

# **ADDENDUM NO. 2**

**April 21, 2021**

**REQUEST FOR QUALIFICATIONS**

**FOR**

**CENTRAL UTILITY PLANT CONTROLS UPGRADE  
PROJECT NO. 9505951**





The following changes, additions, or deletions shall be made to the following documents as indicated for this Project; and all other terms and conditions shall remain the same.

1. **REQUESTS FOR QUALIFICATIONS FOR CENTRAL UTILITY PLANT CONTROLS UPGRADE**

Remove the Requests for Qualifications for Central Utility Plant Controls Upgrade and **Replace** it with the one issued in this Addendum.

2. **REQUESTS FOR INFORMATION**

BID RFI No.	QUESTIONS / ANSWERS
1-1	<p><b>Question:</b> Under section 3.1.1.d (page 18), the cover letter wants the “Designated Healthcare/Medical Planner.” It appears this is likely from another RFQ, but please confirm.</p> <p><b>Answer:</b> See revised Attachment A revised in this Addendum.</p>
1-2	<p><b>Question:</b> Section 5.g.iv (SCADA/HMI Systems &amp; Software, page 9) – In a DBB format it would be atypical for the design engineer to provide programming, code and function blocks, as this would generally be submitted in a construction submittal from the contractor. We would anticipate providing a sequence of operations, control diagrams, specifications, points list, and potentially ladder logic as part of the design package. Please confirm that this is the intent for the design package.</p> <p><b>Answer:</b> During design it is not expected that NEW programming, code and function blocks would be necessary; however, we are not starting from scratch on this project. Existing programming, code and function blocks related to equipment that is to remain, such as the Boilers’ YS1700 loop controllers, need to be verified and documented. See Section 2.d. As such, the design documents need to be able to bridge this gap between new equipment and existing equipment to remain while meeting the intent of the scope of work. A complete English language narrative and/or flowcharted logic diagram should be developed to fully describe the existing Sequence of Operation with reference to specific existing data tag names from the Yokogawa database. This will preserve the existing sequence and provide a standard format for documenting and commissioning the new system, which will simplify reviews, coordination, programming, startup, and orientation of Plant operators.</p>
1-3	<p><b>Question:</b> Given our understanding of UCR’s frustration around local PLC contractor maintenance and support, it seems PLC may not be the best path forward for the central plant. Is the intent to upgrade to modern Yokogawa PLC or similar? Or is DDC for all but the boiler plant (and possibly that system as well) an option? Would matching the rest of the campus with a DDC-based system such as Alerton or similar system be an option?</p> <p><b>Answer:</b> The existing system is not PLC. It is a DCS (Distributed Control System) with redundant controllers, power supplies, and control communication networks for each node. The I/O modules are not redundant. The stand-by controllers, power supplies, and communication networks seamlessly take over control when a fault occurs within their respective area. The operator is informed by an alarm. This type of system provides for a highly-reliable operation which is used for critical plant operations such as ours. The system that is ultimately provided must need to be proven as an industrial, redundant and highly reliable, control system that must provide analog as well as digital control logic and sequences.</p>

<p><b>1-4</b></p>	<p><b>Question:</b> If the design team partners with a controls contractor for some of the verification of items like protocols and output types, does that preclude the contractor from bidding the construction phase of the project?</p> <p><b>Answer:</b> Yes.</p>
<p><b>1-5</b></p>	<p><b>Question:</b> On page 18/3.1.1, Section 3 for the Experience Submittal is shown as Project Understanding—which is the same as Section 4: Project Understanding. We believe should be Project Experience or something similar. Please confirm the title of this section.</p> <p><b>Answer:</b> See revised Attachment A revised in this Addendum.</p>
<p><b>1-6</b></p>	<p><b>Question:</b> Under 3.1.3.3, Project Understanding, it requires, “Work product examples demonstrating design responses and graphic abilities.” Can you clarify what UCR would like to see here?</p> <p><b>Answer:</b> Please provide examples of past project documents demonstrating graphics, schematics, illustrations, etc. that were used to present understanding of project expectations and design process.</p>

**END OF ADDENDUM**

# University of California, Riverside

## Request for Qualifications For Central Utility Plant Controls Upgrade

*Executive Engineering Services for Design Development, Construction Documents, Cost Estimating, Bidding, and Construction Phases*

*Addendum 2, April 21, 2021*

Project Number: 950591

~~Monday, March 22, 2021~~

~~April 6, 2021~~

**April 21, 2021**

Advertisement Date: **Monday, March 22, 2021 – Monday, April 5, 2021**

Document Issue Date: **Monday, March 22, 2021**

Notice of Intent Due by: ~~Wednesday, March 31, 2021, 8:00 AM~~

**Tuesday, April 13, 2021, 8:00 AM**

Last day for Questions: ~~Wednesday, March 31, 2021, 2:00 PM~~

**Tuesday, April 20, 2021, 2:00 PM**

RFQ Submittal Due by: ~~Wednesday, April 7, 2020, 2:00 PM~~

**Tuesday, April 27, 2021, 2:00 PM**

## TABLE OF CONTENTS

- I. ADVERTISEMENT FOR EXECUTIVE ENGINEERING SERVICES FOR DESIGN DEVELOPMENT, CONSTRUCTION DOCUMENTS, COST ESTIMATING, BIDDING, AND CONSTRUCTION PHASES
  
- II. PROJECT INFORMATION AND REQUIREMENTS
  - A. BACKGROUND & DESCRIPTION
  - B. PROJECT EXPERIENCE
  - C. SCOPE OF SERVICES
  - D. SCHEDULE
  - E. CONTRACT REQUIREMENTS
  - F. SCHEDULE FOR SCREENING AND SELECTION OF CONSULTANTS, INTERVIEWS
  - G. NEGOTIATION AND AWARD OF CONTRACT

## ATTACHMENTS (Appropriate attachments may be recopied as necessary for submittal)

Attachment	A	RFQ QUESTIONNAIRE & SUBMITTAL FORM
Attachment	B	RFQ EVALUATION FORM (For University Use)
Attachment	C	EXECUTIVE DESIGN PROFESSIONAL AGREEMENT SAMPLE

**I. ADVERTISEMENT FOR EXECUTIVE ENGINEERING SERVICES FOR DESIGN DEVELOPMENT, CONSTRUCTION DOCUMENTS, COST ESTIMATING, BIDDING, AND CONSTRUCTION PHASES SERVICES**

The University of California, Riverside (UCR) is initiating an agreement for Design Professional Services to complete the upgrade of UCR's central utility plant controls which provide the heating and cooling services to all buildings on campus. UCR will enter into a full service contract for Executive Design Professional Services for Design Development, Construction Documents, Cost Estimation, Bidding, and Construction Phases for the Central Utility Plant Upgrade Project, and therefore invites qualified Engineering Consultants with relevant experience to submit written statements of qualifications.

- Services will be provided under the University's Executive Design Professional Agreement (EDPA)
- A Design-Bid-Build (DBB) project delivery method will be utilized

The selected firm is to work with the University on modifications to the scope, schedule, or deliverables which may result in amendments to the EDPA for completing the work associated with this RFQ.

The complete RFQ packet will be available (in electronic format only) beginning **Monday, March 22, 2021, at 2:00 PM**. To receive a copy of the RFQ Documents, **email** the RFQ Administrator listed below:

RFQ Administrator:

**Kara Longtin**

UCR Contracts Administration

Email: [kara.longtin@ucr.edu](mailto:kara.longtin@ucr.edu)

Entities wishing to submit Qualification Documents for this project, should confirm their intent to do so, by emailing a written statement (Notice of Intent statement) to the RFQ Administrator by **8:00 AM on Wednesday, March 31, 2021 ~~Tuesday, April 13, 2021.~~**

Every effort will be made to ensure that all persons, regardless of race, religion, sex, color, ethnicity and national origin have equal access to contracts and other business opportunities with the University. Each candidate firm will be required to show evidence of its equal employment opportunity policy.

The University reserves the right to reject any or all responses to this RFQ and to waive non-material irregularities in any response received.

All information submitted for evaluation will be considered official information acquired in confidence, and the University will maintain its confidentiality to the extent permitted by law.

## II. PROJECT INFORMATION AND REQUIREMENTS

### A. BACKGROUND & DESCRIPTION

The University proposes to upgrade their existing central utility plant control system. The existing system utilizes Yokogawa controls running on Centum CS 3000 software. There are currently four (4) main PC workstations – three (3) in the Central Utility Plant and one (1) in the Satellite Plant. All workstation PC's operate on Windows XP and communicate with seven (7) controllers, called Field Control Stations (FCS), through Yokogawa VNET cards on a redundant (two (2) lines) coaxial network. The workstations are past their useful life, no longer supported, and require full replacement. Fiber optic runs from the Satellite Plant and TES-1 Pumphouse FCS's to the Central Utility Plant terminating at the fiber optic converters located in the Boiler control room. A Yokogawa MW data acquisition unit is located at the TES-1 tank room and used to monitor the tank temperatures and control tank level makeup. The Modbus data from the MW is transmitted to FCS 0101 in the TES-1 Pumphouse via 900 MHz radios.

One field control station, FCS 0105, has two additional slave nodes. All FCS's and slave nodes are past their useful life, no longer supported, and require full replacement. Existing controllers downstream from FCS's are not planned to be replaced at this time.

FCS 0106-0108 are associated with the Steam Boiler system and located in the Boiler panels. Steam boiler logic resides in the fairly recently upgraded YS1700 programmable controllers, which are to remain. They are also connected to the FCS 0108 controller in Boiler #4 control panel, via RS485 communication cable, similar to all the other YS1700 controllers.

The FCS controllers are only a means to communicate with the YS1700s - they don't provide any control, only local alarming. The new control system may be able to do this with a node instead of a controller. The existing FCS controllers to be replaced have native drivers that talk with the YS1700 controllers; therefore, new controllers without this capability must have points re-pathed and logic re-written for continued operation of the Steam Boiler system.

In addition to existing workstation, software, and field control station upgrades, infrastructure for integration of a new master plant control system will be required, including servers, databases, and SCADA systems/software. Existing coaxial communication lines must be upgraded to ethernet per UCR standards, including removing existing ethernet to VNET converters and installing new fiber to ethernet converters, conduit or cable tray, switches, and all other ancillaries.

The existing central plant has multiple electrical sub-meters on select equipment throughout the plant. Additional electrical sub-meters are required at both the central plant and campus substation ("University Substation"). New communications cable, conduit, etc. must be provided to integrate all existing electrical sub-meters with new sub-meters. The existing central plant chilled water and steam systems are mostly manually operated and do not have alarm/notification capabilities, nor any optimization controls. Valves, actuators, sensors, meters, etc. will be required in order to implement automatic and/or advanced control algorithms and provide system alarms/notifications.



It is important that the integrity of the core operations provided by the Central/Satellite Plant chillers and Steam boilers is maintained to prevent unplanned downtime. System optimization, preventative maintenance through machine learning, or any other advanced controls to be implemented must not impede the ability to operate. The Central Plant and all of its operations, processes and activities must remain operational and fully functional during the transition and upgrade of systems. Close coordination and communication with Central Plant personnel is required.

During phases of replacement of controls, temporary provisions must be made to enable operators to seamlessly perform daily adjustment of control valves during morning and evening changeovers of the thermal storage system. This operation is absolutely critical to support campus research. Operators must have full control on a daily basis without fail.

The primary benefits of the Central Plant Utility Controls Upgrade project are as follows:

1. Provide new controls to help monitor and control any new and existing Central Plant equipment and components.
2. Installation of automated components and operations that will relieve pressure on the existing facilities and personnel.
3. Provide energy efficient control system that responds to changing technological and functional requirements while lowering energy related operating costs.
4. Provide control system that is expandable to meet future campus demand and expansion.
5. Remote accessibility that allows operators to collect real time data of all system components at any given point of time and place while also allowing them to make modifications to the system as needed.

#### **B. EXPERIENCE REQUIREMENTS**

The selected Design Team shall;

1. Possess experience with thermal storage chiller and boiler plants in educational/institutional settings within an existing occupied building and be able to demonstrate their ability to reduce impacts to the occupants and minimize disruption to on-going operations.
2. Be able to demonstrate knowledge and experience of successfully implementing new control systems while clearly documenting any phasing in the Construction Documents required for shutdowns, cutovers, and/or any other temporary utilities or modifications of utilities as required to minimize disruption to on-going operations.
3. Have experience working with educational/institutional project team to assess existing system and issues.

#### **C. SCOPE OF SERVICES**

1. Full Engineering Services in accordance with the terms of the EDPA as required for Design Development Phase, Construction Documents Phase, Cost Estimation, Bidding Phase, and Construction Phase through and including the 11<sup>th</sup> month Warranty walk.
2. The successful Design Team will work with the University in designing the new Central Utility Plant Controls that will integrate with the existing system components while maintaining a fully functional system that will meet the present and future needs of the University.
3. Provide support in identifying and estimating cost of alternates and construction feasibility dependent on budget.

