can be found at: (http://cao.lacity.org/risk)

CITY OF LOS ANGELES

INSTRUCTIONS AND INFORMATION ON COMPLYING WITH CITY INSURANCE REQUIREMENTS

(Share this information with your insurance agent or broker)

1. Agreement/Reference All evidence of insurance should identify the nature of your business with the CITY. Clearly show any assigned number of a bid, contract, lease, permit, etc. or give the project name and the job site or street address to ensure that your submission will be properly credited. Provide the types of coverage and minimum dollar amounts specified on the Required Insurance and Minimum Limits sheet (Form Gen. 146) included in your CITY documents.

2. When to Submit Normally, no work may begin until a CITY insurance certificate approval number (“CA number”) has been obtained, so insurance documents should be submitted as early as practicable. For As-needed Contracts, insurance need not be submitted until a specific job has been awarded. Design Professionals coverage for new construction work may be submitted simultaneously with final plans and drawings, but before construction commences.

3. Acceptable Evidence and Approval Electronic submission is the required method of submitting your documents. KwikComply is the CITY’s online insurance compliance system and is designed to make the experience of submitting and retrieving insurance information quick and easy. The system is designed to be used by insurance brokers and agents as they submit client insurance certificates directly to the City. It uses the standard insurance industry form known as the ACORD 25 Certificate of Liability Insurance in electronic format. KwikComply advantages include standardized, universally accepted forms, paperless approval transactions (24 hours, 7 days per week), and security checks and balances. The easiest and quickest way to obtain approval of your insurance is to have your insurance broker or agent access KwikComply at https://kwikcomply.org/ and follow the instructions to register and submit the appropriate proof of insurance on your behalf.

Contractor must provide City a thirty (30) day notice of cancellation (ten (10) days for non-payment of premium) AND an Additional Insured Endorsement naming the CITY an additional insured completed by your insurance company or its designee. If the policy includes an automatic or blanket additional insured endorsement, the Certificate must state the CITY is an automatic or blanket additional insured. An endorsement naming the CITY an Additional Named
Insured and Loss Payee as Its Interests May Appear is required on property policies. All evidence of insurance must be authorized by a person with authority to bind coverage, whether that is the authorized agent/broker or insurance underwriter.

Additional Insured Endorsements DO NOT apply to the following:

- Indication of compliance with statute, such as Workers’ Compensation Law.
- Professional Liability insurance.

Verification of approved insurance and bonds may be obtained by checking KwikComply, the CITY’s online insurance compliance system, at https://kwikcomply.org/.

4. **Renewal** When an existing policy is renewed, have your insurance broker or agent submit a new Acord 25 Certificate or edit the existing Acord 25 Certificate through KwikComply at https://kwikcomply.org/.

5. **Alternative Programs/Self-Insurance** Risk financing mechanisms such as Risk Retention Groups, Risk Purchasing Groups, off-shore carriers, captive insurance programs and self-insurance programs are subject to separate approval after the CITY has reviewed the relevant audited financial statements. To initiate a review of your program, you should complete the applicant’s Declaration of Self Insurance form (http://cao.lacity.org/risk/InsuranceForms.htm) to the Office of the City Administrative Officer, Risk Management for consideration.

6. **General Liability** insurance covering your operations (and products, where applicable) is required whenever the CITY is at risk of third-party claims which may arise out of your work or your presence or special event on City premises. **Sexual Misconduct** coverage is a required coverage when the work performed involves minors. **Fire Legal Liability** is required for persons occupying a portion of CITY premises. Information on two CITY insurance programs, the SPARTA program, an optional source of low-cost insurance which meets the most minimum requirements, and the Special Events Liability Insurance Program, which provides liability coverage for short-term special events on CITY premises or streets, is available at (www.2sparta.com), or by calling (800) 420-0555.

7. **Automobile Liability** insurance is required only when vehicles are used in performing the work of your Contract or when they are driven off-road on CITY premises; it is not required for simple commuting unless CITY is paying mileage. However, compliance with California law requiring auto liability insurance is a contractual requirement.

8. **Errors and Omissions** coverage will be specified on a project-by-project basis if you are working as a licensed or other professional. The length of the claims discovery period required will vary with the circumstances of the individual job.

9. **Workers’ Compensation and Employer's Liability** insurance are not required for single-person contractors. However, under state law these coverages (or a copy of the state's Consent To Self Insure) must be provided if you have any employees at any time during the period of this contract. Contractors with no employees must complete a Request for Waiver of Workers’ Compensation Insurance Requirement (http://cao.lacity.org/risk/InsuranceForms.htm). A Waiver of Subrogation on the coverage is required only for jobs where your employees are working on CITY premises under hazardous conditions, e.g., uneven terrain, scaffolding, caustic chemicals, toxic materials, power tools, etc. The Waiver of Subrogation waives the insurer’s right to recover (from the CITY) any workers’ compensation paid to an injured employee of the contractor.

10. **Property** Insurance is required for persons having exclusive use of premises or equipment
owned or controlled by the CITY. **Builder’s Risk/Course of Construction** is required during construction projects and should include building materials in transit and stored at the project site.

11. **Surety** coverage may be required to guarantee performance of work and payment to vendors and suppliers. A **Crime Policy** may be required to handle CITY funds or securities, and under certain other conditions. **Specialty coverages** may be needed for certain operations. For assistance in obtaining the CITY required bid, performance and payment surety bonds, please see the City of Los Angeles Contractor Development and Bond Assistance Program website address at [http://cao.lacity.org/risk/BondAssistanceProgram.pdf](http://cao.lacity.org/risk/BondAssistanceProgram.pdf) or call (213) 258-3000 for more information.

12. **Cyber Liability & Privacy** coverage may be required to cover technology services or products for both liability and property losses that may result when a CITY contractor engages in various electronic activities, such as selling on the Internet or collecting data within its internal electronic network. Contractor's policies shall cover liability for a data breach in which the CITY employees’ and/or CITY customers' confidential or personal information, such as but not limited to, Social Security or credit card information are exposed or stolen by a hacker or other criminal who has gained access to the CITY’s or contractor’s electronic network. The policies shall cover a variety of expenses associated with data breaches, including: notification costs, credit monitoring, costs to defend claims by state regulators, fines and penalties, and loss resulting from identity theft. The policies are required to cover liability arising from website media content, as well as property exposures from: (a) business interruption, (b) data loss/destruction, (c) computer fraud, (d) funds transfer loss, and (e) cyber extortion.

**INSTRUCTIONS:**

Respondents shall comply with the City insurance requirements in Form Gen 146 (see separate exhibit attached to RFQ, RFB, RFP) and have all insurance documents submitted and approved prior to execution of the contract. The Respondent must also comply with any additional insurance requirements that may be set forth in the RFQ, RFB, RFP.
CERTIFICATE OF LIABILITY INSURANCE

PRODUCER

INSURED

INSURERS AFFORDING COVERAGE

NAIC #

COVERAGES

THE POLICIES OF INSURANCE LISTED BELOW HAVE BEEN ISSUED TO THE INSURED NAMED ABOVE FOR THE POLICY PERIOD INDICATED. NOTWITHSTANDING ANY REQUIREMENT, TERM OR CONDITION OF ANY CONTRACT OR OTHER DOCUMENT WITH RESPECT TO WHICH THIS CERTIFICATE MAY BE ISSUED OR MAY PERTAIN, THE INSURANCE AFFORDED BY THE POLICIES DESCRIBED HEREIN IS SUBJECT TO ALL THE TERMS, EXCLUSIONS AND CONDITIONS OF SUCH POLICIES. AGGREGATE LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.

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<th>TYPE OF INSURANCE</th>
<th>POLICY NUMBER</th>
<th>POLICY EFFECTIVE</th>
<th>POLICY EXPIRATION</th>
<th>LIMITS</th>
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<td>WORKERS' COMPENSATION AND EMPLOYERS' LIABILITY</td>
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DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES / EXCLUSIONS ADDED BY ENDORSEMENT / SPECIAL PROVISIONS
The City of Los Angeles is an additional insured by blanket endorsement.

CERTIFICATE HOLDER

City of Los Angeles
Office of the City Administrative Officer, Risk Management
200 North Main Street, Room 1240
Los Angeles, CA 90012

CANCELLATION

SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, THE ISSUING INSURER WILL endeavor to MAIL ______ DAYS WRITTEN NOTICE TO THE CERTIFICATE HOLDER NAMED TO THE LEFT, BUT FAILURE TO DO SO SHALL NOT IMPOSE ANY OBLIGATION OR LIABILITY OF ANY KIND UPON THE INSURER, ITS AGENTS OR REPRESENTATIVES.

AUTHORIZED REPRESENTATIVE

ACORD 25 (2001/08) © ACORD CORPORATION 1988
IMPORTANT

If the certificate holder is an ADDITIONAL INSURED, the policy(ies) must be endorsed. A statement on this certificate does not confer rights to the certificate holder in lieu of such endorsement(s).

If SUBROGATION IS WAIVED, subject to the terms and conditions of the policy, certain policies may require an endorsement. A statement on this certificate does not confer rights to the certificate holder in lieu of such endorsement(s).

DISCLAIMER

The Certificate of Insurance on the reverse side of this form does not constitute a contract between the issuing insurer(s), authorized representative or producer, and the certificate holder, nor does it affirmatively or negatively amend, extend or alter the coverage afforded by the policies listed thereon.
City of Los Angeles
Applicant’s Declaration of Self-Insurance

It is hereby RESOLVED that:

Name and Address of Organization:

which is a [ ] For-profit Corporation, [ ] Non-profit Corporation, [ ] General Partnership, [ ] Limited Partnership, [ ] Sole Proprietor
[ ] Other: ________________ has a formal program to self-insure ________________ exposure in the amount
(type of coverage) of $ __________ per occurrence, and $ __________ annual aggregate limit and agrees to the following terms and conditions:

1. To provide the City of Los Angeles (City) the same defense of suits and payment of claims as would be afforded by first dollar insurance with respect to its operations for which City has issued a permit, lease, contract, or other agreement (hereinafter Agreement).

2. During the term of the Agreement with City, to provide annually an audited financial statement that gives evidence of capacity to respond to claims within the self-insured retention listed above. Failure to provide such financial information may be grounds for disapproval of this self-insurance program and may cause suspension or termination of Agreement with City. (Most recent statement is attached.)

3. To notify the cognizant City Agency/Bureau immediately of any claim, judgement, settlement, award, verdict or change in financial standing which would substantially affect the protection that this self-insurance program provides and to provide City at least 30 days prior written notice of intent to discontinue this self-insurance program.

Name & Address of Applicant’s Legal Counsel: ____________________________

Name & Address of Applicant’s Claims Representative: ________________________

Declaration

The Undersigned hereby declares: that this resolution has been adopted in accordance with applicable law and any other governing documents, that this program is now in force and that the persons whose signatures appear hereon are authorized to act as stated in the Resolution.

The Undersigned herewith transmits this form, along with any other evidence of insurance which may be required, to City Administrative Officer, Risk Management, 200 North Main Street, Room 1240, City Hall East, Los Angeles, CA 90012, for approval prior to the start of the operation or tenancy.

Executed this ______ day of ___________, 20____, at ______ and ____________, (Place)

(Signature) and (Signature)

(Print name and title) and (Print name and title)

Telephone: ____________________________

Note: Two officers must sign for a corporation

City Agency/Bureau

Applicability: This self-insurance program applies to the following specific permit, lease, or agreement with the City:
A Performance Bond may be required once an as-needed project is awarded to Contractor. If it is determined that a performance bond is required, the awarded Contractor(s) will be required to maintain a minimum Performance Bond in an amount equal to or greater than the awarded bid dollar amount unless otherwise stated by the Contract Administrator. If a Performance Bond is required, it is requested that acceptable bond documents be submitted within ten (10) working days after notice of award of any as-needed contract. Bonds must be obtained from an insurance company with a Certificate of Authority from the California Insurance Commissioner authorizing the company to write surety insurance within the State of California.

**INSTRUCTIONS:**

If a performance bond is requested upon the notice of award of the contract, the Respondent shall have ten (10) days to submit proof of the performance bond. Refer to the RFB language for instructions on how to submit proof of the performance bond.
SECTION W

FORM W-9
REQUEST FOR TAXPAYER
IDENTIFICATION NUMBER (TIN) AND
CERTIFICATION

The Department requires Form W-9, “Request for Taxpayer Identification Number (TIN) and Certification,” from all entities doing business with the Department in order for the Department to conduct financial transactions with said entities, such as returning proposal/bid/submission of qualification deposits or processing payments.