4. Cost estimate of probable construction costs for each of the projects components at various levels of development (IE; Design Development and Completion of Construction Documents).
5. The proposed infrastructure system upgrade will enhance outdated infrastructure, provide new systems and components for automated processes, and enhance outmoded infrastructure.
  - a. Upgrade Software and PC's for the operators / operator controlroom
    - i. Upgrade central plant supervisor and operator computer workstations, including new software, in both the central plant and satellite plant.
    - ii. Integrate select data with new master plant control system utilizing existing sensors and meters along with any new additional sensors/meters required for system functionality.
    - iii. Provide operators with separate digital wall display (large smart-tv screen) for critical central plant information and future expansion of campus information, data analytics, and fault detection. Minimum display size to be specified at 50-inch.
    - iv. Operators computer workstations must include an upgraded quad-monitor set-up for efficient monitoring and operation of SCADA system and plant controls. Supervisor computer workstations must include an upgraded dual-monitor set-up Minimum screen size to be specified at 27-inch monitor displays.
  - b. Central Plant Equipment, Devices & Controllers
    - i. Replace seven (7) field control station controllers and two (2) node controllers (FCS105 only).
    - ii. Retrofit existing controller cabinets/panels to include new terminal blocks, raceways, and connections including space to support future expansion of I/O.
    - iii. All existing wiring (low voltage, I/O, communication cables, etc.), and any new wiring, must be color-coded and labeled accordingly.
    - iv. Inventory of existing controls including associated sensors, meters, and devices must be field verified and documented. Existing Yokogawa control system documentation is available which will provide a framework prior to beginning this work.
      1. Documentation must include verification of proper operation of all existing control devices (sensors, meters, automatic valves, etc.). This is required in order to validate both pre- and post-functionality and avoid confusion during troubleshooting upon system switch-over.
      2. Documentation must include verification of outputs and protocols (4-20mA, 0-10V, Modbus TCP/IP, BACnet, etc).
    - v. Integration of new, upgraded devices/instrumentation to database, SCADA based on their protocols
  - c. Network Communications
    - i. New network communication design must include full system redundancy.
    - ii. Network communications between equipment, devices, network switches, servers and the operator/supervisor control rooms must be upgraded in accordance with current campus standards to accommodate all existing

- systems including new control device bandwidth.
- iii. All network wiring (e.g. fiber optics, ethernet, coaxial, etc.) to be replaced with new, color-coded wiring and labeled accordingly.
  - iv. New control system must include remote monitoring capabilities with the ability to make system changes.
  - v. Network “nodes” consisting of new network switches to be strategically located within the central plant (or surrounding area) and designed in order to support the connectivity between new/upgraded devices, meters, controllers, workstations, servers, central plant equipment and future data points. Must be able to support future expansion and support real-time, mission-critical data.
- d. Sensors, Metering and Instrumentation
- i. Provide additional sensors, meters, and instrumentation to supplement existing system in order to ensure both proper operation of the new control system including, but not limited to, alarms/notifications, optimization control strategies, etc. and increase plant operator efficiency, monitoring, reporting and safety.
  - ii. Electrical Sub-Metering (meters to be selected per campus standards):
    - 1. Provide eight (8) new electrical sub-meters within the campus substation (“University Substation”) to monitor each of the eight campus feeders. Electrical sub-metering data must be integrated into the central plant control system.
    - 2. Provide five (5) new electrical sub-meters, one for each cooling tower fan.
      - a. Existing Shark electrical sub-meter for cooling towers to be removed.
    - 3. Provide one (1) new multi-point electrical sub-meter capable of monitoring all primary and secondary chilled water pumps.
    - 4. Provide one (1) new multi-point electrical sub-meter capable of monitoring all condenser water pumps.
    - 5. Integrate data from five (5) existing 4160 Volt chiller electrical sub-meters.
      - a. Existing Trane chillers have Modbus communication capabilities, which includes electrical power from existing sub-meters that must be integrated with the new system.
    - 6. Integrate data from two (2) existing Shark 250 electrical sub-meters currently serving the Compressed Air System compressors. New communication wiring and conduit must be provided.
    - 7. Provide four (4) new electric sub-meters, one for each boiler main electrical feed.
  - iii. Chilled Water System:
    - 1. Provide new condenser water flow meters for Chiller #1 and #2. Neither chiller currently has a condenser water flow meter. New communication wiring and conduit must be provided.
    - 2. Retrofit existing manual chilled water and condenser water isolation valves with automatic actuators. Replace valve if retrofit is not

- feasible. New power and communication wiring and conduit must be provided.
3. Install additional pressure and flow sensors in the secondary chilled water campus loop piping at specific location(s) throughout campus. Coordinate with UCR for location(s). New communication wiring and conduit must be provided. Connect to nearest campus building with Energy Management System and integrate data with newsystem.
- iv. Steam Boiler System:
1. Both deaerator systems, DA #1 and DA #2, utilize pneumatic tank level controls with bypass valves feeding back to the main condensate receiver. Replace existing pneumatic deaerator tank level controls with new automatic electronic tank level controls.
  2. DA #1 and DA #2, utilize pneumatic feedwater control valves with multi-stage centrifugal pumps. Replace existing pneumatic control valve with new electronic control valve and retrofit existing deaerator pumps with variable frequency drives (VFD).
  3. Install additional pressure sensors in branch steam supply take-offs from main steam supply header in Central Plant.
  4. Install additional pressure sensors in condensate return piping branches coming from campus.
- v. Domestic Water System:
1. Install domestic water loop pressure and flow sensors. Coordinate with UCR for location. New communication wiring and conduit must be provided. Connect to nearest campus building with Energy Management System and integrate data with newsystem.
  2. Integrate data from domestic water pump VFD's (provided under separate project) with new system.
- vi. Integrate data from existing compressed air flow meter located in the compressed air pipe main header adjacent to the dryers in the Boiler room. New communication wiring and conduit must be provided.
- vii. Provide integration, programming and set-up of new and existing devices.
- e. Servers
- i. Design of new system architecture must include redundant communication paths in case of communication failure.
  - ii. Replace, upgrade, and relocate all existing servers. Existing servers hold critical central plant data and SCADA software which must be maintained.
    1. Each server must be specified with tower/rackmount UPS units and support reasonable extended runtime in case of power disruption to server units.
  - iii. Provide two (2) 4-socket (4 processor) servers to allow for future expansion, scalability, high performance and operational redundancy. Must be able to handle mission-critical applications and real-time data. Server must have built-in redundant power supplies.
  - iv. Provide Uninterruptible Power Supply (UPS) units for new servers in case of power disruptions and surge protection.
    1. UPS units must be capable of connecting to the new central plant

network and integrated into the central plant operator front-end system to monitor health status of units and connected loads.

f. Databases

- i. Replace and upgrade MSSQL database to the latest version and secure licensing, support, and maintenance agreement.
- ii. Migration and redevelopment of current [and new] system device tags and datapoints. All field devices, sensors, instrumentation, metering and controllers to be assigned IP addresses as necessary.
- iii. Upgrade Kepware OPC server software and re-map system tags and datapoints (to MSSQL and new SCADA software).
- iv. Early coordination with UCR IT personnel is required to facilitate all network requirements including remote monitoring applications.

g. SCADA/HMI Systems & Software

- i. Replace and upgrade current SCADA/HMI system used by operators to monitor the central plant.
- ii. Design of new operator interface screens, dashboards, trend lines/plots, alarms, notifications, system indicators, etc.
  1. Must work closely and coordinate with Central Plant personnel and Energy team during development of new operator screens.
- iii. Programming of controllers and SCADA/HMI system code must include comments for each block(s) of code explaining the functionality, purpose and execution of program.
- iv. Deliverables must include a copy of all programming, code, ladder logic, function blocks, etc.

h. Controls and Energy Optimization

- i. Document sequence of operations for existing plant controls and develop and document sequence of operations for new plant equipment and controls.
- ii. Optimize and automate processes based on new equipment, device and sensor feedback (i.e. boiler blowdown controls, Chillers/TES optimization, feedwater flow, etc.) and any new software to be utilized for this project.
- iii. Optimize electrical energy costs utilizing current Riverside Public Utility Time-Of-Use (TOU) tariff schedules and rates.

i. Drawings/Schematics of Systems.

- i. Central Plant system architecture of servers, database and network.
- ii. Central Plant controls, valves, sensors and metering system topologies.
- iii. Detailed control panel/cabinet drawings.

**D. SCHEDULE**

Design development is to begin shortly after the selection of the firm and is projected to commence in May 2021 with construction documents being "Bid Ready" in 12 weeks including all reviews and approvals having been completed.

**E. CONTRACT REQUIREMENTS**

1. All consulting services to be provided by the consultant shall be in accordance with the issued University Contract Documents. University Standard Form of Executive Design Professional Agreement(EDPA).
  - a. Note any exceptions to the attached Executive Design Professional Agreement (“EDPA”) that would prevent your firm from executing the Agreement in your response. We cannot accept any request to include language to limit liability with regards to insurance and/or modify the indemnification clauses.
2. University requires evidence of insurance coverage: general liability, automobile liability, and worker’s compensation. If consultant does not currently have coverage in accordance with University requirements, listed below, documentation shall be submitted indicating that such coverage will be in place prior to execution of the Consultant Agreement.

<u>Commercial Form General Liability Insurance* - Limits of Liability</u>	<u>Minimum Requirement</u>
Each Occurrence - Combined Single Limit for Bodily Injury and Property Damage	\$1,000,000
Products - Completed Operations Aggregate	\$2,000,000
Personal and Advertising Injury	\$1,000,000
General Aggregate	\$2,000,000

<u>Business Automobile Liability Insurance* - Limits of Liability</u>	<u>Minimum Requirement</u>
Each Accident - Combined Single Limit for Bodily Injury and Property Damage	\$1,000,000

Workers’ Compensation and Employer’s Liability\*\*

Workers’ Compensation:	Minimum Requirement (as required by Federal and State of California law)
Employer’s Liability:	\$1,000,000
Each Employee	\$1,000,000
Each Accident	\$1,000,000
Each Policy	

<u>Professional Liability Insurance* – Limits of Liability</u>	<u>Minimum Requirement</u>
Each Occurrence	\$1,000,000
General Aggregate	\$2,000,000

\*This insurance must be (i) issued by companies with a Best rating of A- or better, and a financial classification of VIII or better (or an equivalent rating by Standard & Poor or Moody's) or (ii) guaranteed, under terms consented to by the University (such consent to not be unreasonably withheld), by companies with a Best rating of A- or better, and a financial classification of VIII or better (or an equivalent rating by Standard & Poor or Moody's). Further, the deductible, or retained limit, for each coverage shall not be more than \$100,000.

\*\*This insurance must be issued by companies (i) that have a Best rating of B+ or better, and a financial classification of VIII or better (or an equivalent rating by Standard & Poor or Moody's); or (ii) that are acceptable to the University.

3. Selected firm shall provide evidence of an Equal Employment Opportunity policy, and its compliance with applicable federal law pertaining to Equal Employment Opportunity.

#### **F. SCHEDULE FOR SCREENING AND SELECTION OF CONSULTANTS, INTERVIEWS**

In accordance with established University procedures, UC Riverside will review all submittals in response to the RFQ and will select the most qualified firm for the listed project.

The complete RFQ packet will be available (in electronic format only) on **Monday, March 22, 2021**. To receive a copy of the RFQ Documents, **email** the RFQ Administrator listed below.

RFQ Administrator:

**Kara Longtin**

UCR Contracts Administration

Email: [kara.longtin@ucr.edu](mailto:kara.longtin@ucr.edu)

**RFQ Qualification Submittals must be received on or before 2:00 PM, on ~~Wednesday, April 7, 2021~~ **Tuesday, April 27, 2021**.** Submittals must be submitted in electronic format on a CD or flash drive, in PDF format at the address below. No paper copies requested. Email, fax and any other form of submission will not be accepted other than what is stated in this Section A. Firms that meet the screening criteria may be invited for an in-person interview. Please address submittals to:

Attn: Contracts Administration, Kara Longtin  
Planning, Design, & Construction  
UNIVERSITY OF CALIFORNIA, RIVERSIDE  
1223 University Avenue, Suite 240  
Riverside, CA 92507

LATE SUBMISSIONS, FOR ANY REASON, WILL NOT BE ACCEPTED.

*All material submitted becomes the property of UCR and will not be returned to submitting firm.*

1. Questions may be addressed by email to Kara Longtin at [kara.longtin@ucr.edu](mailto:kara.longtin@ucr.edu). The last day questions will be received will be ~~Wednesday, March 31, 2021~~ **Tuesday, April 20, 2021, 2:00PM.**
2. It is requested, but not mandatory, that firms interested in responding to this RFQ, contact the RFQ Administrator by email and inform of their intent to do so. Please reference the RFQ name in the subject line of the email in the Notice of Intent.

The selection process will proceed as follows:

1. Entities should submit a written Notice of Intent as required in the Request for Qualifications Advertisement. The Notice of Intent shall be in the form of an email to the RFQ Administrator announcing an entity's intent to submit Qualification Documents for this project.
2. Entities who are eligible to submit Qualification Documents for this project, must submit all required documents by the given deadlines, as required in the Request for Qualifications Advertisement.
3. The University Screening Committee will evaluate each RFQ Submittal and will rank the top three (3) prospective firms on their demonstrated competence and professional qualifications necessary for the satisfactory performance of the services required.
4. The Screening Committee shall develop a list ranking the top three firms, and shall submit the list to the Associate Vice Chancellor / Campus Architect for review and approval.
5. The Associate Vice Chancellor / Campus Architect shall review and approve the list.
6. The University will notify the top three (3) ranking firms that they have been selected for a Presentation/Interview with the selection committee for each of the proposed teams. Notice shall be in writing, will include the time and date for the presentation/interview (currently anticipated for the week of ~~April 19, 2021~~ **May 10, 2021**) and description of further requirements related to interview. Each firm shall have principal members of each discipline in attendance.
7. Submitting firms will be notified of the decision by the Selection Committee within 3 days of the Selection Committee's decision.
8. If the University receives submissions from fewer than three qualified firms, the University may select from among the available qualified firms.

G. NEGOTIATION AND AWARD OF CONTRACT

1. The University will negotiate a contract with the best ranked qualified firm for services at compensation.
2. Negotiations shall begin no later than 14 days after the successful firm has been notified of its selection.
3. The University and firm shall work together to ensure the successful delivery of the requested services in a timely fashion.
4. In the event an impasse is reached in negotiations, the University may terminate negotiations and enter into negotiations with the next qualified firm, in the same manner as prescribed below.



- a. Should the University be unable to negotiate a satisfactory contract with the firm considered to be the most qualified, negotiations with that firm shall be formally terminated in writing by the University.
- b. The University shall then undertake negotiations with the second most qualified firm. Failing accord with the second most qualified firm, the University shall terminate negotiations in writing. The University shall then undertake negotiations with the third most qualified firm.
- c. Should the University be unable to negotiate a satisfactory contract with any of the selected firms, the University shall select additional firms in order of their competence and qualification and continue negotiations in accordance with these instructions until an agreement is reached.
- d. Upon the completion of negotiations, the University and the firm shall proceed to execute a contract. The University shall provide the firm the contract within 45 days after the conclusion of negotiations, unless the University notifies the firm that additional time is necessary to complete the contract.
- e. If the selected firm fails to execute the contract within 14 days of receipt, the University may formally terminate the negotiations with that firm in writing and undertake negotiations with the second most qualified firm and so on as previously described above.

**ATTACHMENT A: RFQ QUESTIONNAIRE & SUBMITTAL FORM**

PLEASE FIND THE QUESTIONNAIRE AND FORMS ON THE SUBSEQUENT PAGES. WHERE NECESSARY, COPY THE FORMS IN THIS PACKAGE. USE ONLY THESE FORMS.

**SUBMIT ONE ELECTRONIC FILE ON TRANSFERABLE MEDIA NO LATER THAN THE RFQ DEADLINE.**

**ATTACHMENT A: RFQ QUESTIONNAIRE & SUBMITTAL FORM**  
**QUALIFICATION SUBMITTAL**

For:  
**DESIGN PROFESSIONAL QUALIFICATION**  
 FOR THE  
**Central Utility Plant Controls Upgrade**  
 PROJECT NO. **950591**  
 UNIVERSITY OF CALIFORNIA, RIVERSIDE  
 March 22, 2021  
**April 21, 2021**

SUBMITTED BY: \_\_\_\_\_

(Company Name. If a Joint Venture, state name of JV Entity)

Type of Organization:     Sole Proprietor/Individual     Partnership  
     Joint Venture  
     Corporation    \_\_\_\_\_

(State of Incorporation)

\_\_\_\_\_  
 (Contact Name & Title)

\_\_\_\_\_  
 (Street Address)

\_\_\_\_\_  
 (City, State, Zip Code)

\_\_\_\_\_  
 (Telephone Number)

\_\_\_\_\_  
 (Facsimile Number)

\_\_\_\_\_  
 (E-mail)

Each prospective firm must answer all of the following questions and provide all requested information.

All information submitted for prequalification evaluation in response to Section 2, if applicable, and marked as “confidential” will be considered official information acquired in confidence, and the University of California will maintain its confidentiality unless (1) the University determines that it is required to release the information to a third party pursuant to the requirements of the California Public Records Act or (2) the University is required by court order to release the information to a third party pursuant to the requirements of the California Public Records Act. In the event that the University receives a request pursuant to the California Public Records Act and the University determines that it is required to disclose information marked “confidential” by the provisions of the California Public Records Act, the University will notify the prospective firm of the pending disclosure at least 72 hours prior to such disclosure so that the prospective firm may seek a restraining order in advance of such disclosure. The University shall err on the side of transparency and will generally treat information provided by the prospective firm that is not marked “confidential” as subject to disclosure pursuant to the California Public Records Act. Likewise, any decision by the University that any document is subject to disclosure pursuant to the California Public Records Act shall not prevent the University from making a subsequent determination that any document is not subject to disclosure pursuant to the California Public Records Act.

All other information submitted for evaluation will be considered official information acquired in confidence, and the University will maintain its confidentiality to the extent permitted by law.

WHERE NECESSARY, COPY THE FORMS IN THIS PACKAGE. USE ONLY THESE FORMS. Oral, telephonic, electronic mail (e-mail), facsimile, or telegraphic Prequalification Questionnaires are invalid and will not be accepted.

**SUBMIT ONE ELECTRONIC FILE ON TRANSFERABLE MEDIA NO LATER THAN THE RFQ DEADLINE.**

**SURVEY (Information Only)**

**1. How did you hear about this RFQ?**

- Press Enterprise  UCR Website  
 Other: \_\_\_\_\_

**2. INSURER (Pass/Fail Section) Failure to provide the required information or check boxes marked as “Pass” will result in the rejection of submitting entity from this Qualification.**

Prospective firm shall obtain and submit the Insurance Declaration in the form shown below, or submit a sample certificate of insurance form from its insurer, or submit a letter that declares the same as the Insurance Declaration, signed by an authorized representative of its insurer on the representative’s or insurer’s letterhead. (If more than one insurer or insurance representative, submit a completed form or sample certificate of insurance form or letter for each).

**2.1 Is the firm able to obtain insurance in the following limits for the required coverages?**

YES (PASS)       NO (FAIL)

<u>Commercial Form General Liability Insurance* - Limits of Liability</u>	<u>Minimum Requirement</u>
Each Occurrence - Combined Single Limit for Bodily Injury and Property Damage	\$1,000,000
Products - Completed Operations Aggregate	\$1,000,000
Personal and Advertising Injury	\$1,000,000
General Aggregate	\$2,000,000

<u>Business Automobile Liability Insurance* - Limits of Liability</u>	<u>Minimum Requirement</u>
Each Accident - Combined Single Limit for Bodily Injury and Property Damage	\$1,000,000

<u>Workers’ Compensation and Employer’s Liability**</u>	<u>Minimum Requirement</u>
Workers’ Compensation:	(as required by Federal and State of California law)
Employer’s Liability:	
Each Employee	\$1,000,000
Each Accident	\$1,000,000
Each Policy	\$1,000,000

<u>Professional Liability Insurance* – Limits of Liability</u>	<u>Minimum Requirement</u>
Each Occurrence	\$1,000,000
General Aggregate	\$2,000,000

\*This insurance must be (i) issued by companies with a Best rating of A- or better, and a financial classification of VIII or better (or an equivalent rating by Standard & Poor or Moody’s) or (ii) guaranteed, under terms consented to by the University (such consent to not be unreasonably withheld), by companies with a Best rating of A- or better, and a financial classification of VIII or better (or an equivalent rating by Standard & Poor or Moody’s). Further, the deductible, or retained limit, for each coverage shall not be more than \$100,000.

\*\*This insurance must be issued by companies (i) that have a Best rating of B+ or better, and a financial classification of VIII or better (or an equivalent rating by Standard & Poor or Moody’s); or (ii) that are acceptable to the University.

**2.2 Insurance Declaration:**

**PROVIDE THIS DECLARATION TO YOUR INSURANCE CARRIER FOR COMPLETION AND HAVE YOUR CARRIER RETURN THE COMPLETED DECLARATION TO YOU. THE PROSPECTIVE FIRM MUST SUBMIT THIS DECLARATION TO UNIVERSITY. DO NOT HAVE YOUR CARRIER SUBMIT THIS DECLARATION DIRECTLY TO THE UNIVERSITY**

The undersigned declares under penalty of perjury that the below named insurer is currently willing to provide the insurance listed above in Section 3.A. of this RFQ/RFP Qualification submittal \_\_\_\_\_

(Name of Prospective Firm)

and that this Declaration was executed in

\_\_\_\_\_, in the State of \_\_\_\_\_,  
 (Name of City if within a City, otherwise Name of County) (State)

on \_\_\_\_\_.  
 (Date)

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

\_\_\_\_\_  
 (Name & Title)

\_\_\_\_\_  
 (Insurer Name)

\_\_\_\_\_  
 (Street Address)

\_\_\_\_\_  
 (City, State & Zip Code)

\_\_\_\_\_  
 (Telephone Number)

\_\_\_\_\_  
 (Facsimile Number)

\_\_\_\_\_  
 (Mobile Number)

\_\_\_\_\_  
 (Email)

### 3. EXPERIENCE SUBMITTAL (100 points possible. 75 points needed to pass.)

3.1 Prospective firm shall submit the following information in the specified order:

3.1.1 Section 1, Cover Letter (10 points possible).

The Cover Letter should introduce the team and provide a brief history of the firm, including:

- 1) Number of years in business as the current entity or its legally-recognized predecessor.
- 2) Number of employees (aggregate of all office locations).
- 3) The individuals proposed to fill the following roles, at a minimum:
  - a) Designated principal-in-charge, authorized to make contractual commitments on behalf of the firm;
  - b) Designated project lead, responsible for delivery of services to the University in connection with the project;
  - c) Designated technical lead for the project.
  - ~~d) Designated Healthcare/Medical Planner~~
- 4) The firm's office location that will be the firm's primary base for delivery of services to the University in connection with the project.

3.1.2 Section 2, Project Team and Qualifications (30 points possible).

- 1) Team Organization Chart.
- 2) Explain the role of each individual and each proposed consultant, and explain how the individual's past experience is directly relevant to his/her proposed role and the specific services as described in the RFQ Advertisement.
- 3) Describe the Team's, or Team members', experience in working on comparable projects. the project
- 4) Provide a matrix that identifies the team members experience in working together on projects.
- 5) Resumes for each proposed team member, indicating individual's experience relevant to the requirements of the project and relevant contact information such as their email address.

3.1.3 Section 3, Project **Experience** Understanding (30 points possible).

- 1) Describe a minimum of three (3) projects comparable to this work in which the firm has had a leading role (as either Architect of Record or Engineer of Record);
  - a) For each of the projects cited under item 1) above, provide no more than four (4) pages containing the following information: brief project description, including owner, location and dates of engagement;
  - b) No more than two (2) photographs or diagrams e.g. plans, conveying features relevant to the requirements of this project, as described herein;
  - c) The firm's scope of work;
- 2) Work scope, including services and deliverables.
- 3) Work product examples demonstrating design responses and graphic abilities,
- 4) Key personnel assigned to the project;
- 5) Construction Contract sum.
- 6) Start and completion construction dates.

3.1.4 Section 4: Project Understanding (30 points possible).

- 1) Understanding of Design Professional's role, scope of services and deliverables, based on information provided herein.
- 2) Describe how Team would work with the University to achieve the project goals. Describe proposed approach and work plan, consistent with schedule and other information provided herein.

**3.2 NOTE THAT PROJECT REFERENCES WILL BE CONTACTED FOR VERIFICATION OF THE INFORMATION REPORTED. IN CASE OF CONFLICT BETWEEN THE INFORMATION REPORTED BY THE PROSPECTIVE FIRM AND THE INFORMATION**

**PROVIDED BY THE REFERENCE, THE INFORMATION PROVIDED BY REFERENCE SHALL TAKE PRECEDENCE AND AMBIGUITIES SHALL BE RESOLVED AGAINST THE PROSPECTIVE FIRM.**

- 3.3 An entity wishing to use a predecessor business to satisfy experience requirements must demonstrate with written information submitted with this RFQ/RFP Qualification Submittal that it is substantially the same organization (in terms of who is managing the firm) as the predecessor business.**
  
- 3.4 By signing the Declaration of this Qualification Submittal, you agree that each individual Team member named your Team Organization Chart is subject to the University's approval, and may be replaced at University's request at any time. Any individual approved by the University cannot be replaced later without University's prior written consent.**





**5. DECLARATION**

I, \_\_\_\_\_, hereby declare that I am the  
(Printed Name)

(Title) \_\_\_\_\_ of \_\_\_\_\_  
(Name of Company)

submitting this Qualification Submittal; that I am duly authorized to sign this Qualification Submittal on behalf of the above named company; and that all information set forth in this Qualification Submittal and all attachments hereto are, to the best of my knowledge, true, accurate, and complete as of its submission date.