INSTRUCTIONS:

All Respondents must submit Form W-9 upon notification of contract award. The name listed on Form W-9 must match the respondents’ legal business name as listed on the Responder’s Signature Declaration and Affidavit. The most recent Form W-9, along with instructions for completing the form can be found at https://www.irs.gov/pub/irs-pdf/fw9.pdf
SECTION X

LIVING WAGE ORDINANCE AND SERVICE CONTRACT WORKER RETENTION ORDINANCE ADDITIONAL FORMS

Unless approved for an exemption, contractors under contracts primarily for the furnishing of services to or for the City and that involve an expenditure in excess of Twenty-Five Thousand Dollars ($25,000.00) and a contract term of at least three (3) months, lessees and licensees of City property, and certain recipients of City financial assistance, shall comply with the provisions of the Los Angeles Administrative Code Section 10.37 et seq., Living Wage Ordinance and 10.36 et seq. Service Contractor Worker Retention Ordinance. Additional information may be found at the following websites:

https://bca.lacity.org/living-wages-ordinance-lwo

https://bca.lacity.org/service-contract-worker-retention-ordinance-scwro

INSTRUCTIONS:

If Respondent is not exempt from the Living Wage Ordinance, then upon Notice of Award, the Living Wage Ordinance Additional Forms must be completed and submitted as per the instructions on each form. For forms requiring submission to the Awarding Department, the forms are to be submitted to the Los Angeles Department of Recreation and Parks Board of Commissioners. These forms are not required with the Response and need not be attached to the Response.

Failure to submit forms on time will result in the contract being noncompliant, and no payments will be made until the forms are completed and submitted.
**LWO – SUBCONTRACTOR DECLARATION OF COMPLIANCE FORM**

REQUIRED DOCUMENTATION FOR ALL SUBCONTRACTS SUBJECT TO LWO

This form must be signed within **90 DAYS** of the execution of the subcontract and RETAINED by the PRIME CONTRACTOR.

<table>
<thead>
<tr>
<th>TO BE FILLED OUT BY THE PRIME CONTRACTOR:</th>
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<tbody>
<tr>
<td>1. Company Name: ________________________</td>
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<tr>
<td>2. Company Address: _____________________</td>
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<tr>
<td>3. Awarding Department: __________________</td>
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<tr>
<td>4. Project Name: ________________________</td>
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</table>

**IF A SUBCONTRACTOR FAILS TO COMPLETE AND SUBMIT THIS FORM TO PRIME CONTRACTOR ON THE CITY CONTRACT, THE PRIME CONTRACTOR MAY BE DEEMED TO BE IN VIOLATION OF THE LWO AND SOWRO FOR FAILING TO ENSURE ITS SUBCONTRACTOR’S COMPLIANCE WITH THE ORDINANCES. THIS MAY RESULT IN WITHHOLDING OF PAYMENTS DUE THE PRIME CONTRACTOR, OR TERMINATION OF THE PRIME CONTRACTOR’S AGREEMENT WITH THE CITY.**

THE PRIME CONTRACTOR MUST INFORM THEIR SUBCONTRACTORS OF THE FOLLOWING:

**THE LIVING WAGE ORDINANCE (LWO) REQUIRES:**

That a subcontractor (including a sublessee, a sublicensee, or a service contractor to a City financial assistance recipient) that works on or under the authority of an agreement subject to Living Wage Ordinance (LWO) must comply with all applicable provisions of the Ordinance unless specifically approved for an exemption.

**THE LIVING WAGE ORDINANCE (LWO) REQUIRES THAT SUBJECT EMPLOYERS PROVIDE TO EMPLOYEES:**

- As of July 1, 2016, a wage of at least $11.27 per hour with health benefits of $1.25 per hour, or $12.52 per hour without health benefits (to be adjusted annually on July 1) (Regulation #4);
- At least 12 compensated days off per year for sick leave, vacation or personal necessity at the employee’s request (pro-rated for part-time employees) (Regulation #4);
- At least 10 additional days off per year of uncompensated time off for sick leave (pro-rated for part-time employees) (Regulation #4); and
- Making less than $12.00 per hour information of their possible right to the federal Earned Income Tax Credit (EITC) and make available the forms required to secure advance EITC payments from the employer (Regulation #4).

**THE LIVING WAGE ORDINANCE (LWO) ALSO REQUIRES EMPLOYERS:**

- To permit access to work sites for authorized City representatives to review the operation, payroll and related documents, and to provide certified copies of the relevant records upon request by the City.
- Not to retaliate against any employee claiming non-compliance with the provisions of these Ordinances and to comply with federal law prohibiting retaliation for union organizing (Regulation #4). Refer to the LWO Rules and Regulations, available from the Department of Public Works, Bureau of Contract Administration, Office of Contract Compliance (OCC) website - http://bca.lacity.org, for details regarding the wage and benefit requirements of the Ordinance.

<table>
<thead>
<tr>
<th>TO BE FILLED OUT BY THE SUBCONTRACTOR:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Company Name: ______________________</td>
</tr>
<tr>
<td>2. Company Address: ____________________</td>
</tr>
<tr>
<td>3. Type of Service Provided by Subcontractor to Prime:</td>
</tr>
<tr>
<td>4. Amount of Subcontract: _____________</td>
</tr>
</tbody>
</table>

By signing this Declaration of Compliance, the subcontractor certifies that it will comply with all applicable provisions of the SCWRO, LWO, and their implementing Rules and Regulations, including any amendments or revisions to the Ordinances and Regulations.

- Print Name of Person Completing This Form: ______________________
- Signature of Person Completing This Form: ______________________
- Title: ______________________
- Phone #: ______________________
- Date: ______________________
THE LIVING WAGE ORDINANCE (LWO) ALSO REQUIRES EMPLOYERS:

- As of July 1, 2008, a wage of at least $10.00 per hour with health benefits of $1.25 per hour, or $11.25 per hour without health benefits (to be adjusted annually) (Regulation #4);
- At least 12 compensated days off per year for sick leave, vacation or personal necessity at the employee’s request (pro-rated for part-time employees) (Regulation #4); and
- At least 10 additional days off per year of uncompensated time off for personal or immediate illness only (pro-rated for part-time employees) (Regulation #4). Refer to the LWO Rules and Regulations, available from the Department of Public Works, Bureau of Contract Administration, Office of Contract Compliance (OCC) website, for details regarding the wage and benefit requirements of the Ordinance.
- Making less than $12.00 per hour information of their possible right to the federal Earned Income Tax Credit (EITC) and make available the forms required to secure advance EITC payments from the employer (Regulation #4).

THE LIVING WAGE ORDINANCE (LWO) ALSO REQUIRES EMPLOYERS:

- Not to retaliate against any employee claiming non-compliance with the provisions of these Ordinances and to comply with federal law prohibiting retaliation for union organizing (Regulation #4).

This form must be submitted to the AWARDING DEPARTMENT within 30 DAYS of contract execution. INCOMPLETE SUBMISSIONS WILL BE RETURNED.

1. Company Name:

2. STATE the number of employees working ON THIS CITY CONTRACT:

3. ATTACH a copy of your company’s 1st PAYROLL under THIS CITY CONTRACT.

4. INDICATE (highlight, underline) on the payroll which employees are working ON THIS CITY CONTRACT.

5. Do you provide health benefits (such as medical, dental, vision, mental health, and disability insurance) to your employees? Yes No If YES:
   5a. SUBMIT a copy of the most recent health benefit premium statement(s) showing which employees receive health benefits.
   5b. STATE how much, if any, employees pay for co-premiums: $

6. SUBMIT a copy of your company’s current PAID time off policy for the employees working on the City contract.

7. SUBMIT a copy of your company’s current UNPAID time off policy for the employees working on the City contract.

FAILURE TO COMPLY WITH THESE REQUIREMENTS WILL RESULT IN WITHHOLDING OF PAYMENTS BY THE CITY CONTROLLER, OR A RECOMMENDATION TO THE AWARDING AUTHORITY FOR CONTRACT TERMINATION. ALL INFORMATION SUBMITTED IS SUBJECT TO VERIFICATION, AND FALSE INFORMATION MAY RESULT IN CONTRACT TERMINATION.

I understand that the employee information provided herein is confidential and will be used by the City of Los Angeles, Office of Contract Compliance for the purpose of monitoring the Living Wage Ordinance.

Print Name of Person Completing This Form  Signature of Person Completing This Form

Title  Phone #  Date

AWARDING DEPARTMENT USE ONLY:

Dept:  Dept Contact:  Contact Phone:  Contract #:  

Form OCC/LW-6, Rev. 06/08
OFFICE OF CONTRACT COMPLIANCE, EEOE SECTION: (213) 847-2625
This form must be submitted to the AWARDING DEPARTMENT within 30 DAYS of contract execution. INCOMPLETE SUBMISSIONS WILL BE RETURNED.

SECTION I: CONTRACTOR INFORMATION

1) Company Name: ___________________________ Contact Person: ___________________________ Phone Number: ___________________________

2) Do you have subcontractors working on this City contract? □ Yes □ No
   If NO, This form is now complete – SIGN THE BOTTOM OF PAGE 2 AND SUBMIT TO THE AWARDING DEPARTMENT.
   If YES, a) STATE the number of your subcontractors ON THIS CITY CONTRACT: ___________
   b) Fill in PART A for EACH subcontractor in Section II, continue to Section III, IV & V (if applicable), AND SIGN Section V.

SECTION II: SUBCONTRACTOR INFORMATION

<table>
<thead>
<tr>
<th>PART A</th>
<th>PART B</th>
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<tbody>
<tr>
<td>CHECK OFF ONLY ONE BOX (I-VI) FOR EACH SUBCONTRACTOR (IF APPLICABLE) THEN CONTINUE ONTO SECTION III:</td>
<td></td>
</tr>
<tr>
<td>I</td>
<td>II</td>
</tr>
<tr>
<td>501 (c)(3)</td>
<td>One-Person Contractor</td>
</tr>
</tbody>
</table>

1. Subcontractor Name: ___________________________
2. Contact Person: ___________________________ Phone #: ___________________________
3. Address: ____________________________________________
4. Purpose of Subcontract: ___________________________
5. Amount of Subcontract: ___________________________
6. Term: Start Date _________ / _______ / _______ End Date _________ / _______ / _______
7. Does the subcontract exceed $25,000? □ Yes □ No
8. Is the length of the subcontract over three (3) months? □ Yes □ No

If you checked off YES for Questions 7 AND 8, this subcontract IS SUBJECT TO THE LWO. Continue onto Part B.

If you checked off NO for any questions 7 OR 8, this subcontract IS NOT SUBJECT TO THE LWO. Continue to fill in Part A for additional subs below.

1. Subcontractor Name: ___________________________
2. Contact Person: ___________________________ Phone #: ___________________________
3. Address: ____________________________________________
4. Purpose of Subcontract: ___________________________
5. Amount of Subcontract: ___________________________
6. Term: Start Date _________ / _______ / _______ End Date _________ / _______ / _______
7. Does the subcontract exceed $25,000? □ Yes □ No
8. Is the length of the subcontract over three (3) months? □ Yes □ No

If you checked off YES for Questions 7 AND 8, this subcontract IS SUBJECT TO THE LWO. Continue onto Part B.

If you checked off NO for any questions 7 OR 8, this subcontract is NOT SUBJECT TO THE LWO. Continue to fill in Part A for additional subs below.

1. Subcontractor Name: ___________________________
2. Contact Person: ___________________________ Phone #: ___________________________
3. Address: ____________________________________________
4. Purpose of Subcontract: ___________________________
5. Amount of Subcontract: ___________________________
6. Term: Start Date _________ / _______ / _______ End Date _________ / _______ / _______
7. Does the subcontract exceed $25,000? □ Yes □ No
8. Is the length of the subcontract over three (3) months? □ Yes □ No

If you checked off YES for Questions 7 AND 8, this subcontract IS SUBJECT TO THE LWO. Continue onto Part B.

If you checked off NO for any questions 7 OR 8, this subcontract is NOT SUBJECT TO THE LWO. Continue to fill in Part A for additional subs below.
### SECTION II: SUBCONTRACTOR INFORMATION (continued)

<table>
<thead>
<tr>
<th><strong>PART A</strong></th>
<th><strong>PART B</strong></th>
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</thead>
<tbody>
<tr>
<td></td>
<td>CHECK OFF ONLY ONE BOX (I-VI) FOR EACH SUBCONTRACTOR (IF APPLICABLE) THEN CONTINUE ONTO SECTION III:</td>
</tr>
<tr>
<td>1. SubcontractorName:</td>
<td></td>
</tr>
<tr>
<td>2. Contact Person:</td>
<td></td>
</tr>
<tr>
<td>3. Address:</td>
<td></td>
</tr>
<tr>
<td>4. Purpose of Subcontract:</td>
<td></td>
</tr>
<tr>
<td>5. Amount of Subcontract:</td>
<td></td>
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<tr>
<td>6. Term: Start Date</td>
<td></td>
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<tr>
<td></td>
<td>End Date</td>
</tr>
<tr>
<td>7. Does the subcontract exceed $25,000?</td>
<td>Yes [ ] No [ ]</td>
</tr>
<tr>
<td>8. Is the length of the subcontract over three (3) months?</td>
<td>Yes [ ] No [ ]</td>
</tr>
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</table>

If you checked off YES for Questions 7 AND 8, this subcontract **IS SUBJECT TO THE LWO.** Continue onto **Part B.**

If you checked off NO for any questions 7 OR 8, this subcontract is **NOT SUBJECT TO THE LWO.** Continue to fill in **PART A** for additional subs below.

### SECTION III: SUBCONTRACTS SUBJECT TO THE LWO (AND MAY BE ELIGIBLE FOR EXEMPTIONS)

1. If you checked off any boxes in **Part B,** your Subcontractor(s) is subject to the LWO, but may qualify for an LWO exemption. Review the exemptions below, and have your subcontractor fill out the form in the corresponding right-hand column. **Continue to Section V,** and submit this form and all supporting documentation to the Awarding Department for approval.

2. If you did NOT check any boxes in **Part B** or your subs DO NOT qualify for an exemption, **Continue to Section IV.**

#### SUPPORTING DOCUMENTATION REQUIRED

<table>
<thead>
<tr>
<th>EXEMPTION</th>
<th>SUPPORTING DOCUMENTATION REQUIRED</th>
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</thead>
<tbody>
<tr>
<td>One-person contractors, lessee, licensee 501(c)(3) non-profit organization</td>
<td>LW 13 – Departmental Exemption Form <a href="http://bca.lacity.org/index.cfm?nxt=ee&amp;nxt_body=div_occ_lwo_forms.cfm">http://bca.lacity.org/index.cfm?nxt=ee&amp;nxt_body=div_occ_lwo_forms.cfm</a></td>
</tr>
<tr>
<td>Occupational license required Collective bargaining agreement w/supersession language</td>
<td>LW 10 – OCC Exemption Form <a href="http://bca.lACITY.org/index.cfm?nxt=ee&amp;nxt_body=div_occ_lwo_forms.cfm">http://bca.lacity.org/index.cfm?nxt=ee&amp;nxt_body=div_occ_lwo_forms.cfm</a></td>
</tr>
<tr>
<td>Small Business</td>
<td>LW 26 – Small Business Exemption Form (English &amp; Spanish) <a href="http://bca.lACITY.org/index.cfm?nxt=ee&amp;nxt_body=div_occ_lwo_forms.cfm">http://bca.lacity.org/index.cfm?nxt=ee&amp;nxt_body=div_occ_lwo_forms.cfm</a></td>
</tr>
<tr>
<td>Governmental Entity</td>
<td>NONE REQUIRED.</td>
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</table>

#### SECTION IV: SUBCONTRACTORS SUBJECT TO THE LWO (AND NOT ELIGIBLE FOR EXEMPTIONS)

Please have EACH of your Subcontractors that ARE SUBJECT to the LWO fill out the three forms below. Submit LW-6 and LW-18 ONLY to the Awarding Department (and supporting documentation, where applicable) and RETAIN LW-5 in your office.

3. Subcontractor Declaration of Compliance Form (retain) [LW 5 - http://bca.lACITY.org/index.cfm?nxt=ee&nxt_body=div_occ_lwo_forms.cfm](http://bca.lACITY.org/index.cfm?nxt=ee&nxt_body=div_occ_lwo_forms.cfm)

#### SECTION V: SIGNATURE

I understand that the Subcontractor Information provided herein is confidential and will be used by the City of Los Angeles, Office of Contract Compliance for the purpose of monitoring the Living Wage Ordinance.

<table>
<thead>
<tr>
<th>Print Name of Person Completing This Form</th>
<th>Signature of Person Completing This Form</th>
</tr>
</thead>
<tbody>
<tr>
<td>Title</td>
<td>Phone #</td>
</tr>
</tbody>
</table>

**AWARDING DEPARTMENT USE ONLY:**

<table>
<thead>
<tr>
<th>Dept:</th>
<th>Dept Contact:</th>
<th>Contact Phone:</th>
<th>Contract #:</th>
</tr>
</thead>
</table>
ENDNOTES FOR LWO SUBCONTRACTOR INFORMATION FORM

1 **Non-Profit 501(c)(3) Organizations:** A corporation claiming exemption under Section 10.37.1(g) of the LWO as a corporation organized under Section 501(c)(3) of the United States Internal Revenue Code must provide the following additional documents in support of the application for exemption:
   
   (A) A copy of the most recent IRS letter indicating that the contractor has been recognized as a non-profit corporation organized under section 501(c)(3) of the United States Internal Revenue Code.
   
   (B) An application for non-coverage or exemption, including the non-profit salary certification on the form referred to in Appendix A. The salary certification must list the salary of the corporation’s chief executive officer (CEO), computed on an hourly basis, and the hourly wage rate of the lowest paid worker in the corporation. The salary of the CEO, when computed on an hourly basis, must be less than eight (8) times what the lowest paid worker is paid on an hourly basis. For purposes of this exemption, the “chief executive officer (CEO)” means the CEO of the 501(c)(3) corporation that entered into the agreement.

2 **One-Person Contractor:** A contractor may apply for exemption under Section 10.37.1(f) of the LWO if that contractor has no employees. The one-person contractor shall submit an application for non-coverage or exemption to the awarding authority on the form referred to in Appendix A with the appropriate one-person contractor certification. If, subsequent to the approval of the exemption application, the contractor hires any employees, the exemption is no longer valid. Any employee the contractor hires becomes covered by the LWO to the extent that the employee performs work on the City agreement. In such cases, the contractor shall notify the awarding authority of the change in circumstances and submit to the awarding authority all the necessary forms to comply with the LWO reporting requirements, including the employee and subcontractor information forms.

3 **Exemption by Collective Bargaining Agreement – LAAC 10.37.12:** An employer subject to provisions of the LWO may, by collective bargaining agreement (CBA), provide that the CBA, during its term, shall supersede the requirements of the LWO for those employees covered by the CBA. The provisions of the LWO should not be interpreted to require an employer to reduce the wages and benefits required by a collective bargaining agreement. All parties to the CBA must specifically waive in full or in part the benefits required by the LWO. An employer applying for this exemption shall submit a copy of the CBA. If the CBA does not specifically indicate that the LWO has been superseded, the employer shall submit written confirmation from the union representing the employees working on the agreement that the union and the employer have agreed to let the CBA supersede the LWO.

   (A) Provisional Exemption from LWO during negotiation of CBA: An employer subject to the LWO may apply for Provisional Exemption from the LWO if the employer can document that: (1) the union and the employer are currently engaged in negotiations regarding the terms of the CBA; and (2) the issue of allowing the CBA to supersede the LWO has been proposed as an issue to be addressed during the negotiations. If granted, Provisional Exemption status is valid until the end of the negotiation process, including, if applicable, impasse resolution proceedings. During the negotiation process, the employer shall provide, upon request from the OCC, status reports on the progress of negotiations. At the end of the negotiation process, the employer shall provide the OCC with a copy of the final CBA to verify whether the LWO has been superseded, and the effective dates of the CBA.

   (i) If the final CBA signed by the employer and the union supersedes the LWO, the employer shall be considered to be exempt from the LWO’s wage and benefits provisions for the time period covered by the effective dates of the superseding CBA. The employer remains subject to all applicable provisions of the LWO for the time period not covered by the superseding CBA. If the employer has not complied with the LWO requirements during the time period not covered by the superseding CBA, the employer shall be required to make retroactive corrections for any period of non-compliance, which may include making retroactive payments to affected employees for the relevant periods of non-compliance.

   (ii) If the final CBA signed by the employer and the union does not supersede the LWO, the employer shall be required to comply with all applicable LWO requirements, including the wage and benefits provisions. Compliance shall also be required retroactively to the date that the employer first became subject to the LWO. If necessary, the employer shall provide retroactive payments to affected employees for any time period during which the employer did not comply with the LWO.

4 **Occupational license - LAAC 10.37.1(f): Exemptions for Employees Requiring Occupational Licenses:** If an employer claims that the LWO does not apply to an employee pursuant to section 10.37.1(f) because an occupational license is required of the employee to perform the work, the employer shall submit to the awarding authority, along with the application for non-coverage or exemption, a list of the employees required to possess an occupational license, the type of occupational license required, and a copy of the occupational license itself. An exemption granted under this provision exempts only the employee who must possess an occupational license to perform work on the City agreement. If an occupational license is not required of an employee to perform the work, the employee remains covered by the LWO.

5 **Small Business Exemptions for Public Lessees and Licensees – LAAC 10.37.1(i):** A public lessee or licensee claiming exemption from the LWO under section 10.37.1(i) shall submit the small business application for exemption form referred to in
Appendix A along with supporting documentation to verify that it meets both of the following requirements:

The lessee’s or licensee’s gross revenues from all business(es) conducted on the City premises for the calendar year prior to the date of the application for exemption do not exceed the gross annual revenue amount set by the LWO in Section 10.37.1(i). That gross revenue amount shall be adjusted annually according to the requirements of the LWO. The gross revenue amount used in evaluating whether the lessee or licensee qualifies for this exemption shall be the gross revenue amount in effect at the time the OCC receives the application for exemption.

A public lessee or licensee beginning its first year of operation on a specific City property will have no records of gross annual revenue on the City property. Under such circumstances, the lessee or licensee may qualify for a small business exemption by submitting proof of its annual gross revenues for the last tax year prior to application no matter where the business was located, and by satisfying all other requirements pursuant to these regulations and the LWO.

A lessee or licensee beginning its first year of operation as a business will have no records of gross annual revenue. Under such circumstances, the lessee or licensee may qualify for a small business exemption by satisfying all other requirements pursuant to these regulations and the LWO.

(A) The lessee or licensee employs no more than seven (7) employees.

(i) For purposes of this exemption, a lessee or licensee shall be deemed to employ a worker if the worker is an employee of a company or entity that is owned or controlled by the lessee or licensee, regardless of where the company or entity is located; or if the worker is an employee of a company or entity that owns or controls the lessee or licensee, regardless of where the company or entity is located.

Whether the lessee or licensee meets the seven (7) employee limit provided for in Section 10.37.1(i) of the LWO shall be determined using the total number of workers employed by all companies or businesses which the lessee or licensee owns or controls, or which own or control the lessee or licensee. Control means that one company owns a controlling interest in another company.

(ii) If a business operated by the lessee or licensee is part of a chain of businesses, the total number of employees shall include all workers employed by the entire chain of businesses unless the business operated by the lessee or licensee is an independently owned and operated franchise.

(iii) A public lessee or licensee shall be deemed to employ no more than seven (7) employees if its entire workforce (inclusive of those employees falling within the guidelines stated in subsections (i) and (ii) immediately above) worked an average of no more than 1,214 hours per month for at least three-fourths of the time period that the revenue limitation provided for in section 10.37.1(i) is measured.

Until the OCC approves the application for exemption, the lessee or licensee shall be subject to the LWO and shall comply with its requirements. If the OCC approves the application, the lessee or licensee shall be exempt from the requirements of the LWO for a period of two years from the date of the approval. The exemption will expire two years from the date of approval, but may be renewable in two-year increments upon meeting the requirements.

6 Governmental Entities – LAAC 10.37.1(g): Agreements with governmental entities are exempt from the requirements of the LWO. If an agreement is exempt from the LWO because the contractor is a governmental entity, subcontractors performing work for the governmental entity on the agreement are also exempt.
LWO – OCC SMALL BUSINESS EXEMPTION APPLICATION
EXEMPTION THAT REQUIRES OCC APPROVAL

This application for exemption is for lessees and licensees only and must be submitted along with your proposal/bid/submission of qualification to the AWARDING DEPARTMENT. If approved, it will EXPIRE TWO (2) YEARS from the date of approval. This may be renewable in two (2) year increments upon meeting the requirements. INCOMPLETE SUBMISSIONS WILL BE RETURNED.

Los Angeles Administrative Code 10.37, the Living Wage Ordinance (LWO), presumes all City contractors (including service contractors, subcontractors, financial assistance recipients, lessees, licensees, sublessees and sublicensees) are subject to the LWO unless an exemption applies.