I declare, under penalty of perjury, that the foregoing is true and correct and that this Declaration was executed in:

\_\_\_\_\_, in the State of \_\_\_\_\_,  
(Name of City if within a City, otherwise Name of County) (State)

on \_\_\_\_\_  
(Date)

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

END OF QUALIFICATION SUBMITTAL



**ATTACHMENT B**  
**QUALIFICATION SUBMITTAL EVALUATION**  
 For  
**Design Professional Services**  
 FOR THE  
**Central Utility Plant Controls Upgrade**  
 PROJECT NO. 950591  
 UNIVERSITY OF CALIFORNIA, RIVERSIDE  
 (03/22/2021)

**(FORM TO BE COMPLETED BY UNIVERSITY)**

**COMPANY NAME:** \_\_\_\_\_

<b>1.</b>	<b>SURVEY (Information Only)</b>	
<b>2.</b>	<b>INSURANCE</b> 1) Complied with University's insurance requirements. (Pass/Fail)	<input type="checkbox"/> Yes - Pass <input type="checkbox"/> No - Fail
<b>3.</b>	<b>SUBMITTAL (100 points possible)</b>  <u>Section 1: Cover Letter (maximum 2 pages) (10 points possible).</u> The Cover Letter should introduce the team and provide a brief history of the firm, including: 2) Number of years in business as the current entity or its legally-recognized predecessor. 3) Number of employees (aggregate of all office locations). 4) The individuals proposed to fill the following roles, at a minimum: a) Designated principal-in-charge, authorized to make contractual commitments on behalf of the firm; b) Designated project lead, responsible for delivery of services to the University in connection with the project; c) Designated technical lead for the project. d) Designated Healthcare/Medical Planner 5) The firm's office location that will be the firm's primary base for delivery of services to the University in connection with the project.  <u>Section 2: Project Team and Qualifications (30 points possible).</u> 1) Team Organization Chart. 2) Explain the role of each individual and each proposed consultant, and explain how the individual's past experience is directly relevant to his/her proposed role and the specific services as described in the RFQ Advertisement. 3) Describe the Team's, or Team members', experience in working on comparable projects. the project 4) Provide a matrix that identifies the team members experience in working together on projects. 5) Resumes for each proposed team member, indicating individual's experience relevant to the requirements of the project and relevant contact information such as their email address.	<input type="checkbox"/> Yes <input type="checkbox"/> No

<p><b><u>Section 3: Describe relevant project experience (30 points possible).</u></b>  <b>2.1.1 <u>Section 3, Project Understanding (30 points possible).</u></b>          1) Describe a minimum of three (3) projects comparable to this work in which the firm has had a leading role (as either Architect of Record or Engineer of Record);              a) For each of the projects cited under item 1) above, provide no more than four (4) pages containing the following information: brief project description, including owner, location and dates of engagement;              b) No more than two (2) photographs or diagrams e.g. plans, conveying features relevant to the requirements of this project, as described herein;              c) The firm's scope of work;          2) Work scope, including services and deliverables.          3) Work product examples demonstrating design responses and graphic abilities,          4) Key personnel assigned to the project;          5) Construction Contract sum.          6) Start and completion construction dates.</p> <p><b><u>Section 4: Project Understanding (30 points possible).</u></b>          1) Understanding of Design Professional's role, scope of services and deliverables, based on information provided herein.          2) Describe how Team would work with the University to achieve the project goals. Describe proposed approach and work plan, consistent with schedule and other information provided herein.</p>	
<p><b>4. University Consultant Experience Form</b>          Completed, signed and dated. (Pass/Fail)</p>	<input type="checkbox"/> Yes - Pass <input type="checkbox"/> No - Fail
<p><b>5. DECLARATION</b>          Completed, signed and dated. (Pass/Fail)</p>	<input type="checkbox"/> Yes - Pass <input type="checkbox"/> No - Fail
<p><b>RANK:</b></p>	

**Evaluation Completed By:**

**Reviewed By:**

(Signature & Date)

(Signature & Date)

(Printed Name)

(Printed Name)

(Title)

(Title)

## ATTACHMENT C: EXECUTIVE DESIGN PROFESSIONAL AGREEMENT SAMPLE

### EXECUTIVE DESIGN PROFESSIONAL AGREEMENT TABLE OF CONTENTS

#### COVER PAGE

#### ARTICLE 1 - GENERAL PROVISIONS

- 1.1 GENERAL REQUIREMENTS
- 1.2 DESIGN PROFESSIONAL STANDARD OF CARE
- 1.3 DEFINITIONS

#### ARTICLE 2 - BASIC SERVICES

- 2.1 GENERAL
- 2.2 SCHEMATIC DESIGN PHASE
- 2.3 DESIGN DEVELOPMENT PHASE
- 2.4 CONSTRUCTION DOCUMENTS PHASE
- 2.5 BIDDING PHASE
- 2.6 CONSTRUCTION PHASE
- 2.7 INDEPENDENT SEISMIC/STRUCTURAL REVIEW
- 2.8 SCHEDULE

#### ARTICLE 3 - ADDITIONAL SERVICES

#### ARTICLE 4 - UNIVERSITY RIGHTS AND RESPONSIBILITIES

- 4.1 ADMINISTRATION
- 4.2 PROVISION OF INFORMATION, SURVEYS, REPORTS, AND DATA

#### ARTICLE 5 - COMPENSATION

- 5.1 COMPENSATION FOR BASIC SERVICES
- 5.2 COMPENSATION FOR ADDITIONAL SERVICES OR FOR EXTENSIONS OF CONTRACT TIME
- 5.3 REIMBURSABLE EXPENSES

#### ARTICLE 6 - PAYMENTS

- 6.1 PAYMENTS FOR BASIC SERVICE
- 6.2 PAYMENTS FOR ADDITIONAL SERVICES AND REIMBURSABLE EXPENSES

#### ARTICLE 7 - DESIGN PROFESSIONAL'S RECORDS AND FILES

#### ARTICLE 8 - OWNERSHIP AND USE OF DOCUMENTS

- 8.1 DRAWINGS, SPECIFICATIONS, AND PRESENTATION MATERIALS
- 8.2 CONSTRUCTION DOCUMENTS
- 8.3 INDEMNIFICATION

#### ARTICLE 9 - DISPUTES

- 9.1 NEGOTIATION
- 9.2 MEDIATION
- 9.3 ARBITRATION OR LITIGATION
- 9.4 PERSONAL INJURY, WRONGFUL DEATH OR PROPERTY DAMAGE

#### ARTICLE 10 - INDEMNIFICATION AND INSURANCE

- 10.1 INDEMNIFICATION
- 10.2 INSURANCE REQUIREMENTS

#### ARTICLE 11 - STATUTORY REQUIREMENTS

- 11.1 NONDISCRIMINATION
- 11.2 PREVAILING WAGE RATES

UC Revision April 4, 2016  
UCR Revision 2016-04-04

Executive Design Professional Agreement

- 11.3 PAYROLL RECORDS
- 11.4 APPRENTICES
- 11.5 WORK DAY
- 11.6 PATIENT HEALTH INFORMATION

ARTICLE 12 - EXTENT OF AGREEMENT

- 12.1 AUTHORITY OF AGREEMENT
- 12.2 EXHIBITS
- 12.3 THIRD-PARTY BENEFICIARIES
- 12.4 SURVIVAL

ARTICLE 13 - FEDERAL AND STATE GRANTS

ARTICLE 14 - NOTICES

- 14.1 UNIVERSITY
- 14.2 DESIGN PROFESSIONAL

ARTICLE 15 - SUCCESSORS AND ASSIGNS

- 15.1 DESIGN PROFESSIONAL'S DEATH OR INCAPACITATION

ARTICLE 16 - TERMINATION OF AGREEMENT

- 16.1 UNIVERSITY-INITIATED TERMINATION
- 16.2 DESIGN PROFESSIONAL-INITIATED TERMINATION
- 16.3 DOCUMENTS AND MATERIALS

ARTICLE 17 - STATISTICAL REPORTING

**EXECUTIVE DESIGN PROFESSIONAL AGREEMENT**  
between  
**THE REGENTS OF THE UNIVERSITY OF CALIFORNIA**  
and  
**THE DESIGN PROFESSIONAL**

This AGREEMENT is made on between The Regents of the University of California, a California Corporation, hereinafter called "University" and **{INSERT THE NAME OF THE EXECUTIVE ARCHITECT OR ENGINEER}** hereinafter called "Design Professional".

**{CONTINUE THE PARAGRAPH AFTER CHOOSING THE APPROPRIATE OPTION:**

- 1. IF THE FIRM IS A CORPORATION, USE THE CORPORATE TITLE.**
- 2. IF THE FIRM IS A PARTNERSHIP, LIST THE NAMES OF ALL OF THE PARTNERS. IF THE PARTNERSHIP IS OPERATING AS A "DOING BUSINESS AS (DBA)" FIRM, INCLUDE THE DBA NAME. FOR A GENERAL PARTNERSHIP, STIPULATE AFTER ALL LISTED NAMES THE TERM "Co-partners."**
- 3. IF THE FIRM IS A SOLE PROPRIETORSHIP, LIST THE NAME OF THE INDIVIDUAL, FOLLOWED BY THE WORDS "An Individual." IF THE SOLE PROPRIETORSHIP IS OPERATING AS A DBA FIRM, INCLUDE THE DBA NAME.}**

The above named individual or firm shall be the Executive Architect or Engineer and shall comply with the licensing laws of the State of California regarding the practice of Architecture or Engineering in performing the services set forth in this Agreement for the following project:

**{NOTE: THE FACILITY NAME, PROJECT NUMBER, AND PROJECT NAME MUST BE THE SAME AS THOSE RECORDED FOR FUNDING PURPOSES.}**

**UNIVERSITY OF CALIFORNIA, {FACILITY NAME}**

**{PROJECT NUMBER}**

**{PROJECT NAME}**

PROJECT DESCRIPTION: **Describe including approximate sq. ft.**

CONSTRUCTION BUDGET: \$

## **ARTICLE 1 - GENERAL PROVISIONS**

### **1.1 GENERAL REQUIREMENTS**

**1.1.1** This Agreement shall be governed by the laws of the State of California.

**1.1.2** In the event of a conflict between the provisions of any exhibit to this Agreement and the Agreement, the provisions of this Agreement shall govern.

**1.1.3** University's exercise of any of its rights or remedies prescribed in this Agreement shall not relieve Design Professional from responsibility for damages or other losses incurred or to be incurred by University as a result of Design Professional's breach of its obligation under this Agreement.

**1.1.4** Time is of the essence for this Agreement.

**1.1.5** Design Professional shall cooperate with University, its designees, and Contractor in furthering the interests of University.

**1.1.6** Design Professional shall cooperate with other professionals University may employ for related work.

**1.1.7** To the extent required by University, Design Professional shall consult with authorized employees, agents, and representatives of University relative to the design and construction of a Project.

**1.1.8** Design Professional shall perform all services in compliance with applicable laws, codes, rules, regulations, ordinances, University policies, and Facility standards. University policies include without limitation those related to Seismic Safety and Sustainable Practices.

**1.1.9** Services required by this Agreement include, at no additional cost to University, all services necessitated, in whole or in part, by errors and omissions of, or breach of this Agreement by, Design Professional, its subconsultants, or any person or entity working under Design Professional.

**1.1.10** Consultant/Design Professional shall pay all persons providing services and/or any labor on site, including any University location, no less than UC Fair Wage (defined as \$13 per hour as of 10/1/15, \$14 per hour as of 10/1/16, and \$15 per hour as of 10/1/17) and shall comply with all applicable federal, state and local working condition requirements.

### **1.2 DESIGN PROFESSIONAL STANDARD OF CARE**

**1.2.1** Design Professional, its officers, agents, employees, subcontractors, subconsultants and any persons or entities for whom Design Professional is responsible, shall provide all services pursuant to this Agreement in a manner consistent with the standard of care under California law applicable to those who specialize in providing such services for projects of the type, scope, and complexity of the Project (including its contracting mode).

### **1.3 DEFINITIONS**

Unless defined differently herein, terms used in this Agreement shall have the same meaning as those used in University's Bidding Documents, General Conditions in the Exhibits.

**NOTE: EXHIBITS MUST ALSO INCLUDE THE FACILITY'S STANDARD SPECIFICATIONS, DIVISION 1, GENERAL REQUIREMENTS.**

**1.3.1 Agreement.** The term "Agreement" means this Agreement, Supplemental Requirements, Exhibits, Amendments, and all other documents identified in this Agreement which together form the agreement between University and the Design Professional for the Work the Agreement constitutes the complete agreement between University and the Design Professional and supersedes any previous agreements or understandings.

**1.3.2 Architect (or Engineer) of Record.** The term "Architect of Record" or "Engineer of Record" shall mean the specific University-approved Design Professional named in this Agreement who is the Design Professional's designated principal or staff member in charge of providing all services required by this Agreement.

**1.3.3 As-builts (As-built Drawings and Specifications).** The term "As-builts" shall mean the marked-up version of the Contract Documents prepared by the construction Contractor to record as-built conditions, current changes, and selections made during construction.

**1.3.4 Bidding Documents.** The term "Bidding Documents" shall mean those documents prepared and furnished by University for the purpose of obtaining bids from contractors to construct the Project, including without limitation, the General Conditions and General Requirements attached in the Exhibits.

**1.3.5 Construction Budget.** The term "Construction Budget" shall mean University's written statement of funds available to pay for the cost of construction.

**1.3.6 Construction Documents.** The term "Construction Documents" shall mean the documents prepared and furnished by the Design Professional to be used for bidding the construction work for the Project.

**1.3.7 Contract Documents.** The term "Contract Documents" shall mean the Advertisement for Bids, Instructions to Bidders, Supplementary Instructions to Bidders, Bid Form, Agreement, General Conditions, Supplementary Conditions, Exhibits to the Construction Documents, Specifications, List of Drawings, Drawings, Addenda, Notice to Proceed, Change Orders, Notice of Completion and all other items identified as Contract Documents in the Construction Contract Agreement.

**1.3.8 Coordination.** The term "Coordination" shall mean that the documents shall be consistent and in conformance each part with all other parts.