1. Company Name: Phone Number:
2. Company Address:
3. Are you a Subcontractor? Yes No If YES, state the name of your Prime Contractor:
4. STATE the total number of businesses you have (inside and outside the City of Los Angeles premises):
5. STATE the total number of businesses you have inside the City of Los Angeles premises only:

<table>
<thead>
<tr>
<th>SECTION I: BUSINESS INFORMATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>CHECK OFF ONE BOX IN PART A THAT BEST DESCRIBES YOUR BUSINESS AND ATTACH DOCUMENTATION LISTED IN PART B:</td>
</tr>
<tr>
<td>I am a lessee or licensee beginning my first year of operation as a business. None Required.</td>
</tr>
<tr>
<td>I have other businesses, but this is my first year of operation on City premises. My gross annual revenues for all of my businesses are less than $440,792 (as of July 1, 2008) for the 2007 calendar year. ATTACH 2007 IRS Tax Returns listing gross revenues for all of your business(es).</td>
</tr>
<tr>
<td>I have (a) business(es) on City premises, and my gross annual revenues from all my business(es) on City premises are less than $440,792 (as of July 1, 2007) for the 2008 calendar year. ATTACH 2007 IRS Tax Returns listing gross revenues for all of your business(es) ON CITY PREMISES.</td>
</tr>
<tr>
<td>If you DID NOT check off ANY boxes in PART A, your company IS NOT ELIGIBLE FOR AN EXEMPTION. If you checked off ANY boxes in PART A, continue to Section II.</td>
</tr>
</tbody>
</table>

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<thead>
<tr>
<th>SECTION II: EMPLOYEE INFORMATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>CHECK OFF ANY BOXES IN PART C THAT BEST DESCRIBE YOUR BUSINESS AND ATTACH DOCUMENTATION LISTED IN PART D:</td>
</tr>
<tr>
<td>I have LESS than Seven (7) employees in the entire company (inside AND outside the City of Los Angeles premises). My company’s workforce worked an average of no more than 1,214 hours per month for at least three-fourths of the calendar year. Submit a completed Employee Worksheet for Small Business Exemption (Form OCC/LW-26B). Information on the Employee Worksheet may subsequently require verification through payroll records. OR Payrolls for the nine (9) months you would like to have reviewed.</td>
</tr>
<tr>
<td>If you DID NOT check off ANY boxes in PART C, your company IS NOT ELIGIBLE FOR AN EXEMPTION. If you checked off ANY box in PART C, ATTACH supporting documentation, SIGN, AND SUBMIT EXEMPTION FORM.</td>
</tr>
</tbody>
</table>

By signing, the contractor certifies under penalty of perjury under the laws of the State of California that the information submitted in support of this application is true and correct to the best of the contractor’s knowledge.

Print Name of Person Completing This Form Signature of Person Completing This Form
Title Phone # Date

ANY APPROVAL OF THIS APPLICATION EXEMPTS ONLY THE LISTED CONTRACTOR FROM THE LWO DURING THE PERFORMANCE OF THIS CONTRACT. A SUBCONTRACTOR PERFORMING WORK ON THIS CONTRACT IS NOT EXEMPT UNLESS THE OFFICE OF CONTRACT COMPLIANCE HAS APPROVED A SEPARATE EXEMPTION FOR THE INDIVIDUAL SUBCONTRACTOR.

AWARDING DEPARTMENT USE ONLY:
Dept: Dept Contact: Contact Phone: Contract #:

OCC USE ONLY:
Approved/Not Approved – Reason: By OCC Analyst: Date:
This worksheet must be completed for **EACH** company or business for which you have a controlling interest, **whether or not it is on City premises**. You may **COPY THIS FORM as necessary for **EACH** company. Include the names of **ALL PERSONS** employed by **EACH** company, and the number of hours worked each month for the current year. **ATTACH this form(s) to LW-26A.**

1. **Company Name:**
2. **Company Address:**
3. **Enter # of Hours worked:**

<table>
<thead>
<tr>
<th>EMPLOYEE NAME</th>
<th>JAN</th>
<th>FEB</th>
<th>MAR</th>
<th>APR</th>
<th>MAY</th>
<th>JUN</th>
<th>JUL</th>
<th>AUG</th>
<th>SEP</th>
<th>OCT</th>
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4. **TOTAL HOURS**

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5. Check each box indicating which nine (9) months you would like be reviewed:

6a. **TOTAL HOURS for the nine (9) months selected in 5 above:** 5,800.00  
6b. **DIVIDE 6a by 9:** 644.444444  
6c. **Is 6b less than 1,214?**

7. **If 6c is NO, then this contract IS NOT ELIGIBLE FOR AN EXEMPTION.**  
   **If 6c is YES, SIGN and ATTACH this form to LW-26A.**

I certify under penalty of perjury that the information herein is true and correct to the best of my knowledge. I will provide further documentation and proof upon request. I understand that the submission of false information may lead to the revocation of any approved exemption.

**Print Name of Person Completing this Form**
**Signature of Person Completing this Form**

**Title**
**Phone #**
**Date**

**ANY APPROVAL OF THIS APPLICATION EXEMPTS ONLY THE LISTED CONTRACTOR FROM THE LWO DURING THE PERFORMANCE OF THIS CONTRACT. A SUBCONTRACTOR PERFORMING WORK ON THIS CONTRACT IS NOT EXEMPT UNLESS THE OFFICE OF CONTRACT COMPLIANCE HAS APPROVED A SEPARATE EXEMPTION FOR THE INDIVIDUAL SUBCONTRACTOR.**
Unless otherwise exempt, in accordance with the provisions of the DO/DBWCO, any contract awarded pursuant to this RFB will be subject to the DO/DBWCO, Section 10.41 of the Los Angeles Administrative Code.

Respondents seeking additional information regarding the requirements of the DO/DBWCO may visit the Bureau of Contract Administration’s web site at http://bca.lacity.org.

Disclosure of Border Wall Contracting Ordinance (DBWCO)
The DBWCO requires that City Contractors disclose all contracts, proposal/bid/ submission of qualification to provide goods or services for the design, construction, operation or maintenance of a federally funded wall, fence or other barrier along the border between the United States and Mexico. For more details, see the link below: https://bca.lacity.org/Disclosure-of-Border-Wall-Contracting-Ordinance

Slavery Disclosure Ordinance (SDO)
The SDO requires that City Contractors disclose whether their company had any participation, investments, or profits derived from slavery during the Slavery Era (prior to 1865). https://bca.lacity.org/slavery-disclosure-ordinance-sdo

INSTRUCTIONS:
The selected Respondent shall electronically sign and complete the Slavery/Border Wall Disclosure Ordinance Affidavit (one [1] page) available on the City of Los Angeles’ Business Assistance Virtual Network (BAVN) residing at www.labavn.org prior to the award of a City contract. If the respondent is exempt from this requirement, then the DO/DBWCO form shall be completed and submitted with the response.
CITY OF LOS ANGELES - DISCLOSURE ORDINANCES

This Affidavit must only be submitted once on LABAVN (www.labavn.org), but contractors are responsible for updating their Affidavit if changes occur to any information contained therein.

Questions regarding this Affidavit may be directed to the Department of Public Works, Bureau of Contract Administration, Office of Contract Compliance. Website: http://bca.lacity.org/index.cfm; Phone: (213) 647-2625; E-mail: bca.eoep@lacity.org.

AFFIDAVIT DISCLOSING SLAVERY ERA PARTICIPATION, INVESTMENTS OR PROFITS

1. I, [name] ____________________________ am authorized to bind contractually the Company identified below.

2. Information about the Company entering into a Contract with the City is as follows:

   [company id] [tax id]

   [RAVN Company Id] [ENTER]

   [company name]

   Company Name

   [company address] [city] [state] [zip]

   Street Address City State Zip

   [phone] [email]

   Phone Email

3. The company came into existence in [year] ______ ______ (year).

4. The Company has searched its records and those of any Predecessor Companies for information relating to Participation or Investments in, or Profits derived from Slavery or Slaveholder Insurance Policies. Based on that research, the Company represents that (mark only the option(s) that apply):

   The Company found no records that the Company or any of its Predecessor Companies had any Participation or Investments in, or derived Profits from, Slavery or Slaveholder Insurance Policies during the Slavery Era.

   The Company found records that the Company or its Predecessor Companies Participated in, or Invested in, or derived Profits from Slavery during the Slavery Era. A description of the nature of that Participation, Investment, or Profit is required and should be sent to bca.eoep@lacity.org.

   The Company found records that the Company or its Predecessor Companies bought, sold, or derived Profits from Slaveholder Insurance Policies during the Slavery Era. A list of names of any Enslaved Persons or Slaveholders under the Policies is required and should be sent to bca.eoep@lacity.org.

5. The Person/Company has searched its records for information relating and based on that research, the Person/Company represents that (mark only the option(s) that apply):

   The Person/Company found no records that the Company has participated in contracts, bids, or proposals to provide goods or services for the design, construction, operation, or maintenance of a federally funded wall, fence or other barrier, including prototypes of a wall, fence or other barrier along the border between the United States and Mexico on or after March 17, 2017.

   The Person/Company found records that the Company has participated in contracts, bids, or proposals to provide goods or services for the design, construction, operation, or maintenance of a federally funded wall, fence or other barrier, including prototypes of a wall, fence or other barrier along the border between the United States and Mexico on or after March 17, 2017. A description of the nature of that Participation is required and should be sent to bca.eoep@lacity.org.
TERMS OF ACCEPTANCE AND SIGNATURE:

I, [Name], the requestor for this "DO Affidavit", warrant the truthfulness of the information provided in the document.

Electronic Signature:  [Name]  [Date]

Signature  Date

I understand that checking this box constitutes a legal signature confirming that I acknowledge and agree to the above Terms of Acceptance.

Execution of document by E-signature. By checking on the check box it indicates an electronic signature. This is considered the legal equivalent of a manual or "wet" signature. Once signed electronically, this document is considered original and legally binding.

DEFINITIONS

Affidavit means the form developed by the DAA and may be updated from time to time. The Affidavit need not be notarized but must be signed under penalty of perjury.

Company means any person, firm, corporation, partnership or combination of these.

Contract means any agreement, franchise, lease or concession including an agreement for any occasional professional or technical personal services, the performance of any work or service, the provision of any materials or supplies or rendering of any service to the City of Los Angeles or the public, which is let, awarded or entered into with or on behalf of the City of Los Angeles or any acquiring authority of the City.

Enslaved Person means any person who was wholly subject to the will of another and whose person and services were wholly under the control of another and who was in a state of enforced compulsory service to another during the Slavery Era.

Investment means to make use of an Enslaved Person for future benefits or advantages. Participation means having been a Slaveholder during the Slavery Era.

Predecessor Company means an entity whose ownership, title and interest, including all rights, benefits, duties and liabilities were acquired in an uninterrupted chain of succession by the Company.

Profits means any economic advantage or financial benefits derived from the use of Enslaved Persons.

Slavery means the practice of owning Enslaved Persons.

Slavery Era means that period of time in the United States of America prior to 1865.

Slaveholder means holders of Enslaved Persons, owners of business or enterprises using Enslaved Persons, owners of vessels carrying Enslaved Persons or other means of transporting Enslaved Persons, merchants or financiers dealing in the purchase, sale or financing of the business of Enslaved Persons.

Slaveholder Insurance Policies means policies issued to or for the benefit of Slaveholders to insure them against the death of, or injury to, Enslaved Persons.

BAVN-DO (02/2019)
| **SECTION Z** |
| **EQUAL BENEFITS ORDINANCE COMPLIANCE AFFIDAVIT/ FIRST SOURCE HIRING ORDINANCE** |

**Equal Benefits Ordinance**
Bidders/Proposers are advised that any contract awarded pursuant to this procurement process shall be subject to the applicable provisions of Los Angeles Administrative Code Section 10.8.2.1, Equal Benefits Ordinance (EBO).

The selected Respondent shall electronically sign and complete the Equal Benefits Ordinance Affidavit (two (2) pages) available on the City of Los Angeles’ Business Assistance Virtual Network (BAVN) residing at www.labavn.org prior to award of a City contract valued at $5,000. The Equal Benefits Ordinance Affidavit shall be valid for a period of twelve months from the date it is first uploaded onto the City’s BAVN. Bidders/Proposers do not need to submit supporting documentation with their proposal/bid/submission of qualification. However, the City may request supporting documentation to verify that the benefits are provided equally as specified on the Equal Benefits Ordinance Affidavit.

Bidders/Proposers seeking additional information regarding the requirements of the Equal Benefits Ordinance may visit the Bureau of Contract Administration’s web site at http://bca.lacity.org.
**First Source Hiring Ordinance**

Unless approved for an exemption, contractors under contracts primarily for the furnishing of services to or for the City, the value of which exceeds Twenty-Five Thousand Dollars ($25,000.00) with a term of at least three (3) months, and certain recipients of City Loans or Grants, shall comply with the provisions of Los Angeles Administrative Code Sections 10.44 et seq., First Source Hiring Ordinance (FSHO). Bidders/Proposers shall refer to the "First Source Hiring Ordinance" for further information regarding the requirements of the Ordinance.

All Bidders/Proposers shall complete and upload the First Source Hiring Ordinance Affidavit (two [2] pages) available on the City of Los Angeles' Business Assistance Virtual Network (BAVN) at www.labavn.org prior to award of a City contract. The First Source Hiring Ordinance Affidavit shall be valid for a period of twelve months from the date it is first uploaded onto the City's BAVN.

Bidders/Proposers seeking additional information regarding the requirements of the First Source Hiring Ordinance may visit the Bureau of Contract Administration's web site at http://bca.lacity.org.

The Anticipated Job Opportunities Form (FSH0-1) shall only be required if there are anticipated job opportunities; this document is only required of the award proposer.