**1.3.9 Estimated Project Construction Cost.** The term "Estimated Project Construction Cost" shall mean Design Professional's written estimate in the form specified by University in the Exhibits, of the total Construction Cost of the Project at the various stages of the design process.

**1.3.10 Facility.** The term "Facility" means the University of California, Riverside.

**1.3.11 Project.** The term "Project" means the project described on page 1 of this Agreement.

**1.3.12 Project Architect (or Engineer).** The term "Project Architect" or "Project Engineer" shall mean the specific University-approved Design Professional named in this Agreement who is the Design Professional's designated architect (or engineer) who is the first point of contact in providing all services required by this Agreement.

**1.3.13 Project Program.** The term "Project Program" shall mean a written statement in the Exhibits of University's design objectives, constraints, and criteria, including space requirements and relationships, flexibility and expendability, special equipment and systems, and Project site requirements.

**1.3.14 Project Schedule.** The term "Project Schedule" shall mean the schedule prepared by University showing project milestones, funding, design, design review, construction, and other deadlines applicable to the Project.

**1.3.15 Record Documents.** The term "Record Documents" shall mean those documents (including without limitation the updated version of the Construction Documents) prepared by the Design Professional incorporating Addenda, Change Orders and information from the As-Builts and other data furnished by Contractor to Design Professional.

**1.3.16 University.** The term "University" shall mean the Regents of the University of California.

**1.3.17 University's Representative.** The term "University's Representative" shall mean the person or entity providing University's Representative services as indicated in the Contract Documents including, but not limited to, issuance of written communications with the Contractor.

**1.3.18 University's Designated Administrator.** The term "University's Designated Administrator" shall mean the individual acting as University's Designated Administrator pursuant to paragraph 4.1.1.

**ARTICLE 2 - BASIC SERVICES**

Basic Services to be provided by Design Professional include the services described in this Article 2 and as further described in the Supplemental Requirements in the Exhibits.

**2.1 GENERAL**

**2.1.1** The services of Design Professional shall be performed in accordance with this Agreement and the Supplemental Requirements in the Exhibits.

**2.1.2** To the extent deemed necessary by Design Professional, Design Professional shall employ architects, mechanical, electrical, structural, and civil engineers licensed as such by the State of California, and such other consultants necessary for the provision of services under this Agreement. All consultants provided under basic services shall be paid by Design Professional. Design Professional shall submit, for approval by University, names of consultants for each professional element of service of the Project. University-approved consultants provided under basic service shall be as named below:

<u>Consultant Name</u>	
<u>Consultant Name</u>	<u>Discipline</u>

Nothing in the foregoing shall create any contractual relationship between University and any consultants employed by Design Professional under the terms of this Agreement. Design Professional is as responsible for the performance of its consultants as it would be if it had rendered these services itself.

**2.1.3** Design Professional shall designate a principal or a staff member as the Project Architect or Project Engineer. So long as the Project Architect or Project Engineer performs in a manner acceptable to University, and remains in Design Professional's employ, the Project Architect or Project Engineer shall remain the first point of contact for all design and other services required under this Agreement, including attending design-related meetings for the Project, unless a substitution mutually acceptable to Design Professional and University is made. University-approved Project Architect or Project Engineer shall be the person named below:

Name of Project Architect or Engineer

Additionally, the University may require other individuals working for the Design Professional or its subconsultants to attend design-related meetings as requested by University.

**2.1.4** Design Professional shall assist University in fulfilling the requirements of the authorities and funding agencies whose interests bear on the design, cost, and construction of the Project.

**2.1.5** Design Professional shall abide by all regulations imposed by authorities having jurisdiction over the Project.

**2.1.6** Design Professional shall review site surveys; existing record documents; seismic data; mechanical, geotechnical, and other test reports; environmental documents, and any other documentation furnished by

University. From an examination of the site and a review of available information, Design Professional shall determine whether such data are sufficient for purposes of design or whether additional data are needed and, if so, recommend the manner in which it be provided and needed services obtained. Design Professional may rely on the information provided by University but only to the extent such reliance shall be consistent with Design Professional's obligations under this Agreement.

**2.1.7** Review, approval or acceptance of Design Professional's work whether by University or others and whether during Schematic Design Phase, Design Development Phase, Construction Documents Phase, Bidding Phase, Construction Phase, Guarantee to Repair Period, or otherwise, shall not relieve Design Professional from responsibility for errors and omissions in Design Professional's work.

**2.1.8** Design Professional shall, at no cost to University, satisfactorily correct any and all errors, omissions, deficiencies, or conflicts in the Construction Documents prepared by Design Professional or Design Professional's consultants promptly upon discovery or notice. The obligations of Design Professional to correct defective or nonconforming Work shall not in any way limit any other obligations of Design Professional.

## **2.2 SCHEMATIC DESIGN PHASE**

**2.2.1** Upon University's written direction to proceed, Design Professional shall provide Schematic Design Phase services described herein and in the Supplemental Requirements in the Exhibits including, without limitation, Schematic Design Documents for approval by University.

## **2.3 DESIGN DEVELOPMENT PHASE**

**2.3.1** Upon University's written direction to proceed, Design Professional shall provide Design Development Phase services as described herein and in the Supplemental Requirements in the Exhibits and based on Schematic Design documents approved in writing by University and any written adjustments in the scope or quality of the Project or in the Construction Budget including, without limitation, Design Development Documents for approval by University.

## **2.4 CONSTRUCTION DOCUMENTS PHASE**

**2.4.1** Upon University's written direction to proceed, Design Professional shall provide Construction Documents Phase services as described herein and in the Supplemental Requirements in the Exhibits and based on Design Development documents approved in writing by University and any written adjustments in the scope or quality of the Project or in the Construction Budget including, without limitation, Construction Documents for approval by University.

**2.4.2** The Drawings and Specifications shall be consistent with the University's General Conditions in the Exhibits and the Division 1 tailored for the Project including but not limited to any Facility requirements.

## **2.5 BIDDING PHASE**

**2.5.1** Upon University's written direction to proceed, Design Professional shall provide Bidding Phase services as described herein and in the Supplemental Requirements in the Exhibits.

**2.5.2** If the lowest responsive total bid price received exceeds the Construction Budget 10%, University may, at its discretion, (1) authorize rebidding of the Project within a reasonable period of time; or (2) require Design Professional, at Design Professional's expense, to modify the Project design and the Construction Documents in order to reduce the Estimated Project Construction Cost to a level that falls within the Construction Budget. Modifications proposed by Design Professional shall require University approval prior to incorporation into the revised documents.

## **2.6 CONSTRUCTION PHASE**

**2.6.1** Upon University's written direction to proceed, Design Professional shall provide Construction Phase services as described herein and in the Supplemental Requirements in the Exhibits.

**2.6.2** The Construction Phase will commence on the date the Agreement between University and Contractor is signed by University and will terminate one year after Notice of Completion or Notice of Cessation, or in the absence of either a Notice of Completion or Notice of Cessation, one year after Final Completion.

**2.6.3** Except as otherwise provided in the Contract Documents or as directed by University, all written communications with Contractor shall be sent and received by University's Representative.

**2.6.4** Design Professional shall render design interpretations of, and design decisions regarding, the Contract Documents that are necessary for the proper execution or progress of the Work including provision of clarifications and interpretations of the Contract Documents that are consistent with the intent of the documents but which do not involve a change in the scope of the Work. Such clarifications and interpretations shall not involve an adjustment of the Contract Sum or an extension of the Contract Time.

**2.6.5** Design Professional shall not be responsible for construction means, methods, techniques, sequences, procedures, or safety precautions and programs in connection with the Work, unless Design Professional specifies, directs, recommends or approves such means, methods, techniques, sequences, procedures, or safety precautions/programs.

**2.6.6** Design Professional shall prepare drawings and specifications needed to issue Field Orders and Change Orders as required by the Supplemental Requirements in the Exhibits.

(FACILITY HAS THE OPTION TO USE 2.6.7 OR TO LEAVE PREPARATION OF CHANGE ORDERS AS ADDITIONAL SERVICES.

**2.6.7** No additional compensation shall be paid to Design Professional for the preparation of Change Orders, including the preparation of Drawings, Specifications, and supporting data and other services required in connection with the preparation of Change Orders until the total cumulative value (calculated by adding the absolute values of both additive and deductive changes not caused, in whole or in part, by Design Professional errors or omissions) exceeds { } percent of the Contract Sum.

**2.6.8** Design Professional shall provide Record Documents as described herein and in the Supplemental Requirements in the Exhibits.

**2.6.9** Design Professional shall review the Work at 11 months after Substantial Completion or Final Completion, as applicable, and shall make written recommendations to University for the correction of any deficiencies as required by the Supplemental Requirements in the Exhibits. Dates for inspections shall be as mutually agreed by the parties within the 11th month time frame. The number of work hours associated with the on-site review and preparation of written recommendations shall not exceed { } hours excluding review and preparation necessitated in whole or in part by Design Professional's errors and omissions.

## **2.7 INDEPENDENT SEISMIC/STRUCTURAL REVIEW**

**2.7.1** This Project is subject to an independent seismic/structure review conducted by University and at University expense. Design Professional shall attend meetings as necessary to resolve all seismic issues. Design Professional shall present Drawings and other items as necessary to describe the Project design.

## **2.8 SCHEDULE**

**2.8.1** Design Professional acknowledges that all time limits stated in this Agreement are of the utmost importance to University. Design Professional shall meet the Project Schedule, which may be revised from time to time by mutual agreement, for completion of Design Professional's services.

**2.8.2** Design Professional shall submit its proposed work plan for the performance of Design Professional's services within 5 calendar days following the later of (1) the execution date of this Agreement, or (2) the date on which University authorizes Design Professional to begin performing Schematic Design Phase services. Design Professional's work plan shall include without limitation, a schedule for how Design Professional will comply with the Project Schedule.

Design Professional's work plan shall include allowances for the periods of time required for University's review and approval of submissions and for approvals by authorities having jurisdiction over the Project. Design Professional's work plan, when approved by University, shall not be exceeded by Design Professional except when University and

Design Professional mutually agree, in writing, to a revised Project Schedule.

**2.8.3** The total time scheduled for full completion of Design Professional's services for each phase of the Project shall not exceed the durations listed in the Project Schedule, unless mutually agreed upon in writing by Design Professional and University. The durations for University review period listed in the Project Schedule shall be computed from the date on which a clear, complete submittal is received by University. University's failure to meet its commitment to provide written requested information or to review within the stipulated time frames shall be cause for an adjustment in the Project Schedule. However, submittals received for review which are rejected, in writing, as not meeting the deliverables required by submittal requirements of this Agreement and the attachments thereto, shall not be cause for adjustment of the Project Schedule, and any such delay caused by such rejected submittals shall be at the sole responsibility of Design Professional.

## **ARTICLE 3 - ADDITIONAL SERVICES**

Unless required in Article 2 of this Agreement or in the Supplemental Requirements to be performed as part of Basic Services, the services described in this Agreement and the Supplemental Requirements are Additional Services. These Additional Services shall be paid for by University, as provided in this Agreement, in addition to the compensation for Basic Services. Design Professional shall provide Additional Services only when and as authorized in a written instrument signed by University. No Additional Services shall be compensable unless so authorized.

## **ARTICLE 4 - UNIVERSITY RIGHTS AND RESPONSIBILITIES**

### **4.1 ADMINISTRATION**

**4.1.1** University shall designate, in writing, an Administrator who will act on behalf of University with respect to this Agreement. Design Professional shall accept directives only from University's Designated Administrator and not from other University employees or consultants. University may replace University's Designated Administrator at its sole option; if this replacement is made, University shall notify Design Professional in writing.

**4.1.2** University shall designate, in writing, prior to bidding, a University's Representative.

### **4.2 PROVISION OF INFORMATION, SURVEYS, REPORTS, AND DATA**

**4.2.1** University shall have the right to make changes to the Project Program. When such changes increase the duties of Design Professional beyond those reasonably and customarily provided in Basic Services, Design Professional shall be compensated in accordance with this Agreement.

**4.2.2** University shall have the right to make reasonable changes to its Bidding Documents and Design Professional

shall be bound by such changes. When such changes increase the duties of Design Professional, beyond those reasonably and customarily provided in Basic Services, Design Professional shall be compensated in accordance with this Agreement.

**4.2.3** University shall furnish structural, mechanical, electrical, chemical, soils, and other tests, inspections, and reports as required by law or by the Contract Documents, which are not required to be furnished by Contractor under the Contract Documents.

**4.2.4** University shall update the Project Schedule as dates and durations applicable to the Project such as funding deadlines, review periods, anticipated periods of Project suspension, and construction deadlines become known.

**4.2.5** If required for the performance of Design Professional's services, University shall furnish an accurate land survey of the Project site, giving, as applicable, grades and lines of streets, alleys, pavements, and adjoining property; rights-of-way, restrictions, easements, encroachments, zoning, deed restrictions, boundaries, and contours of the site; locations, dimensions, and floor elevations pertaining to existing buildings, other improvements, and trees; and information in University's possession concerning available service and utility lines, both public and private.

**4.2.6** University shall furnish geotechnical data when these data are reasonably deemed necessary by Design Professional, including test logs, soil classifications, soil bearing values, and other data necessary to define subsoil conditions.

**4.2.7** The University shall have the right to require Design Professional and its subconsultants to participate in meetings and provide documents and data (in addition to those required by Basic Services) and to perform Additional Services, pursuant to this Agreement, whether or not such Additional Services are described in the Agreement or the Supplemental Requirements.