**INSTRUCTIONS:**

a. All proposers: Complete and upload the First Source Hiring Ordinance Affidavit at www.labavn.org.

b. Awarded proposer: Complete the Anticipated Job Opportunities Form (FSH0-1) ONLY if there are anticipated job opportunities.
EBO/FSHO COMPLIANCE

City of Los Angeles
Department of Public Works
Bureau of Contract Administration
Office of Contract Compliance
1149 S. Broadway, Suite 300, Los Angeles, CA 90015
Phone: (213) 847-2625 E-mail: bca.see@lacity.org

EQUAL BENEFITS ORDINANCE COMPLIANCE AFFIDAVIT

Prime contractors must certify compliance with Los Angeles Administrative Code (LACC) Section 10.8.2.1 et seq. prior to the execution of a City agreement subject to the Equal Benefits Ordinance (EBO).

SECTION 1. CONTACT INFORMATION

BAVN Company Id: 107855 EIN/TIN: 1234 N Main St
Company Name: J and Y Inc - ITA TEST COMPANY
Company Address: 1234 N Main St
City: Los Angeles State: AL Zip: 70012
Contact Person: Joe Doe Phone: 2135551888 E-mail: test@email.com
Approximate Number of Employees in the United States: 10
Approximate Number of Employees in the City of Los Angeles: 3

SECTION 2. EBO REQUIREMENTS

The EBO requires City Contractors who provide benefits to employees with spouses to provide the same benefits to employees with domestic partners. Domestic Partner means any two adults, of the same or different sex, who have registered as domestic partners with a governmental entity pursuant to state or local law authorizing this registration, or with an internal registry maintained by the employer of at least one of the domestic partners.

Unless otherwise exempt, the contractor is subject to and shall comply with the EBO as follows:

A. The Contractor’s operations located within the City limits, regardless of whether there are employees at those locations performing work on the City Contract; and
B. The Contractor’s operations located outside of the City limits if the property is owned by the City or the City has a right to occupy the property, and if the contractor’s presence at or on the property is connected to a Contract with the City and
C. The Contractor’s employees located elsewhere in the United States, but outside of the City Limits, if those employees are performing work on the City Contract.

A Contractor must post a copy of the following statement in conspicuous places at its place of business available to employees and applicants for employment:

“During the performance of a Contract with the City of Los Angeles, the Contractor will provide equal benefits to its employees, spouses and its employees with domestic partners.”

SECTION 3. COMPLIANCE OPTIONS

I have read and understand the provisions of the Equal Benefits Ordinance and have determined that this company will comply as indicated below:

☐ I have no employees.
☐ I provide no benefits.
☐ I provide benefits to employees only. Employees are prohibited from enrolling their spouse or domestic partner.
☐ I provide equal benefits as required by the City of Los Angeles EBO.
☐ I provide employees with a “Cash Equivalent.” Note: The “Cash Equivalent” is the amount of money equivalent to what your company pays for spousal benefits that are unavailable for domestic partners, or vice versa.
☐ All or some employees are covered by a collective bargaining agreement (CBA) or union trust fund. Consequently, I will provide Equal Benefits to all non-union represented employees, subject to the EBO, and will propose to the affected unions that they incorporate the requirements of the EBO into their CBA upon amendment, extension, or other modification of the CBA.
☐ Health benefits currently provided do not comply with the EBO. However, I will make the necessary changes to provide Equal Benefits upon my next Open Enrollment period which begins on (Date) ___________________.

Signature: ____________________________ Date: ____________________________
Our current company policies, i.e., family leave, bereavement leave, etc., do not comply with the provisions of the EBO. However, I will make the necessary modifications within three (3) months from the date of this affidavit.

FIRST SOURCE HIRING ORDINANCE COMPLIANCE AFFIDAVIT

Contractors (including loan or grant recipients) participating on a City contract that is subject to the First Source Hiring Ordinance (FSHO) are required to certify their compliance prior to contract execution.

As part of their obligations under the FSHO, Contractors must provide the Awarding Department a list of anticipated employment opportunities that they and their subcontractors expect to fill in order to perform the services under the contract. The FSHO-1 form (available at http://bca.lacity.org) should be utilized to inform the Awarding Authority of any such opportunities. If no opportunities are anticipated, contractors do not need to submit the FSHO-1 form prior to contract award, but must report any subsequent employment opportunities on the FSHO-3 form (available at http://bca.lacity.org) as described below.

During the term of the contract, the contractor and their subcontractors shall:

1. At least seven business days prior to making an announcement of a specific employment opportunity, provide notification of that employment opportunity to the Community Development Department.
2. Interview qualified individuals referred by the City's referral resources; and
3. Prior to filling any employment opportunity, inform the Office of Contract Compliance of the names of the referral sources used, the names of the individuals referred, and the names of the referred individuals who were interviewed. If the referred individuals were not hired, the contractor should also provide the reasons they were not hired.

DECLARATION UNDER PENALTY OF PERJURY

I understand that I am required to permit the City of Los Angeles access to and upon request, must provide certified copies of all company records pertaining to benefits, policies and practices for the purpose of investigation or to ascertain compliance. Furthermore, I understand that failure to comply may be deemed a material breach of any City contract by the Awarding Authority. The Awarding Authority may cancel, terminate or suspend in whole or in part, the contract, monies due or to become due under a contract may be retained by the City until compliance is achieved. The City may also pursue any and all other remedies at law or in equity for any breach. The City may use the failure to comply as evidence against the Contractor in actions taken pursuant to the provisions of the LAAC Section 10.40, et seq., Contractor Responsibility Ordinance.

TERMS OF ACCEPTANCE AND SIGNATURE:

I, Jon Doe, the requestor for this “EBO/FSHO Affidavit”, warrant the truthfulness of the information provided in the document.

Electronic Signature: Jon Doe

Signature

Date

I understand that checking this box constitutes a legal signature confirming that I acknowledge and agree to the above Terms of Acceptance.

Execution of document by E-signature. By clicking on the check box it indicates an electronic signature. This is considered the legal equivalent of a manual or “wet” signature. Once signed electronically, this document is considered original and legally binding.

BAVN-EBO/FSHO (05/2016)
STANDARD PROVISIONS FOR CITY CONTRACTS

Attachment III

Standard Provisions
# STANDARD PROVISIONS FOR CITY CONTRACTS

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STANDARD PROVISIONS FOR CITY CONTRACTS

PSC-1. Construction of Provisions and Titles Herein

All titles, subtitles, or headings in this Contract have been inserted for convenience, and shall not be deemed to affect the meaning or construction of any of the terms or provisions of this Contract. The language of this Contract shall be construed according to its fair meaning and not strictly for or against CITY or CONTRACTOR. The word "CONTRACTOR" includes the party or parties identified in this Contract. The singular shall include the plural and if there is more than one CONTRACTOR, unless expressly stated otherwise, their obligations and liabilities shall be joint and several. Use of the feminine, masculine, or neuter genders shall be deemed to include the genders not used.

PSC-2. Applicable Law, Interpretation and Enforcement

Each party's performance shall comply with all applicable laws of the United States of America, the State of California, and CITY, including but not limited to, laws regarding health and safety, labor and employment, wage and hours and licensing. This Contract shall be enforced and interpreted under the laws of the State of California without regard to conflict of law principles. CONTRACTOR shall comply with new, amended, or revised laws, regulations, or procedures that apply to the performance of this Contract with no additional compensation paid to CONTRACTOR.

In any action arising out of this Contract, CONTRACTOR consents to personal jurisdiction, and agrees to bring all such actions, exclusively in state or federal courts located in Los Angeles County, California.

If any part, term or provision of this Contract is held void, illegal, unenforceable, or in conflict with any federal, state or local law or regulation, the validity of the remaining parts, terms or provisions of this Contract shall not be affected.

PSC-3. Time of Effectiveness

Unless otherwise provided, this Contract shall take effect when all of the following events have occurred:

A. This Contract has been signed on behalf of CONTRACTOR by the person or persons authorized to bind CONTRACTOR;

B. This Contract has been approved by the City Council or by the board, officer or employee authorized to give such approval;

C. The Office of the City Attorney has indicated in writing its approval of this Contract as to form; and

D. This Contract has been signed on behalf of CITY by the person designated by the City Council, or by the board, officer or employee authorized to enter into this Contract.
PSC-4. Standard Provisions for City Contracts

This Contract sets forth all of the rights and duties of the parties with respect to the subject matter of this Contract, and replaces any and all previous Contracts or understandings, whether written or oral, relating thereto. This Contract may be amended only as provided for in the provisions of PSC-5 hereof.

PSC-5. Amendment

All amendments to this Contract shall be in writing and signed and approved pursuant to the provisions of PSC-3.

PSC-6. Excusable Delays

Neither party shall be liable for its delay or failure to perform any obligation under and in accordance with this Contract, if the delay or failure arises out of fires, floods, earthquakes, epidemics, quarantine restrictions, other natural occurrences, strikes, lockouts (other than a lockout by the party or any of the party’s Subcontractors), freight embargoes, terrorist acts, insurrections or other civil disturbances, or other similar events to those described above, but in each case the delay or failure to perform must be beyond the control and without any fault or negligence of the party delayed or failing to perform (these events are referred to in this provision as "Force Majeure Events").

Notwithstanding the foregoing, a delay or failure to perform by a Subcontractor of CONTRACTOR shall not constitute a Force Majeure Event, unless the delay or failure arises out of causes beyond the control of both CONTRACTOR and Subcontractor, and without any fault or negligence of either of them. In such case, CONTRACTOR shall not be liable for the delay or failure to perform, unless the goods or services to be furnished by the Subcontractor were obtainable from other sources in sufficient time to permit CONTRACTOR to perform timely. As used in this Contract, the term "Subcontractor" means a subcontractor at any tier.

In the event CONTRACTOR’S delay or failure to perform arises out of a Force Majeure Event, CONTRACTOR agrees to use commercially reasonable best efforts to obtain the goods or services from other sources, and to otherwise mitigate the damages and reduce the delay caused by the Force Majeure Event.

PSC-7. Waiver

A waiver of a default of any part, term or provision of this Contract shall not be construed as a waiver of any succeeding default or as a waiver of the part, term or provision itself. A party’s performance after the other party’s default shall not be construed as a waiver of that default.
PSC-8. Suspension

At CITY’S sole discretion, CITY may suspend any or all services provided under this Contract by providing CONTRACTOR with written notice of suspension. Upon receipt of the notice of suspension, CONTRACTOR shall immediately cease the services suspended and shall not incur any additional obligations, costs or expenses to CITY until CITY gives written notice to recommence the services.

PSC-9. Termination

A. Termination for Convenience

CITY may terminate this Contract for CITY’S convenience at any time by providing CONTRACTOR thirty days written notice. Upon receipt of the notice of termination, CONTRACTOR shall immediately take action not to incur any additional obligations, costs or expenses, except as may be necessary to terminate its activities. CITY shall pay CONTRACTOR its reasonable and allowable costs through the effective date of termination and those reasonable and necessary costs incurred by CONTRACTOR to effect the termination. Thereafter, CONTRACTOR shall have no further claims against CITY under this Contract. All finished and unfinished documents and materials procured for or produced under this Contract, including all intellectual property rights CITY is entitled to, shall become CITY property upon the date of the termination. CONTRACTOR agrees to execute any documents necessary for CITY to perfect, memorialize, or record CITY’S ownership of rights provided herein.

B. Termination for Breach of Contract

1. Except as provided in PSC-6, if CONTRACTOR fails to perform any of the provisions of this Contract or so fails to make progress as to endanger timely performance of this Contract, CITY may give CONTRACTOR written notice of the default. CITY’S default notice will indicate whether the default may be cured and the time period to cure the default to the sole satisfaction of CITY. Additionally, CITY’S default notice may offer CONTRACTOR an opportunity to provide CITY with a plan to cure the default, which shall be submitted to CITY within the time period allowed by CITY. At CITY’S sole discretion, CITY may accept or reject CONTRACTOR’S plan. If the default cannot be cured or if CONTRACTOR fails to cure within the period allowed by CITY, then CITY may terminate this Contract due to CONTRACTOR’S breach of this Contract.

2. If the default under this Contract is due to CONTRACTOR’S failure to maintain the insurance required under this Contract, CONTRACTOR shall immediately: (1) suspend performance of any services under this Contract for which insurance was required; and (2) notify its employees and Subcontractors of the loss of insurance coverage and Contractor’s obligation to suspend performance of
services. **CONTRACTOR** shall not recommence performance until **CONTRACTOR** is fully insured and in compliance with **CITY’S** requirements.

3. If a federal or state proceeding for relief of debtors is undertaken by or against **CONTRACTOR**, or if **CONTRACTOR** makes an assignment for the benefit of creditors, then **CITY** may immediately terminate this Contract.

4. If **CONTRACTOR** engages in any dishonest conduct related to the performance or administration of this Contract or violates **CITY’S** laws, regulations or policies relating to lobbying, then **CITY** may immediately terminate this Contract.