**4.2.8** The services, information, surveys, reports, and Additional Services required by this Article 4 shall be furnished at University's expense.

## **ARTICLE 5 - COMPENSATION**

University will compensate Design Professional for the scope of services provided, in accordance with this Article 5 and with the other terms and conditions of this Agreement, as follows:

### **5.1 COMPENSATION FOR BASIC SERVICES**

**5.1.1** The fee for Basic Services shall be computed as follows:

For services rendered in accordance with this Agreement, the basis for compensation shall be a lump-sum fee in the amount stated in the Compensation Schedule Exhibit, payable upon completion of each Project phase, after the review and approval by University, in accordance with the Compensation

Schedule. As an alternative to payment at the completion of each phase, with University's prior approval, monthly payments based on the percentage of completion may be made, not to exceed the total fee due for each phase.

### **5.2 COMPENSATION FOR ADDITIONAL SERVICES OR FOR EXTENSION OF CONTRACT TIME**

**5.2.1** For the Additional Services of Design Professional, as described in Article 3, including the Additional Services of consultants, compensation shall be in accordance with the attached Design Professional Rate Schedule in the Exhibits.

**5.2.2** If the Contract Time initially established in the Contract Documents at the time of award is exceeded or extended by a number of days in excess of **60** calendar days through the fault of University or Contractor and through no fault of Design Professional, compensation for any Basic Services provided during this extended period of the construction phase of the construction contract shall be adjusted to compensate Design Professional for any additional costs reasonably incurred by Design Professional as the result of such delay, provided University has approved such adjustments in advance. These extended Basic Services shall be approved, in writing, by University and shall not include Basic Services that would have been performed under this Agreement had the initial Contract Time not been substantially exceeded or extended.

**5.2.3** If the Work of the Project is suspended or abandoned for more than **3** consecutive months, and such suspension was not scheduled at the beginning of the Project, as provided under subparagraph 4.2.4, Design Professional shall be compensated for all authorized services performed prior to the receipt of written notice from University of such suspension or abandonment, together with Reimbursable Expenses then due. If the Project is resumed after being suspended for more than **3** consecutive months, Design Professional's compensation shall be adjusted as mutually agreed to compensate Design Professional for any additional costs reasonably incurred as the result of the suspension.

### **5.3 REIMBURSABLE EXPENSES**

**5.3.1** For Reimbursable Expenses, as described in this paragraph 5.3, only actual costs will be reimbursed in accordance with the Reimbursement Schedule in the Exhibits. Paid invoices or other proof of payment shall be submitted when requesting reimbursement.

**5.3.2** Reimbursable Expenses are paid in addition to the compensation for Basic and Additional Services and are actual expenditures made by Design Professional and Design Professional's consultants in the interest of the Project.

## **ARTICLE 6 - PAYMENTS**

### **6.1 PAYMENTS FOR BASIC SERVICES**

**6.1.1** Payments for Basic Services, as defined in Article 2, shall be made as stipulated in subparagraph 5.1.1.

## **6.2 PAYMENTS FOR ADDITIONAL SERVICES AND REIMBURSABLE EXPENSES**

**6.2.1** Payments for Design Professional's Additional Services, as defined in Article 3, and for Reimbursable Expenses, as defined in paragraph 5.3, shall be made monthly after presentation of Design Professional's statement of services rendered, or expenses incurred, with invoices, receipts and other justification thereof.

**6.2.2** Payments related to paragraph 5.2.2 shall be made monthly after presentation of Design Professional's statement of services rendered, or expenses incurred, with invoices, receipts and other justification thereof unless otherwise agreed by the parties thereto.

## **ARTICLE 7 - DESIGN PROFESSIONAL'S RECORDS AND FILES**

**7.1** Books and records relating to this Agreement shall be maintained in accordance with Generally Accepted Accounting Principles (GAAP) or International Financial Reporting Standards (IFRS). University or University's authorized representative shall have access to, the right to audit and the right to copy pertinent parts of Design Professional and Design Professional's consultants' books and records. Such records shall include but not be limited to accounting records (hard copy, as well as computer readable data); contracts; payroll records; subconsultant agreements; vendor agreements; purchase orders; leases; original estimates; estimating work sheets; correspondence; receipts; memoranda; and any other supporting evidence deemed necessary to substantiate charges under this agreement. All such books and records shall be preserved for a period of at least 3 years from the date of Final Payment under this Agreement.

**7.12** Design Professional and Design Professional's consultants shall make their files available for inspection and copying by University upon reasonable notice.

**7.13** Design Professional shall include appropriate language in consultant's agreements to enforce the provision of paragraph 7.1.2.

## **ARTICLE 8 - OWNERSHIP AND USE OF DOCUMENTS**

### **8.1 DRAWINGS, SPECIFICATIONS, AND PRESENTATION MATERIALS**

**8.1.1** Drawings and Specifications shall become the property of University, whether or not the Project for which they are made is executed. Design Professional shall be permitted to retain copies, including reproducible copies, of the Drawings and Specifications for information and reference except as provided in paragraph 8.2. Neither University nor Design Professional shall use the Drawings and Specifications as a whole or in substantial part on other projects, but either may reuse details of the Drawings for other projects.

**8.12** All presentation drawings, slides, and models shall become and remain the property of University.

**8.13** University may purchase the design of the Project from Design Professional for its then fair market value. If University purchases the design of the Project, then University may use the Drawings and Specifications as a whole or in substantial part on other projects, and Design Professional may not use the Drawings and Specifications in whole, in part, or details thereof for other projects.

### **8.2 CONSTRUCTION DOCUMENTS**

**8.2.1** Design Professional, upon request, shall provide copies of the Construction Documents in the number required by University for bidding and construction purposes; the reproduction expense shall be borne by University. University reserves the right to select the type of document reproduction and to establish where the reproduction will be accomplished.

**8.2.2** University may use the Construction Documents, without Design Professional's consent, in connection with the Project, including without limitation, future additions, expansions, renovations, alterations, connections, repairs, information, reference, use, or occupancy.

**8.2.3** Except as provided in subparagraphs 8.2.1 and 8.2.2 University will not use the Construction Documents for another project without Design Professional's written consent unless University has purchased the design from Design Professional in accordance with subparagraph 8.1.3.

### **8.3 INDEMNIFICATION**

**8.3.1** University will defend, indemnify and save harmless Design Professional, its officers, agents and employees from any costs or claims for damages arising from University's use, on other projects, of the Construction Documents, the Drawings and Specifications, or the designs depicted in them. As used in this Article 8, the use "on other projects" does not include any of the uses specified in subparagraph 8.2.2.

**8.3.2** Notwithstanding paragraph 8.3.1, University will not defend, indemnify or save harmless Design Professional, its officers, agents, or employees from any costs or claims asserted or imposed by any person or entity claiming that University's use of the Construction Documents, the Drawings and Specifications, or the designs depicted in them is contrary to or in violation of any copyright, patent, trade secret, trade name, trademark, or any proprietary, contractual or legal right pertaining to their use.

## **ARTICLE 9 - DISPUTES**

### **9.1 NEGOTIATION**

**9.1.1** The parties will attempt in good faith to resolve any controversy or Claim arising out of or relating to this Agreement by negotiation.

### **9.2 MEDIATION**

**9.2.1** Within 60 days, but no earlier than 30 days, following

the earlier of (1) receipt of notice by the other party from the American Arbitration Association (AAA) of the disputing party's demand for arbitration or (2) receipt by the other party of the disputing party's notice of election to litigate, the parties shall submit the matter to non-binding mediation administered by the AAA under its construction industry mediation rules, unless waived by mutual stipulation of both parties.

### 9.3 ARBITRATION OR LITIGATION

Disputes arising from this Agreement between Design Professional and University which cannot be settled through negotiation or mediation shall be subject to arbitration or litigation as follows

**9.3.1** *Arbitration with Contractor.* If any claim arises under the Construction Contract Documents for the Project and is submitted to arbitration, and either Contractor or University claims that the acts or omissions of Design Professional are involved, in whole or in part, any claim by University against Design Professional arising out of or in connection therewith may be asserted, at the option of University, against Design Professional in the same arbitration proceeding which shall be conducted under the procedures specified in the General Conditions of the construction contract.

**9.3.2** *Litigation with Contractor.* If any claim arises under the Construction Contract Documents for the Project and is submitted to litigation, and either Contractor or University claims that the acts or omissions of Design Professional are involved, in whole or in part, any claim by University against Design Professional arising out of or in connection therewith may be asserted, at the option of University, against Design Professional in the same litigation.

**9.3.3** *Arbitration without Contractor.* Disputes arising from this Agreement between Design Professional and University which cannot be settled through negotiation or mediation, and which are not resolved by arbitration or litigation pursuant to subparagraphs 9.3.1. and 9.3.2 shall be subject to arbitration without Contractor conducted in accordance with the Construction Industry Arbitration Rules of the AAA then in effect. The following additional modifications shall be made to the aforesaid Rules of the AAA:

- 1 Civil discovery shall be permitted for the production of documents and taking of depositions. Other discovery may be permitted in the discretion of the arbitrator. All disputes regarding discovery shall be decided by the arbitrator.
- 2 University's Representative and/or University's consultants, shall if required by agreement with University, upon demand by University, join in and be bound by the arbitration.
- 3 Concurrent disputes subject to this subparagraph 9.3.3 shall be consolidated into a single arbitration unless the parties otherwise agree in writing.
- 4 No hearing shall be held prior to final completion of the Project unless University and Design Professional

otherwise agree in writing.

- 5 The exclusive forum for determining arbitrability shall be the Superior Court of the State of California.
- 6 If total claims are less than \$50,000, AAA expedited procedures as modified by this Article 9 shall apply. If total claims are between \$50,000 and \$100,000 they shall be heard by a single arbitrator who shall be an attorney. If total claims are in excess of \$100,000 and are submitted to arbitration, the controversy shall be heard by a panel of 3 arbitrators, one of which shall be an attorney.
- 7 The AAA shall submit simultaneously to each party to the dispute an identical list of at least 10 names of persons chosen from the National Panel of Commercial Arbitrators, and each party to the dispute shall have 10 days from the date of receipt in which to cross off any names objected to, number the remaining names in order of preference and return the list to AAA. If the expedited procedures of the AAA are applicable, the AAA shall submit simultaneously to each party an identical list of 5 proposed arbitrators drawn from the National Panel of Commercial Arbitrators, and each party may strike 3 names from the list on a peremptory basis and return the list to AAA within 10 days from the date of receipt.

Unless University and Design Professional otherwise agree in writing, the arbitration decision shall be made under and in accordance with the laws of the State of California, supported by substantial evidence. If the total of all claims or cross claims submitted to arbitration is in excess of \$50,000, the award shall contain the basis for the decision, findings of fact, and conclusions of law.

Any arbitration award shall be subject to confirmation, verification or correction under the procedures and on the grounds specified in the California Code of Civil Procedure including without limitation Section 1296.

The expenses and fees of the arbitrators and the administrative fees of the AAA shall be divided among the parties equally. Each party shall pay its own counsel fees, witness fees, and other expenses incurred for its own benefit.

The University may offset against the outstanding contract balance the amount of the University's own affirmative claims against the Design Professional provided such claims are based upon alleged breaches of this Agreement or alleged failure to conform to the professional standard care set forth in Article 1.2 of this Agreement. The University shall inform the Design Professional in writing of its intention to offset on or before exercising its right to offset under this Agreement. Within three days following receipt of such written notice, the Design Professional may elect to submit the issue of the University's intention to offset to non-binding mediation administered by the AAA. Such mediation shall take place not less than 15 days and not more than 45 days

following the date that the University receives notice of Design Professional's election to mediate regarding the University's intention to offset. The University's obligation to pay any outstanding contract balance shall be stayed and tolled until the first business day following the date of the mediation concerning the University's intention to offset. If the University decides to exercise its right to offset following mediation regarding the University's intention to offset, notice of such offset shall be given to Design Professional by University in writing. If Design Professional does not demand mediation concerning the University's intention to offset, then the University's notice of its intention to offset shall be deemed notice of the decision to offset by the University. Irrespective of whether Design Professional elects to mediate the issue of the University intention to offset, Design Professional may dispute the University's decision to offset by demanding arbitration or commencing litigation pursuant to the terms of Article 9.

**9.4 PERSONAL INJURY, WRONGFUL DEATH OR PROPERTY DAMAGE**

**9.4.1** Claims for personal injury, wrongful death, or property damage (other than property damage to University) shall not be subject to arbitration under Paragraph 9.3.3.

**ARTICLE 10 - INDEMNIFICATION AND INSURANCE**

**10.1 INDEMNIFICATION**

**10.1.1** Design Professional shall indemnify, defend, and hold harmless University and its Regents, officers, employees, agents, and representatives (collectively, "Indemnitee"), against all liability, demands, claims, costs, damages, injury including death, settlements, and expenses (including without limitation, interest and penalties) incurred by Indemnitee ("Losses") arising out of the performance of services or Design Professional's other obligations under this Agreement, but only in proportion to and to the extent such Losses are caused by or result from (1) the negligent acts or omissions of Design Professional, its officers, agents, employees, subcontractors, consultants, or any person or entity for whom Design Professional is responsible (collectively, "Indemnitor"); (2) the breach by Indemnitor of any of the provisions of this Agreement; or (3) willful misconduct by Indemnitor.