5. **Acts of Moral Turpitude**
   
a. **CONTRACTOR** shall immediately notify **CITY** if **CONTRACTOR** or any Key Person, as defined below, is charged with, indicted for, convicted of, pleads nolo contendere to, or forfeits bail or fails to appear in court for a hearing related to, any act which constitutes an offense involving moral turpitude under federal, state, or local laws (“Act of Moral Turpitude”).

b. If **CONTRACTOR** or a Key Person is convicted of, pleads nolo contendere to, or forfeits bail or fails to appear in court for a hearing related to, an Act of Moral Turpitude, **CITY** may immediately terminate this Contract.

c. If **CONTRACTOR** or a Key Person is charged with or indicted for an Act of Moral Turpitude, **CITY** may terminate this Contract after providing **CONTRACTOR** an opportunity to present evidence of **CONTRACTOR’S** ability to perform under the terms of this Contract.

d. Acts of Moral Turpitude include, but are not limited to: violent felonies as defined by Penal Code Section 667.5, crimes involving weapons, crimes resulting in serious bodily injury or death, serious felonies as defined by Penal Code Section 1192.7, and those crimes referenced in the Penal Code and articulated in California Public Resources Code Section 5164(a)(2); in addition to and including acts of murder, rape, sexual assault, robbery, kidnapping, human trafficking, pimping, voluntary manslaughter, aggravated assault, assault on a peace officer, mayhem, fraud, domestic abuse, elderly abuse, and child abuse, regardless of whether such acts are punishable by felony or misdemeanor conviction.
e. For the purposes of this provision, a Key Person is a principal, officer, or employee assigned to this Contract, or owner (directly or indirectly, through one or more intermediaries) of ten percent or more of the voting power or equity interests of CONTRACTOR.

6. In the event CITY terminates this Contract as provided in this section, CITY may procure, upon such terms and in the manner as CITY may deem appropriate, services similar in scope and level of effort to those so terminated, and CONTRACTOR shall be liable to CITY for all of its costs and damages, including, but not limited to, any excess costs for such services.

7. If, after notice of termination of this Contract under the provisions of this section, it is determined for any reason that CONTRACTOR was not in default under the provisions of this section, or that the default was excusable under the terms of this Contract, the rights and obligations of the parties shall be the same as if the notice of termination had been issued pursuant to PSC-9(A) Termination for Convenience.

8. The rights and remedies of CITY provided in this section shall not be exclusive and are in addition to any other rights and remedies provided by law or under this Contract.

C. In the event that this Contract is terminated, CONTRACTOR shall immediately notify all employees and Subcontractors, and shall notify in writing all other parties contracted with under the terms of this Contract within five working days of the termination.

PSC-10. Independent Contractor

CONTRACTOR is an independent contractor and not an agent or employee of CITY. CONTRACTOR shall not represent or otherwise hold out itself or any of its directors, officers, partners, employees, or agents to be an agent or employee of CITY.

PSC-11. Contractor’s Personnel

Unless otherwise approved by CITY, CONTRACTOR shall use its own employees to perform the services described in this Contract. CITY has the right to review and approve any personnel who are assigned to work under this Contract. CONTRACTOR shall remove personnel from performing work under this Contract if requested to do so by CITY.

CONTRACTOR shall not use Subcontractors to assist in performance of this Contract without the prior written approval of CITY. If CITY permits the use of Subcontractors, CONTRACTOR shall remain responsible for performing all aspects of this Contract and paying all Subcontractors. CITY has the right to approve CONTRACTOR’S Subcontractors, and CITY reserves the right to request replacement of any
Subcontractor. CITY does not have any obligation to pay CONTRACTOR’S Subcontractors, and nothing herein creates any privity of contract between CITY and any Subcontractor.

PSC-12. Assignment and Delegation

CONTRACTOR may not, unless it has first obtained the written permission of CITY:

  A. Assign or otherwise alienate any of its rights under this Contract, including the right to payment; or

  B. Delegate, subcontract, or otherwise transfer any of its duties under this Contract.

PSC-13. Permits

CONTRACTOR and its directors, officers, partners, agents, employees, and Subcontractors, shall obtain and maintain all licenses, permits, certifications and other documents necessary for CONTRACTOR’S performance of this Contract. CONTRACTOR shall immediately notify CITY of any suspension, termination, lapses, non-renewals, or restrictions of licenses, permits, certificates, or other documents that relate to CONTRACTOR’S performance of this Contract.

PSC-14. Claims for Labor and Materials

CONTRACTOR shall promptly pay when due all amounts owed for labor and materials furnished in the performance of this Contract so as to prevent any lien or other claim under any provision of law from arising against any CITY property (including reports, documents, and other tangible or intangible matter produced by CONTRACTOR hereunder), and shall pay all amounts due under the Unemployment Insurance Act or any other applicable law with respect to labor used to perform under this Contract.


For the duration of this Contract, CONTRACTOR shall maintain valid Business Tax Registration Certificate(s) as required by CITY’S Business Tax Ordinance, Section 21.00 et seq. of the Los Angeles Municipal Code (“LAMC”), and shall not allow the Certificate to lapse or be revoked or suspended.

PSC-16. Retention of Records, Audit and Reports

CONTRACTOR shall maintain all records, including records of financial transactions, pertaining to the performance of this Contract, in their original form or as otherwise approved by CITY. These records shall be retained for a period of no less than three years from the later of the following: (1) final payment made by CITY, (2) the expiration of this Contract or (3) termination of this Contract. The records will be subject to examination and audit by authorized CITY personnel or CITY’S representatives at any time. CONTRACTOR shall provide any reports requested by CITY regarding
performance of this Contract. Any subcontract entered into by CONTRACTOR for work to be performed under this Contract must include an identical provision.

In lieu of retaining the records for the term as prescribed in this provision, CONTRACTOR may, upon CITY'S written approval, submit the required information to CITY in an electronic format, e.g. USB flash drive, at the expiration or termination of this Contract.

**PSC-17. Bonds**

All bonds required by CITY shall be filed with the Office of the City Administrative Officer, Risk Management for its review and acceptance in accordance with Los Angeles Administrative Code (“LAAC”) Sections 11.47 et seq., as amended from time to time.

**PSC-18. Indemnification**

Except for the active negligence or willful misconduct of CITY, or any of its boards, officers, agents, employees, assigns and successors in interest, CONTRACTOR shall defend, indemnify and hold harmless CITY and any of its boards, officers, agents, employees, assigns, and successors in interest from and against all lawsuits and causes of action, claims, losses, demands and expenses, including, but not limited to, attorney's fees (both in house and outside counsel) and cost of litigation (including all actual litigation costs incurred by CITY, including but not limited to, costs of experts and consultants), damages or liability of any nature whatsoever, for death or injury to any person, including CONTRACTOR’S employees and agents, or damage or destruction of any property of either party hereto or of third parties, arising in any manner by reason of an act, error, or omission by CONTRACTOR, Subcontractors, or their boards, officers, agents, employees, assigns, and successors in interest. The rights and remedies of CITY provided in this section shall not be exclusive and are in addition to any other rights and remedies provided by law or under this Contract. This provision will survive expiration or termination of this Contract.

**PSC-19. Intellectual Property Indemnification**

CONTRACTOR, at its own expense, shall defend, indemnify, and hold harmless the CITY, and any of its boards, officers, agents, employees, assigns, and successors in interest from and against all lawsuits and causes of action, claims, losses, demands and expenses, including, but not limited to, attorney's fees (both in house and outside counsel) and cost of litigation (including all actual litigation costs incurred by CITY, including but not limited to, costs of experts and consultants), damages or liability of any nature arising out of the infringement, actual or alleged, direct or contributory, of any intellectual property rights, including, without limitation, patent, copyright, trademark, trade secret, right of publicity, and proprietary information: (1) on or in any design, medium, matter, article, process, method, application, equipment, device, instrumentation, software, hardware, or firmware used by CONTRACTOR, or its Subcontractors, in performing the work under this Contract; or (2) as a result of CITY’S actual or intended use of any Work Product (as defined in PSC-21) furnished by CONTRACTOR, or its Subcontractors, under this Contract. The rights and remedies of CITY provided in this section shall not be exclusive
and are in addition to any other rights and remedies provided by law or under this Contract. This provision will survive expiration or termination of this Contract.

PSC-20. Intellectual Property Warranty

CONTRACTOR represents and warrants that its performance of all obligations under this Contract does not infringe in any way, directly or contributorily, upon any third party’s intellectual property rights, including, without limitation, patent, copyright, trademark, trade secret, right of publicity and proprietary information.

PSC-21. Ownership and License

Unless otherwise provided for herein, all finished and unfinished works, tangible or not, created under this Contract including, without limitation, documents, materials, data, reports, manuals, specifications, artwork, drawings, sketches, blueprints, studies, memoranda, computation sheets, computer programs and databases, schematics, photographs, video and audiovisual recordings, sound recordings, marks, logos, graphic designs, notes, websites, domain names, inventions, processes, formulas, matters and combinations thereof, and all forms of intellectual property originated and prepared by CONTRACTOR or its Subcontractors under this Contract (each a “Work Product”; collectively “Work Products”) shall be and remain the exclusive property of CITY for its use in any manner CITY deems appropriate. CONTRACTOR hereby assigns to CITY all goodwill, copyright, trademark, patent, trade secret and all other intellectual property rights worldwide in any Work Products originated and prepared under this Contract. CONTRACTOR further agrees to execute any documents necessary for CITY to perfect, memorialize, or record CITY’S ownership of rights provided herein.

CONTRACTOR agrees that a monetary remedy for breach of this Contract may be inadequate, impracticable, or difficult to prove and that a breach may cause CITY irreparable harm. CITY may therefore enforce this requirement by seeking injunctive relief and specific performance, without any necessity of showing actual damage or irreparable harm. Seeking injunctive relief or specific performance does not preclude CITY from seeking or obtaining any other relief to which CITY may be entitled.

For all Work Products delivered to CITY that are not originated or prepared by CONTRACTOR or its Subcontractors under this Contract, CONTRACTOR shall secure a grant, at no cost to CITY, for a non-exclusive perpetual license to use such Work Products for any CITY purposes.

CONTRACTOR shall not provide or disclose any Work Product to any third party without prior written consent of CITY.

Any subcontract entered into by CONTRACTOR relating to this Contract shall include this provision to contractually bind its Subcontractors performing work under this Contract such that CITY’S ownership and license rights of all Work Products are preserved and protected as intended herein.
PSC-22. Data Protection

A. CONTRACTOR shall protect, using the most secure means and technology that is commercially available, CITY-provided data or consumer-provided data acquired in the course and scope of this Contract, including but not limited to customer lists and customer credit card or consumer data, (collectively, the “City Data”). CONTRACTOR shall notify CITY in writing as soon as reasonably feasible, and in any event within twenty-four hours, of CONTRACTOR’S discovery or reasonable belief of any unauthorized access of City Data (a “Data Breach”), or of any incident affecting, or potentially affecting City Data related to cyber security (a “Security Incident”), including, but not limited to, denial of service attack, and system outage, instability or degradation due to computer malware or virus. CONTRACTOR shall begin remediation immediately. CONTRACTOR shall provide daily updates, or more frequently if required by CITY, regarding findings and actions performed by CONTRACTOR until the Data Breach or Security Incident has been effectively resolved to CITY’S satisfaction. CONTRACTOR shall conduct an investigation of the Data Breach or Security Incident and shall share the report of the investigation with CITY. At CITY’S sole discretion, CITY and its authorized agents shall have the right to lead or participate in the investigation. CONTRACTOR shall cooperate fully with CITY, its agents and law enforcement.

B. If CITY is subject to liability for any Data Breach or Security Incident, then CONTRACTOR shall fully indemnify and hold harmless CITY and defend against any resulting actions.

PSC-23. Insurance

During the term of this Contract and without limiting CONTRACTOR’S obligation to indemnify, hold harmless and defend CITY, CONTRACTOR shall provide and maintain at its own expense a program of insurance having the coverages and limits not less than the required amounts and types as determined by the Office of the City Administrative Officer of Los Angeles, Risk Management (template Form General 146 in Exhibit 1 hereto). The insurance must: (1) conform to CITY’S requirements; (2) comply with the Insurance Contractual Requirements (Form General 133 in Exhibit 1 hereto); and (3) otherwise be in a form acceptable to the Office of the City Administrative Officer, Risk Management. CONTRACTOR shall comply with all Insurance Contractual Requirements shown on Exhibit 1 hereto. Exhibit 1 is hereby incorporated by reference and made a part of this Contract.

PSC-24. Best Terms

Throughout the term of this Contract, CONTRACTOR, shall offer CITY the best terms, prices, and discounts that are offered to any of CONTRACTOR’S customers for similar goods and services provided under this Contract.
PSC-25. Warranty and Responsibility of Contractor

CONTRACTOR warrants that the work performed hereunder shall be completed in a manner consistent with professional standards practiced among those firms within CONTRACTOR’S profession, doing the same or similar work under the same or similar circumstances.