**10.1.2** The indemnification obligations under this Article 10 shall not be limited by any assertion or finding that (1) the person or entity indemnified is liable by reason of non-delegable duty, or (2) the Losses were caused in part by the negligence of, breach of contract by, or violation of law by Indemnitee. The obligation to defend shall arise regardless of any claim or assertion that Indemnitee caused or contributed to the Losses. Indemnitor's reasonable defense costs (including attorney and expert fees) incurred in providing a defense for Indemnitees shall be reimbursed by University except to the extent such defense costs arise, under

principles of comparative fault, from Indemnitor's (a) negligent acts or omissions; (b) breach of any of the provisions of this Agreement; or (c) willful misconduct.

**10.1.3** Design Professional shall indemnify, defend, and save harmless Indemnitee from and against all loss, cost, expense, royalties, claims for damages or liability, in law or in equity, including, without limitation, attorney's fees, court costs, and other litigation expenses that may at any time arise or be set up for any infringement (or alleged infringement) of any patent, copyright, trade secret, trade name, trademark or any other proprietary right of any person or entity in consequence of the use on the Project by Indemnitee of the design or construction documents (including any method, process, product, concept specified or depicted) supplied by Indemnitor in the performance of this Agreement.

**10.1.4** Nothing in this Agreement, including the provisions of this Article 10, shall constitute a waiver or limitation of any rights which Indemnitee may have under applicable law, including without limitation, the right to implied indemnity.

**10.2 INSURANCE REQUIREMENTS**

Design Professional, at Design Professional's sole cost and expense, shall insure its activities in connection with this Agreement and shall obtain, keep in force, and maintain insurance as listed below. The coverages required under Paragraph 10.2 shall not in any way limit the liability of Design Professional.

**10.2.1** Commercial-Form General Liability Insurance with coverage and minimum limits as follows:

.1 Each Occurrence	<b>\$1,000,000</b>
.2 Products Completed, Operations Aggregate	<b>\$1,000,000</b>
.3 Personal and Advertising Injury	<b>\$1,000,000</b>
.4 General Aggregate	<b>\$2,000,000</b>

**10.2.2** Business Automobile Liability Insurance for owned, scheduled, non-owned, or hired auto-mobiles, with a combined single limit of no less than **\$1,000,000** per accident.

**10.2.3** Professional Liability Insurance, with limits of **\$1,000,000** per claim and **\$2,000,000** in the aggregate. At the option of the University and in its sole discretion, the University may require Design Professional to purchase project specific professional liability insurance for the Project as a reimbursable cost with the minimum limits.

**10.2.4** If the above insurance (subparagraphs 10.2.1-10.2.3) is written on a claims-made basis, it shall be maintained continuously for a period of no less than 3 years after the date of Final Completion. The insurance shall have a retroactive date of placement prior to or coinciding with the date services are first provided that are governed by the terms of this Agreement and shall include, without limitation coverage for professional services as called for in this

Agreement. Insurance required by subparagraphs 10.2.1-10.2.3 shall be (i) issued by companies that have a Best rating of A- or better, and a financial classification of VIII or better (or an equivalent rating by Standard & Poor or Moody's) or (ii) guaranteed, under terms consented to by the University (such consent to not be unreasonably withheld), by companies with a Best rating of A- or better, and a financial classification of VIII or better (or an equivalent rating by Standard & Poor or Moody's).

**10.2.5** Workers' Compensation as required by law in the state in which work is performed and Employer's Liability insurance with coverage and minimum limits as follows:

Each Employee	\$1,000,000
Each Accident	\$1,000,000
Policy Limit	\$1,000,000

Insurance required by this subparagraph 10.2.5 shall be issued by companies (i) that have a Best rating of B+ or better, and a financial classification of VIII or better (or an equivalent rating by Standard & Poor or Moody's); or (ii) that are acceptable to the University.

**10.2.6** Design Professional, upon the execution of this Agreement, shall furnish University with Certificate of Insurance evidencing compliance with this Article 10, including the following requirements:

- 1 Design Professional shall have the insurance company complete University's form, Certificate of Insurance in the Exhibits. If Design Professional's insurance company refuses to use the University's Certificate of Insurance form, it must provide a Certificate of Insurance (and endorsements, if needed) evidencing compliance with Paragraph 10.2 and Special Provisions 1 through 3 on the Certificate of Insurance Exhibit. It alone constitutes evidence of insurance.
- 2 Provide that coverage cannot be canceled without advance written notice to University, in accordance with policy provisions.
- 3 If insurance policies are canceled for non-payment, University reserves the right to maintain policies in effect by continuing to make the policy payments and assessing the cost of so maintaining the policies against Design Professional.
- 4 University, University's officers, agents, employees, consultants, University's Representative, and University's Representative's consultants, regardless of whether or not identified in the Contract Documents or to Design Professional in writing, will be included as additional insureds on Design Professional's general liability policy for and relating to the Work to be performed by Design Professional and its consultants. Design Professional's general liability insurance policy shall name University as an additional insured pursuant to additional insured endorsement CG2010 (11/85) or a combination of both CG 2010 (10/01 or 07/04) and CG

2037 (10/01 or 07/04). The General Liability coverage shall contain a Severability of Interest provision and shall be primary insurance as respects The Regents of the University of California, its officers, agents and employees. Any insurance or self-insurance maintained by The Regents of the University of California shall be excess of and non-contributory with this insurance. This requirement shall not apply to Worker's Compensation and Employer's Liability Insurance. The Professional Liability insurance policy shall include Contractual Liability Coverage or endorsements to the insurance policies for Contractual Liability Coverage for liability that would exist in the absence of the contract.

- 5 The General Liability and the Professional Liability insurance policies shall apply to the negligent acts, or omissions of Design Professional, its officers, agents, employees, and for Design Professional's legal responsibility for the negligent acts or omissions of its consultants and anyone directly or indirectly under the control, supervision, or employ of Design Professional or Design Professional's consultants.

**ARTICLE 11 - STATUTORY AND OTHER REQUIREMENTS**

**11.1 NONDISCRIMINATION**

**11.1.1** In connection with the performance of the Design Professional pursuant to this Agreement, Design Professional shall provide equal treatment to, and shall not willfully discriminate against or allow harassment of any employee or applicant for employment on the basis of: race; color; religion; sex; age; ancestry; national origin; sexual orientation; physical or mental disability; veteran's status; medical condition (as defined in Section 12926 of the State of California Government Code and including cancer-related medical conditions and or genetic characteristics); genetic information (as defined in the Genetic Information Nondiscrimination Act of 2008 and including family medical history); marital status; gender identity, pregnancy, or citizenship (within the limits imposed by law or University's policy) or service in the uniformed services (as defined by the Uniformed Services Employment and Reemployment Rights Act of 1994). Design Professional will also take affirmative action to ensure that any such employee or applicant for employment is not discriminated against on any of the bases identified above. Such equal treatment shall apply, but not be limited to the following: employment; upgrade; demotion or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. The Design Professional also agrees to post in conspicuous places, available to employees and applicants for employment, notices setting forth the provisions of this nondiscrimination clause. The Design Professional will, in all solicitations or advertisements for employees placed by or on behalf of the Design Professional, state that qualified applicants will receive consideration for employment without regard to: race; color; religion; sex; age; ancestry; national origin; sexual orientation;



physical or mental disability; veteran's status; medical condition (as defined in Section 12926 of the State of California Government Code and including cancer-related medical conditions and or genetic characteristics); genetic information (as defined in the Genetic Information Nondiscrimination Act of 2008 and including family medical history); marital status; gender identity, pregnancy, or citizenship (within the limits imposed by law or University's policy) or service in the uniformed services (as defined by the Uniformed Services Employment and Reemployment Rights Act of 1994). For purposes of this provision: (1) "Pregnancy" includes pregnancy, childbirth, and medical conditions related to pregnancy and childbirth; and (2) "Service in the uniformed services" includes membership, application for membership, performance of service, application for service, or obligation for service in the uniformed services.

## 11.2 PREVAILING WAGE RATES

**11.2.1** For purposes of the Article, the term subcontractor or consultant shall not include suppliers, manufacturers, or distributors.

**11.2.2** Design Professional shall comply and shall ensure that all Subcontractors or Subconsultants comply with prevailing wage law pursuant to the State of California Labor Code, including but not limited to Sections 1770, 1771, 1771.1, 1772, 1773, 1773.1, 1774, and 1775, 1776, 1777.5, and 1777.6 of the State of California Labor Code. Compliance with these sections is required by this Contract. The Work under this Contract is subject to compliance monitoring and enforcement by the State of California Department of Industrial Relations. References to "Covered Services" hereinafter shall mean services performed pursuant to this Agreement that are covered by the aforementioned provisions as implemented by the State of California Department of Industrial Relations.

**11.2.3** The State of California Department of Industrial Relations has ascertained the general prevailing per diem wage rates in the locality in which the Project is to be performed for each craft, classification, or type of worker required to perform the Covered Services hereunder. A schedule of the general prevailing per diem wage rates will be on file at University's principal facility office and will be made available to any interested party upon request. By this reference, such schedule is made part of the Agreement. Design Professional shall pay not less than the prevailing wage rates, as specified in the schedule and any amendments thereto, to all workers employed by Design Professional in the execution of the Covered Services hereunder. Design Professional shall cause all subcontracts or consultant agreements to include the provision that all subcontractors or consultants shall pay not less than the prevailing rates to all workers employed by such subcontractor or consultants in the execution of the Covered Services hereunder. Design Professional shall forfeit to University, as a penalty, not more than \$200 for each calendar day or portion thereof for each worker that is paid less than the prevailing rates as determined by the Director of Industrial

Relations for the work or craft in which the worker is employed for any portion of the Covered Services hereunder performed by Design Professional or any subcontractor or consultant. The amount of this penalty shall be determined by the Labor Commissioner pursuant to applicable law. Such forfeiture amounts may be deducted from the Design Professional's fee. Design Professional shall also pay to any worker who was paid less than the prevailing wage rate for the work or craft for which the worker was employed for any portion of the Covered Services hereunder, for each day, or portion thereof, for which the worker was paid less than the specified prevailing per diem wage rate, an amount equal to the difference between the specified prevailing per diem wage rate and the amount which was paid to the worker.

## 11.3 PAYROLL RECORDS

**11.3.1** Design Professional and all subcontractors or consultants shall keep an accurate payroll record, showing the name, address, social security number, job classification, straight time and overtime hours worked each day and week, and the actual per diem wages paid to each journeyworker, apprentice, or other employee employed in connection with the Covered Services hereunder. All payroll records shall be certified as being true and correct by Design Professional or subcontractors or consultants keeping such records; and the payroll records shall be available for inspection at all reasonable hours at the principal office of Design Professional on the following basis:

- 1** A certified copy of an employee's payroll record shall be made available for inspection or furnished to such employee or the employee's authorized representative on request.
- 2** A certified copy of all payroll record shall be made available for inspection upon request to University, the State of California Division of Labor Standards Enforcement, and the Division of Apprenticeship Standards of the State of California Division of Industrial Relations.
- 3** A certified copy of all payroll records shall be made available upon request by the public for inspection or copies thereof made; provided, however, that the request by the public shall be made to either University, the Division of Apprenticeship Standards, or the Division of Labor Standards Enforcement. The public shall not be given access to such records at the principal offices of Design Professional or subcontractors or consultants. Any copy of the records made available for inspection as copies and furnished upon request to the public or any public agency by University shall be marked or obliterated in such a manner as to prevent disclosure of an individual's name, address, and social security number. The name and address of Design Professional awarded the Agreement or performing the Agreement shall not be marked or obliterated.

**11.3.2** Design Professional shall file a certified copy of the payroll records with the entity that requested the records

within 10 days after receipt of a written request. Design Professional shall inform University of the location of such payroll records for the Project, including the street address, city, and county; and Design Professional shall, within 5 working days, provide notice of change of location of such records. In the event of noncompliance with the requirements of the Paragraph or with the State of California Labor Code Section 1776, Design Professional shall have 10 days in which to comply following receipt of notice specifying in what respects Design Professional must comply. Should noncompliance still be evident after the 10-day period, Design Professional shall forfeit to University, as a penalty, \$100 for each day, or portion thereof, for each worker, until strict compliance is accomplished. Such forfeiture amounts may be deducted from the Design Professional's fee.

#### **11.4 APPRENTICES**

**11.4.1** Only apprentices, as defined in the State of California Labor Code Section 3077, who are in training under apprenticeship standards and written apprentice agreements under Chapter 4, Division 3, of the State of California Labor Code, are eligible to be employed by Design Professional and subcontractors or consultants as apprentices for the Covered Services hereunder. The employment and training of each apprentice shall be in accordance with the provisions of the apprenticeship standards and written apprentice agreements under which the apprentice is training and in accordance with prevailing wage law pursuant to the Labor Code, including but not limited to Section 1777.5. The Design Professional bears responsibility for compliance with this section for all apprenticeable occupations.

**11.4.2** Every apprentice shall be paid the standard wage to apprentices, under the regulations of the craft or trade at which the apprentice is employed, and shall be employed only for the Covered Services hereunder in the craft or trade to which the apprentice is indentured.

**11.4.3** When Design Professional or subcontractors or consultants employ workers in any apprenticeship craft or trade for the Covered Services hereunder, Design Professional or subcontractors or consultants shall apply to the joint apprenticeship committee, which administers the apprenticeship standards of the craft or trade in the area of the Project site, for a certificate approving Design Professional or subcontractors or consultants under the apprenticeship standards for the employment and training of apprentices in the area of the Project site. The committee will issue a certificate fixing the number of apprentices or the ratio of apprentices to journeyworkers who shall be employed in the craft or trade on the Covered Services hereunder. The ratio will not exceed that stipulated in the apprenticeship standards under which the joint apprenticeship committee operates; but in no case shall the ratio be less than 1 hour of apprentice work for each 5 hours of journeyperson work, except as permitted by law. Design Professional or subcontractors or consultants shall, upon the issuance of the approval certificate in each such craft or trade, employ the number of apprentices or the ratio of apprentices to

journeyworkers fixed in the certificate issued by the joint apprenticeship committee or present an exemption certificate issued by the Division of Apprenticeship Standards.

**11.4.4** "Apprenticeship craft or trade", as used in this Paragraph, shall mean a craft or trade determined as an apprenticeship occupation in accordance with rules and regulations prescribed by the Apprenticeship Council.

**11.4.5** If Design Professional or subcontractors or consultants employ journeyworkers or apprentices in any apprenticeship craft or trade in the area of the Project site, and there exists a fund for assisting to allay the cost of the apprenticeship program in the trade or craft, to which fund or funds other contractors in the area of the Project site are contributing, Design Professional and subcontractors or consultants shall contribute to the fund or funds in each craft or trade in which they employ journeyworkers or apprentices on the Covered Services hereunder in the same amount or upon the same basis and in the same manner done by the other contractors. Design Professional may include the amount of such contributions in computing its compensation under the Agreement; but if Design Professional fails to do so, it shall not be entitled to any additional compensation therefore from University.

**11.4.6** In the event Design Professional willfully fails to comply with this Paragraph 11.4, it will be considered in violation of the requirements of the Agreement.

**11.4.7** Nothing contained herein shall be considered or interpreted as prohibiting or preventing the hiring by Design Professional or subcontractors or consultants of journeyworker trainees who may receive on-the-job training to enable them to achieve journeyworker status in any craft or trade under standards other than those set forth for apprentices.

#### **11.5 WORK DAY**

**11.5.1** Design Professional shall not permit any worker providing Covered Services to labor more than 8 hours during any 1 day or more than 40 hours during any 1 calendar week, except as permitted by law and in such cases only upon such conditions as are provided by law. Design Professional shall forfeit to University, as a penalty, \$25 for each worker employed in the execution of the Agreement by Design Professional, or any subcontractors or consultant, for each day during which such worker is required or permitted to work providing Covered Services more than 8 hours in any 1 day and 40 hours in any 1 calendar week in violation of the terms of this Paragraph or in violation of the provisions of any law of the State of California. Such forfeiture amounts may be deducted from the compensation otherwise due under this Agreement. Design Professional and each subcontractor or consultant shall keep, or cause to be kept, an accurate record showing the actual hours worked each day and each calendar week by each worker employed under this Agreement, which record shall be kept open at all reasonable hours to the inspection of University, its officers and agents, and to the

inspection of the appropriate enforcement agency of the State of California.

**11.6 PATIENT HEALTH INFORMATION**

**11.6.1** Design Professional acknowledges that its employees, agents, subcontractors, consultants and others acting on its behalf may come into contact with Patient Health Information ("PHI") while performing work at the Project Site. This contact is most likely rare and brief (e.g. walking through a clinic where patient files may be visible, overhearing conversations between physicians while working or touring a hospital, noticing a relative or acquaintance receiving treatment in a University facility, etc.). Design Professional shall immediately notify University Representative of any such contact. Any and all forms of PHI should not be examined closer, copied, photographed, recorded in any manner, distributed or shared. Design Professional will adopt procedures to ensure that its employees, agents and subcontractors refrain from such activity. If Design Professional, its employees, agents or subcontractors do further examine, copy, photograph, record in any manner, distribute or share this information, Design Professional will report such actions immediately to the University Representative. Design Professional will immediately take all steps necessary to stop any such actions and will ensure that no further violations of this contractual responsibility will occur. Design Professional will report to University Representative within five (5) days after Design Professional gives University Representative notice of the event/action of the steps taken to prevent future occurrences.

**ARTICLE 12 - EXTENT OF AGREEMENT**

**12.1 AUTHORITY OF AGREEMENT**

**12.1.1** This Agreement represents the entire and integrated agreement between University and Design Professional and supersedes all prior negotiations, representations, or agreements, either written or oral. This Agreement may be amended only by a written instrument in the form of the Amendment in the Exhibits signed by both University and Design Professional.

**12.2 EXHIBITS**

**12.2.1** The following exhibits are incorporated and made part of this Agreement:

- .1 Amendment
- .2 Campus Design Guidelines, Campus Signage, Facilities Management System CAD Standards, Facilities Management System Room Numbering Standards, & GIS Data Standards Documentation
- .3 Certificate of Insurance
- .4 Compensation Schedule
- .5 Constructability Analysis / Quality Assurance

- .6 Estimated Project Construction Cost Format
- .7 Final Distribution of Contract Dollars
- .8 Project Program
- .9 Project Schedule
- .10 Proposal
- .11 Rate Schedule
- .12 Regulatory Agencies & Approval Requirements
- .13 Reimbursement Schedule
- .14 Self-Certification
- .15 Supplemental Requirements
- .16 Sustainability Score Sheet (New Construction / Major Renovation OR Renovation)
- .17 University's Bidding Documents, General Conditions & Specifications Division 1, General Requirements
- .18 Value Engineering Program

**12.3 THIRD-PARTY BENEFICIARIES**

Nothing contained in this Agreement is intended to make the construction Contractor or any construction Subcontractor (regardless of tier), any employee or agent of the construction Contractor or any Subcontractor or any person, including any consultant of Design Professional (regardless of tier), a third-party beneficiary of any obligations between University and Design Professional.

**12.4 SURVIVAL**

The provisions of this Agreement which by their nature survive expiration or termination of the Agreement or Final Completion of the Project or the performance of services under this Agreement, including any and all warranties, indemnities, payment obligations, and University's right to audit Design Professional's and Design Professional's consultants' books and records, shall remain in full force and effect after any expiration or termination of the Agreement or Final Completion of the Project or the performance of services under this Agreement.

**ARTICLE 13 - FEDERAL AND STATE GRANTS**

In the event that a federal or state grant or other federal or state financing is used in the funding of this Project, Design Professional shall permit the funding agency or its designee access to, and grant the funding agency the right to examine, documents covering the services performed under this Agreement. Design Professional shall comply with applicable federal or state agency requirements including, but not limited to, the requirements regarding hours, overtime compensation, nondiscrimination, and contingent fees.

**ARTICLE 14 - NOTICES**

**14.1 UNIVERSITY**

**14.1.1** Any notice may be served upon University by delivering it, in writing, to University at the address set forth on the last page of this Agreement, or by depositing it in a United States Postal Service deposit box with the postage fully prepaid and with the notice addressed to University at the

address set forth on the last page of this Agreement, or by sending a facsimile of the notice to University's facsimile number set forth on the last page of this Agreement. Notice is effective only if and when it is actually received.

## **14.2 DESIGN PROFESSIONAL**

**14.2.1** Any notice may be served upon Design Professional by delivering it, in writing, to Design Professional at the address set forth on the last page of this Agreement, by depositing it in a United States Postal Service deposit box with the postage fully prepaid and with the notice addressed to Design Professional at the address set forth on the last page of this Agreement, or by sending a facsimile of the notice to Design Professional's facsimile number set forth on the last page of this Agreement. Notice is effective only if and when it is actually received.

## **ARTICLE 15 - SUCCESSORS AND ASSIGNS**

This Agreement shall be binding upon University and Design Professional and their respective successors and assigns. Neither the performance of this Agreement, nor any part thereof, nor any monies due or to become due hereunder, may be assigned by Design Professional without the prior written consent and approval of University.

### **15.1 DESIGN PROFESSIONAL'S DEATH OR INCAPACITATION**

**15.1.1** If Design Professional transacts business as an individual, upon Design Professional's death or incapacitation, University may, at its option, terminate this Agreement as of the date of such event. If so terminated, neither Design Professional, nor Design Professional's estate shall have any further right to perform hereunder, and University shall pay Design Professional or the estate the compensation payable under Article 5 for any services rendered prior to this termination not theretofore paid. This compensation shall be reduced by the amount of additional costs that will be incurred by University by reason of this termination.

**15.1.2** If there is more than one Design Professional, and any one of them dies or becomes incapacitated, and the others continue to render the services covered herein, University will make payments to those continuing as though there had been no such death or incapacitation; University will not be obliged to take any account of the person who died or became incapacitated, or to make any payment to this person or this person's estate. These provisions shall apply in the event of progressive or simultaneous occasions of death or incapacitation among any group of persons named as Design Professional herein if death or incapacitation befalls the last member of this group before the services under this Agreement are fully performed, then the rights set forth under subparagraph 15.1.1 shall apply.

## **ARTICLE 16 - TERMINATION OF AGREEMENT**

### **16.1 UNIVERSITY-INITIATED TERMINATION**

**16.1.1** If University determines that Design Professional has failed to perform in accordance with the terms and conditions of this Agreement, University may terminate all or part of the Agreement for cause. This termination shall be effective if Design Professional does not cure its failure to perform within 10 days (or more, if authorized in writing by University) after receipt of a notice of intention to terminate from University specifying the failure in performance. If a termination for cause does occur, University will have the right to withhold monies otherwise payable to Design Professional until the Project is completed. If University incurs additional costs, expenses, or other damages due to the failure of Design Professional to properly perform pursuant to the Agreement, these costs, expenses, or other damages shall be deducted from the amounts withheld. Should the amounts withheld exceed the amounts deducted, the balance will be paid to Design Professional upon completion of the Project. If the costs, expenses, or other damages incurred by University exceed the amounts withheld, Design Professional shall be liable to University for the difference.

**16.1.2** University may terminate this Agreement for convenience at any time upon written notice to Design Professional, in which case University will pay Design Professional in full for all services performed and all expenses incurred under this Agreement up to and including the effective date of termination. In ascertaining the services actually rendered to the date of termination, consideration will be given to both completed Work and Work in progress, whether delivered to University or in the possession of Design Professional, and to authorized Reimbursable Expenses. No other compensation will be payable for anticipated profit on unperformed services.

### **16.2 DESIGN PROFESSIONAL-INITIATED TERMINATION**

**16.2.1** Design Professional may terminate this Agreement for cause if University fails to cure a material default in performance within a period of 30 days, or such longer period as Design Professional may allow, after receipt from Design Professional of a written termination notice specifying the default in performance. In the event of termination for cause by Design Professional, University will pay Design Professional in accordance with subparagraph 16.1.2.

### **16.3 DOCUMENTS AND MATERIALS**

**16.3.1** In the event of Agreement termination by either party for any reason, University reserves the right to receive, and Design Professional shall promptly provide to University, all Drawings, Specifications, models, and other documents, data, and materials prepared or generated by Design Professional and its subconsultants for the Project. In the event of termination, any dispute regarding the amount to be paid under Article 16 shall not derogate from the right of University to receive and use any such documents or materials.

## **ARTICLE 17 - STATISTICAL REPORTING**

At the commencement of performance, Design Professional shall complete and submit, and require each subconsultant who performs services under this Agreement to complete and submit, a certification in the form of the Self-Certification. At the completion of work, Design Professional shall complete and submit a report of the distribution of compensation received under this Agreement in the form of the Final Distribution of Contract Dollars.



Project Name  
Project Number: #  
Contract Number: #

IN WITNESS WHEREOF, UNIVERSITY and DESIGN PROFESSIONAL have executed this Agreement as of the date first written above (see Cover Page).

**DESIGN PROFESSIONAL:**

\_\_\_\_\_  
(Name of Company)

By: \_\_\_\_\_  
(Signature & Date)

\_\_\_\_\_  
(License Number)

\_\_\_\_\_  
(Print Name & Title)

\_\_\_\_\_  
(Employer ID Number)

Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Telephone Number(s): \_\_\_\_\_

Facsimile Number: \_\_\_\_\_

**Recommended:**

By: University's Representative

**Funds Sufficient:**

By: Financial Administrative Officer

\_\_\_\_\_  
(Signature & Date)

\_\_\_\_\_  
(Signature & Date)

Name  
Title  
\_\_\_\_\_  
Planning, Design & Construction  
(Print Name & Title)

Susan McFadden  
Senior Financial Analyst  
\_\_\_\_\_  
Planning, Design & Construction  
(Print Name & Title)

**UNIVERSITY:**

By: The Regents of the University of California  
University of California, Riverside

\_\_\_\_\_  
(Signature & Date)

Blythe R. Wilson, Architect  
Director of Project Management  
Planning, Design & Construction  
\_\_\_\_\_  
(Print Name & Title)

Address: University of California, Riverside  
Planning, Design & Construction  
1223 University Avenue, Suite 240  
Riverside, CA 92521

Telephone Number: 951.827.4064

Facsimile Number: 951.827.3890

Account No.: \_\_\_\_\_ Activity Code: \_\_\_\_\_

Fund: \_\_\_\_\_ Function: \_\_\_\_\_

Cost Center: \_\_\_\_\_ Project Code: \_\_\_\_\_