PSC-26. Mandatory Provisions Pertaining to Non-Discrimination in Employment

Unless otherwise exempt, this Contract is subject to the applicable non-discrimination, equal benefits, equal employment practices, and affirmative action program provisions in LAAC Section 10.8 et seq., as amended from time to time.

A. CONTRACTOR shall comply with the applicable non-discrimination and affirmative action provisions of the laws of the United States of America, the State of California, and CITY. In performing this Contract, CONTRACTOR shall not discriminate in any of its hiring or employment practices against any employee or applicant for employment because of such person’s race, color, religion, national origin, ancestry, sex, sexual orientation, gender, gender identity, age, disability, domestic partner status, marital status or medical condition.

B. The requirements of Section 10.8.2.1 of the LAAC, the Equal Benefits Ordinance, and the provisions of Section 10.8.2.1(f) are incorporated and made a part of this Contract by reference.

C. The provisions of Section 10.8.3 of the LAAC are incorporated and made a part of this Contract by reference and will be known as the “Equal Employment Practices” provisions of this Contract.

D. The provisions of Section 10.8.4 of the LAAC are incorporated and made a part of this Contract by reference and will be known as the “Affirmative Action Program” provisions of this Contract.

Any subcontract entered into by CONTRACTOR for work to be performed under this Contract must include an identical provision.

PSC-27. Child Support Assignment Orders

CONTRACTOR shall comply with the Child Support Assignment Orders Ordinance, Section 10.10 of the LAAC, as amended from time to time. Pursuant to Section 10.10(b) of the LAAC, CONTRACTOR shall fully comply with all applicable State and Federal employment reporting requirements. Failure of CONTRACTOR to comply with all applicable reporting requirements or to implement lawfully served Wage and Earnings Assignment or Notices of Assignment, or the failure of any principal owner(s) of CONTRACTOR to comply with any Wage and Earnings Assignment or Notices of Assignment applicable to them personally, shall constitute a default by the CONTRACTOR under this Contract. Failure of CONTRACTOR or principal owner to cure
the default within 90 days of the notice of default will subject this Contract to termination for breach. Any subcontract entered into by CONTRACTOR for work to be performed under this Contract must include an identical provision.

PSC-28.  Living Wage Ordinance

CONTRACTOR shall comply with the Living Wage Ordinance, LAAC Section 10.37 et seq., as amended from time to time. CONTRACTOR further agrees that it shall comply with federal law proscribing retaliation for union organizing. Any subcontract entered into by CONTRACTOR for work to be performed under this Contract must include an identical provision.

PSC-29.  Service Contractor Worker Retention Ordinance

CONTRACTOR shall comply with the Service Contractor Worker Retention Ordinance, LAAC Section 10.36 et seq., as amended from time to time. Any subcontract entered into by CONTRACTOR for work to be performed under this Contract must include an identical provision.

PSC-30.  Access and Accommodations

CONTRACTOR represents and certifies that:


B.  CONTRACTOR shall not discriminate on the basis of disability or on the basis of a person's relationship to, or association with, a person who has a disability;

C.  CONTRACTOR shall provide reasonable accommodation upon request to ensure equal access to CITY-funded programs, services and activities;

D.  Construction will be performed in accordance with the Uniform Federal Accessibility Standards (UFAS), 24 C.F.R. Part 40; and

E.  The buildings and facilities used to provide services under this Contract are in compliance with the federal and state standards for accessibility as set forth in the 2010 ADA Standards, California Title 24, Chapter 11, or other applicable federal and state law.

CONTRACTOR understands that CITY is relying upon these certifications and representations as a condition to funding this Contract. Any subcontract entered into by CONTRACTOR for work to be performed under this Contract must include an identical provision.
PSC-31. Contractor Responsibility Ordinance

CONTRACTOR shall comply with the Contractor Responsibility Ordinance, LAAC Section 10.40 et seq., as amended from time to time.

PSC-32. Business Inclusion Program

Unless otherwise exempted prior to bid submission, CONTRACTOR shall comply with all aspects of the Business Inclusion Program as described in the Request for Proposal/Qualification process, throughout the duration of this Contract. CONTRACTOR shall utilize the Business Assistance Virtual Network (“BAVN”) at https://www.labavn.org/, to perform and document outreach to Minority, Women, and Other Business Enterprises. CONTRACTOR shall perform subcontractor outreach activities through BAVN. CONTRACTOR shall not change any of its designated Subcontractors or pledged specific items of work to be performed by these Subcontractors, nor shall CONTRACTOR reduce their level of effort, without prior written approval of CITY.

PSC-33. Slavery Disclosure Ordinance

CONTRACTOR shall comply with the Slavery Disclosure Ordinance, LAAC Section 10.41 et seq., as amended from time to time. Any subcontract entered into by CONTRACTOR for work to be performed under this Contract must include an identical provision.

PSC-34. First Source Hiring Ordinance

CONTRACTOR shall comply with the First Source Hiring Ordinance, LAAC Section 10.44 et seq., as amended from time to time. Any subcontract entered into by CONTRACTOR for work to be performed under this Contract must include an identical provision.

PSC-35. Local Business Preference Ordinance

CONTRACTOR shall comply with the Local Business Preference Ordinance, LAAC Section 10.47 et seq., as amended from time to time. Any subcontract entered into by CONTRACTOR for work to be performed under this Contract must include an identical provision.

PSC-36. Iran Contracting Act

In accordance with California Public Contract Code Sections 2200-2208, all contractors entering into, or renewing contracts with CITY for goods and services estimated at $1,000,000 or more are required to complete, sign, and submit the "Iran Contracting Act of 2010 Compliance Affidavit."

PSC-37. Restrictions on Campaign Contributions and Fundraising in City Elections

Unless otherwise exempt, if this Contract is valued at $100,000 or more and requires approval by an elected CITY office, CONTRACTOR, CONTRACTOR’S principals, and CONTRACTOR’S Subcontractors expected to receive at least $100,000 for performance under the Contract, and the principals of those Subcontractors (the “Restricted Persons”)
shall comply with Charter Section 470(c)(12) and LAMC Section 49.7.35. Failure to comply entitles CITY to terminate this Contract and to pursue all available legal remedies. Charter Section 470(c)(12) and LAMC Section 49.7.35 limit the ability of the Restricted Persons to make campaign contributions to and engage in fundraising for certain elected CITY officials or candidates for elected CITY office for twelve months after this Contract is signed. Additionally, a CONTRACTOR subject to Charter Section 470(c)(12) is required to comply with disclosure requirements by submitting a completed and signed Ethics Commission Form 55 and to amend the information in that form as specified by law. Any CONTRACTOR subject to Charter Section 470(c)(12) shall include the following notice in any contract with any Subcontractor expected to receive at least $100,000 for performance under this Contract:

"Notice Regarding Restrictions on Campaign Contributions and Fundraising in City Elections

You are a subcontractor on City of Los Angeles Contract #______________. Pursuant to the City of Los Angeles Charter Section 470(c)(12) and related ordinances, you and your principals are prohibited from making campaign contributions to and fundraising for certain elected City of Los Angeles ("CITY") officials and candidates for elected CITY office for twelve months after the CITY contract is signed. You are required to provide the names and contact information of your principals to the CONTRACTOR and to amend that information within ten business days if it changes during the twelve month time period. Failure to comply may result in termination of this Contract and any other available legal remedies. Information about the restrictions may be found online at ethics.lacity.org or by calling the Los Angeles City Ethics Commission at (213) 978-1960."

PSC-38. **Contractors’ Use of Criminal History for Consideration of Employment Applications**

CONTRACTOR shall comply with the City Contractors’ Use of Criminal History for Consideration of Employment Applications Ordinance, LAAC Section 10.48 et seq., as amended from time to time. Any subcontract entered into by CONTRACTOR for work to be performed under this Contract must include an identical provision.

PSC-39. **Limitation of City’s Obligation to Make Payment to Contractor**

Notwithstanding any other provision of this Contract, including any exhibits or attachments incorporated therein, and in order for CITY to comply with its governing legal requirements, CITY shall have no obligation to make any payments to CONTRACTOR unless CITY shall have first made an appropriation of funds equal to or in excess of its obligation to make any payments as provided in this Contract. CONTRACTOR agrees that any services provided by CONTRACTOR, purchases made by CONTRACTOR or expenses incurred by CONTRACTOR in excess of the appropriation(s) shall be free and without charge to CITY and CITY shall have no obligation to pay for the services, purchases or expenses. CONTRACTOR shall have no obligation to provide any services,
provide any equipment or incur any expenses in excess of the appropriated amount(s) until CITY appropriates additional funds for this Contract.

PSC-40.  Compliance with Identity Theft Laws and Payment Card Data Security Standards

CONTRACTOR shall comply with all identity theft laws including without limitation, laws related to: (1) payment devices; (2) credit and debit card fraud; and (3) the Fair and Accurate Credit Transactions Act ("FACTA"), including its requirement relating to the content of transaction receipts provided to Customers. CONTRACTOR also shall comply with all requirements related to maintaining compliance with Payment Card Industry Data Security Standards ("PCI DSS"). During the performance of any service to install, program or update payment devices equipped to conduct credit or debit card transactions, including PCI DSS services, CONTRACTOR shall verify proper truncation of receipts in compliance with FACTA.

PSC-41.  Compliance with California Public Resources Code Section 5164

California Public Resources Code Section 5164 prohibits a public agency from hiring a person for employment or as a volunteer to perform services at any park, playground, or community center used for recreational purposes in a position that has supervisory or disciplinary authority over any minor, if the person has been convicted of certain crimes as referenced in the Penal Code, and articulated in California Public Resources Code Section 5164(a)(2).

If applicable, CONTRACTOR shall comply with California Public Resources Code Section 5164, and shall additionally adhere to all rules and regulations that have been adopted or that may be adopted by CITY. CONTRACTOR is required to have all employees, volunteers and Subcontractors (including all employees and volunteers of any Subcontractor) of CONTRACTOR working on premises to pass a fingerprint and background check through the California Department of Justice at CONTRACTOR’S sole expense, indicating that such individuals have never been convicted of certain crimes as referenced in the Penal Code and articulated in California Public Resources Code Section 5164(a)(2), if the individual will have supervisory or disciplinary authority over any minor.

PSC-42.  Possessory Interests Tax

Rights granted to CONTRACTOR by CITY may create a possessory interest. CONTRACTOR agrees that any possessory interest created may be subject to California Revenue and Taxation Code Section 107.6 and a property tax may be levied on that possessory interest. If applicable, CONTRACTOR shall pay the property tax. CONTRACTOR acknowledges that the notice required under California Revenue and Taxation Code Section 107.6 has been provided.
PSC-43. Confidentiality

All documents, information and materials provided to CONTRACTOR by CITY or developed by CONTRACTOR pursuant to this Contract (collectively “Confidential Information”) are confidential. CONTRACTOR shall not provide or disclose any Confidential Information or their contents or any information therein, either orally or in writing, to any person or entity, except as authorized by CITY or as required by law. CONTRACTOR shall immediately notify CITY of any attempt by a third party to obtain access to any Confidential Information. This provision will survive expiration or termination of this Contract.
EXHIBIT 1

INSURANCE CONTRACTUAL REQUIREMENTS

CONTACT  For additional information about compliance with City Insurance and Bond requirements, contact the Office of the City Administrative Officer, Risk Management at (213) 978-RISK (7475) or go online at www.lacity.org/cao/risk. The City approved Bond Assistance Program is available for those contractors who are unable to obtain the City-required performance bonds. A City approved insurance program may be available as a low cost alternative for contractors who are unable to obtain City-required insurance.

CONTRACTUAL REQUIREMENTS

CONTRACTOR AGREES THAT:

1. **Additional Insured/Loss Payee.** The CITY must be included as an Additional Insured in applicable liability policies to cover the CITY’S liability arising out of the acts or omissions of the named insured. The CITY is to be named as an Additional Named Insured and a Loss Payee As Its Interests May Appear in property insurance in which the CITY has an interest, e.g., as a lien holder.

2. **Notice of Cancellation.** All required insurance will be maintained in full force for the duration of its business with the CITY. By ordinance, all required insurance must provide at least thirty (30) days’ prior written notice (ten (10) days for non-payment of premium) directly to the CITY if your insurance company elects to cancel or materially reduce coverage or limits prior to the policy expiration date, for any reason except impairment of an aggregate limit due to prior claims.

3. **Primary Coverage.** CONTRACTOR will provide coverage that is primary with respect to any insurance or self-insurance of the CITY. The CITY’S program shall be excess of this insurance and non-contributing.

4. **Modification of Coverage.** The CITY reserves the right at any time during the term of this Contract to change the amounts and types of insurance required hereunder by giving CONTRACTOR ninety (90) days’ advance written notice of such change. If such change should result in substantial additional cost to CONTRACTOR, the CITY agrees to negotiate additional compensation proportional to the increased benefit to the CITY.

5. **Failure to Procure Insurance.** All required insurance must be submitted and approved by the Office of the City Administrative Officer, Risk Management prior to the inception of any operations by CONTRACTOR.

CONTRACTOR’S failure to procure or maintain required insurance or a self-insurance program during the entire term of this Contract shall constitute a material breach of this Contract under which the CITY may immediately suspend or terminate this Contract or, at its discretion, procure or renew such insurance to protect the CITY’S interests and pay any and all premiums in connection therewith and recover all monies so paid from CONTRACTOR.

6. **Workers’ Compensation.** By signing this Contract, CONTRACTOR hereby certifies that it is aware of the provisions of Section 3700 et seq., of the California Labor Code which require every employer to be insured against liability for Workers’ Compensation or to undertake
self-insurance in accordance with the provisions of that Code, and that it will comply with such provisions at all time during the performance of the work pursuant to this Contract.

7. California Licensee. All insurance must be provided by an insurer admitted to do business in California or written through a California-licensed surplus lines broker or through an insurer otherwise acceptable to the CITY. Non-admitted coverage must contain a Service of Suit clause in which the underwriters agree to submit as necessary to the jurisdiction of a California court in the event of a coverage dispute. Service of process for this purpose must be allowed upon an agent in California designated by the insurer or upon the California Insurance Commissioner.

8. Aggregate Limits/Impairment. If any of the required insurance coverages contain annual aggregate limits, CONTRACTOR must give the CITY written notice of any pending claim or lawsuit which will materially diminish the aggregate within thirty (30) days of knowledge of same. You must take appropriate steps to restore the impaired aggregates or provide replacement insurance protection within thirty (30) days of knowledge of same. The CITY has the option to specify the minimum acceptable aggregate limit for each line of coverage required. No substantial reductions in scope of coverage which may affect the CITY’S protection are allowed without the CITY’S prior written consent.

9. Commencement of Work. For purposes of insurance coverage only, this Contract will be deemed to have been executed immediately upon any party hereto taking any steps that can be considered to be in furtherance of or towards performance of this Contract. The requirements in this Section supersede all other sections and provisions of this Contract, including, but not limited to, PSC-3, to the extent that any other section or provision conflicts with or impairs the provisions of this Section.
Amendment 1

The section “MINIMUM LICENSE / PROFESSIONAL REQUIREMENTS” of “Attachment I - Instructions to all Respondents.pdf” is hereby amended.

The following text shall be removed:

MINIMUM LICENSE / PROFESSIONAL REQUIREMENTS:

PHASE I ENVIRONMENTAL SITE ASSESSMENTS
In accordance with ASTM E 1527-13 parameters, to qualify for Phase I environmental site assessment services a responder must provide evidence of staff resources that qualify as an “Environmental Professional” who will maintain responsible charge of the relevant contract work as follows:

1. a current Professional Engineer’s or Professional Geologist’s license or registration from a state or U.S. territory with 3 years equivalent full-time experience in preparing Phase I ESAs; or
2. a Baccalaureate or higher degree from an accredited institution of higher education in a discipline of engineering or science and 5 years equivalent full-time experience in preparing Phase I ESAs; or
3. the equivalent of the last 10 years of full-time experience in preparing Phase I ESAs.

PHASE II ENVIRONMENTAL SITE INVESTIGATIONS
In accordance with ASTM E 1903-19 parameters, to qualify for Phase II site investigation services involving soil or groundwater sampling, boring logging, geologic mapping, well design, sampling and analysis plans for soil and ground water, and any other subsurface data collection and interpretation which constitute the practice of geology as defined in the Geologists and Geophysicist Act Section 7802, the responder must provide evidence of staff resources that qualify as a Professional Geologist or Professional Civil Engineer as follows:

1. a current Professional Civil Engineer’s or Professional Geologist’s license or registration from a state or U.S. territory with three (3) years equivalent full-time experience in preparing Phase II site investigations.

NOTE: A current license and/or registration number and expiration date is required. Relevant experience must be demonstrated by a list of publications prepared by the
qualifying individual for the qualifying period. At least one of these publications must be included in the qualifying documentation required in this RFQ. Additional documentation may be requested for verification purposes.

The removed text shall be replaced with the following:

**MINIMUM QUALIFICATIONS**

**Office Locations:** Respondents must have an established office(s) in Southern California (Los Angeles, Orange, Riverside, San Bernardino, San Diego and Ventura counties).

The qualifying Respondent must demonstrate knowledge and experience in the preparation of Transaction Screens in accordance with ASTM Standard E1528-14, Phase I Environmental Site Assessments for All Appropriate Inquiries in accordance with ASTM Standard E1527-13, Phase II Environmental Site Assessments in accordance with ASTM Standard E1903-19, and related standards. In addition, the qualifying Respondent must demonstrate knowledge and experience in site characterization and remedial investigations for developing site models and risk-based corrective actions at contaminated sites in accordance with ASTM Standard E1689-14 and E2081-15, and related standards.

**General Requirements. All Respondents MUST meet the following qualifications:**

1) Provide a brief (maximum of 3 pages) statement of the Company’s general background information related to conducting environmental site assessment services, including the number of years performing both Phase I and II site assessment work, and the organizational approach and other resources used in the performance of the proposed contract work.

Note: Responder background information is for informational purposes only.

2) Have an established office(s) within Southern California (Los Angeles, Orange, Riverside, San Bernardino, San Diego, and Ventura Counties). The response shall include the address of the office location(s) that will have the primary responsibility for providing client services and the name and phone number of the principal office manager(s).

3) Provide work experience history for the “Environmental Professional(s)” (pursuant to the 40 CFR §312.10(b)) that will be supervising, managing, and/or completing the environmental assessments and remediation planning.

4) Provide the work experience history and copy of the license of Responder’s Professional Geologist and/or Professional Engineer.

5) Representative Project List:
Only reference projects completed between January 1, 2013 to the present (December 31, 2020). Projects related to the acquisition of land for future park purposes completed by your Southern California office are preferred, but are not required to qualify. Receiving satisfactory feedback from project references will be the basis for qualification. Reference projects may include work performed as a subcontractor (under a prime, etc) for a government agency. However, please limit the number of projects where your company is not the prime contractor to four (4) of the total nine (9) projects requested below:

   a. List five (5) Phase I ESA projects. Include the following information for each: the title and a brief description of the project, the Table of Contents, the service date, and the client name, and contact reference. Assessments must have been one hundred percent (100%) completed by the Responder (no sub-consultants allowed).
   b. List two (2) Phase II ESA projects. Include the following information for each: the title and a brief description of the project, the Table of Contents, the service date, and the client name, and contact reference. The use of sub-consultants is acceptable.
   c. List two (2) Site Characterization and/or Remedial Investigation projects. Include the title and a brief description of the project, the Table of Contents, the service date, and the client name and contact reference. The use of sub-consultants is acceptable.

6) Required Project Documents:
Provide the following documents referenced from Representative Project Lists on CD. Please do not provide hard copies of reports. All documents should demonstrate the work was performed in accordance with the applicable ASTM Standard and completed to the satisfaction of the client. Documents related to the acquisition of land for future park purposes completed by your Southern California office are preferred, but are not required.

   a. Two (2) Phase I ESA reports
   b. One (1) Phase II ESA report
   c. One (1) Site Characterization or Remedial Investigation report.

All projects demonstrating qualifications must be submitted on the Project Qualification Submission Form in Attachment I and all information required on this form must be submitted complete. If any information is omitted, it may be deemed unqualified.

CERTIFICATION REQUIREMENT FOR ENVIRONMENTAL SITE ASSESSMENTS:

PHASE I ENVIRONMENTAL SITE ASSESSMENTS
In accordance with ASTM E 1527-13 parameters, to qualify for Phase I environmental site assessment services a responder must provide evidence of staff resources that qualify as an “Environmental Professional” who will maintain responsible charge of the relevant contract work as follows:
PHASE II ENVIRONMENTAL SITE INVESTIGATIONS
In accordance with ASTM E 1903-19 parameters, to qualify for Phase II site investigation services involving soil or groundwater sampling, boring logging, geologic mapping, well design, sampling and analysis plans for soil and groundwater, and any other subsurface data collection and interpretation which constitute the practice of geology as defined in the Geologists and Geophysicist Act Section 7802, the responder must provide evidence of staff resources that qualify as a Professional Geologist or Professional Civil Engineer as follows:

2. a current Professional Civil Engineer's or Professional Geologist's license or registration from a state or U.S. territory with three (3) years equivalent full-time experience in preparing Phase II site investigations.

NOTE: A current license and/or registration number and expiration date is required. Relevant experience must be demonstrated by a list of publications prepared by the qualifying individual for the qualifying period. At least one of these publications must be included in the qualifying documentation required in this RFQ. Additional documentation may be requested for verification purposes.
Amendment 2

Attachment I to the Environmental Site Assessment and Remediation RFQ is hereby amended.
At the bottom of the section entitled “MANDATORY PRE-QUALIFICATION MEETING:”, the following text is to be inserted:

A second remote **MANDATORY PRE-QUALIFICATION MEETING** is scheduled for Thursday, September 24, 2020 at 2:00 PM. If a firm was unable to log into the first mandatory meeting due to technical limitations, the firm may participate in the second meeting in order to meet the participation requirement for the **MANDATORY PRE-QUALIFICATION MEETING**.

If your firm participated in the first meeting held on Thursday, September 17, 2020 and your attendance was registered on the Sign-In Sheet that was uploaded to LA BAVN on September 18, 2020, your firm is not required to attend the second remote **MANDATORY PRE-QUALIFICATION MEETING** scheduled for Thursday, September 24, 2020 at 2:00 PM. Please verify whether your attendance has been recorded on the Sign-In Sheet.

It was stated by the Department during the first meeting that an individual is not to attend the second remote meeting if the individual attended the first remote meeting. What was intended to be conveyed was that an individual who attended the first remote meeting is not required to attend the second meeting if that person’s attendance was registered on the Sign-In Sheet that was uploaded to LA BAVN on September 18, 2020 indicating attendance at the first meeting. The second remote **MANDATORY PRE-QUALIFICATION MEETING** is a public meeting and anyone interested in this RFQ may attend this meeting.

The second meeting will cover the same information that was covered during the first meeting. In the event that any information that was not covered in the first meeting is brought up as a question and answered in the second meeting, the question and its provided answer will be posted to LA BAVN.

The second remote **MANDATORY PRE-QUALIFICATION MEETING** will be conducted on Google Meet. Attendees are expected to be familiar with joining a Google Meet meeting either by a web link or by telephone in advance of the meeting. The second remote **MANDATORY PRE-QUALIFICATION MEETING** is accessible either via the web link or phone number below:

Second Mandatory Meeting for Environmental Site Assessment and Remediation RFQ
Thursday, September 24 2:00 – 4:00pm

Join with Google Meet
meet.google.com/zvn-nwfr-ehb
Join by phone
(US) +1 631-600-3679 PIN: 802 670 996#
Amendment 3

In the RFQ, the unnumbered portion entitled “General Requirements” located in Section IV “MINIMUM QUALIFICATIONS” is hereby amended under Subsection 6, “Required Project Documents”.

The following text shall be removed:

Provide the following documents referenced from Representative Project Lists on CD. Please do not provide hard copies of reports.

The removed text shall be replaced with the following:

Provide the following documents referenced from Representative Project Lists via email pursuant to the email only submission requirements included in Attachment 1 to this RFQ. At this time, we are unable to either accept or receive any hard copy submissions of reports.
In “Attachment II – Service Compliance Package” of the RFQ, Section L is hereby amended.

The following text shall be removed:

Construction projects with the City of Los Angeles for which the consideration is Five Thousand Dollars ($5,000.00) or more shall comply with the provisions of Los Angeles Administrative Code Sections 10.8.4 and 10.8.13, herewith referred to as the Affirmative Action Program.

All Bidders/Proposers/Respondents shall complete and upload, the City of Los Angeles Affirmative Action Plan Affidavit (four [4] pages) prior to award of a City construction contract valued at Five Thousand Dollars ($5,000.00). Respondents are required to complete item #6 on page four (4) of the City of Los Angeles Affirmative Action Plan Affidavit.

The removed text shall be replaced with the following:

All construction contracts and non-construction contracts of $25,000 or more with the City of Los Angeles shall comply with the provisions of Los Angeles Administrative Code Sections 10.8.4 and 10.8.13, herewith referred to as the Affirmative Action Program. Effective July 1, 2016 the Non-Discrimination/Equal Employment Practices and Affirmative Action (ND/EEP and AA) provisions were amended to eliminate the need for contractors to complete affidavits on BAVN. By affixing its signature to a contract, the contractor agrees to adhere to the ND/EEP and AA for the duration of the contract. When a contractor signs the contract, they will also be acknowledging their responsibility to comply with both the ND/EEP and AA provisions.